

RFP Number: 88A0062

RFP Title: "Disadvantaged Business Enterprise (DBE) Program Disparity Study 2011 Report"

COPY

Technical Proposal

Due: April 20, 2011 at 3:00 p.m. PDT

**Disadvantaged Business Enterprise
(DBE) Program Disparity Study 2011
Report**

California Department of Transportation





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April 19, 2011

Betty Graham
California Department of Transportation
Division of Procurement and Contracts
1727 30th Street
Sacramento, CA 95816

**Re: Response to RFP Number 88A0062 – Disadvantaged Business Enterprise (DBE)
Program Disparity Study 2011 Report**

Dear Ms. Graham:

BBC Research & Consulting (BBC) is pleased to submit this proposal to conduct a disparity study for the California Department of Transportation (Caltrans). BBC is a 41-year-old, Denver-based economic and market research firm with extensive experience conducting disparity studies and developing neutral and race-conscious programs. BBC has a proven track record defending programs in court.

We propose to conduct this work in association with Keen Independent Research, Holland & Knight, GCAP Services, WSC Consulting, and Faro Consulting & Solutions. This team was established to join the best national disparity study expertise, strong qualifications conducting studies for state transportation departments, in-depth knowledge of California construction markets and proven performance for Caltrans.

BBC has addressed all of the points presented in the Request for Proposal and acknowledges receipt of Addenda One, Two, Three, and Four. Todd Pickton, BBC Managing Director, is authorized to bind the firm and his signature appears on this proposal.

We look forward to the opportunity to work again with Caltrans. Please contact me with any questions at 303-321-2547, ext. 275 or at tpickton@bbcresearch.com.

Sincerely,

A handwritten signature in black ink that reads 'Todd Pickton' with a stylized flourish at the end.

Todd Pickton
Managing Director

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Prepared for

California Department of Transportation
Division of Procurement and Contracts
Attn: Betty Graham
1727 30th Street
Sacramento, CA 95816

Prepared by

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SECTION A. Management

SECTION A. Management

BBC Research & Consulting (BBC) is pleased to submit this proposal for a disparity study for the California Department of Transportation (Caltrans). Todd Pickton, BBC Managing Director, will serve as the study team's Project Manager for the disparity study. Mr. Pickton has served in a project management role on more than 30 disparity studies. He served as Assistant Project Manager on the 2007 Caltrans disparity study and also assisted in the recent, successful defense of Caltrans' implementation of the Federal DBE Program (Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, 2011).

Dave Keen, Principal of Keen Independent Research (KIR) and former BBC Managing Director, will serve as the study team's Project Advisor for the Caltrans disparity study. Mr. Keen has more than 20 years of relevant project experience and is one of the nation's leading disparity study experts. He served as BBC Project Manager on the 2007 Caltrans disparity study. He was also a Caltrans' expert witness in the agency's recent, successful defense of its implementation of the Federal DBE Program.

BBC will not replace Mr. Pickton as the Project Manager for the disparity study without receiving prior written approval from Caltrans.

SECTION B. Methodology

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BBC's approach to the 2011 study will build on BBC's 2007 disparity study for Caltrans in light of the recent favorable federal court decision in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* that found that the 2007 BBC disparity study was:

- "Comprehensive,"
- Included "extensive statistical evidence as well as anecdotal evidence,"
- With other evidence, provided "substantial statistical and anecdotal evidence of discrimination in the California contract industry," and
- Supported Caltrans' implementation of the Federal DBE Program.

Unique and innovative features of BBC's approach are discussed below.

Consistency of 2011 Study with the Court-Approved Methodology in the 2007 BBC Study

The methodology of the proposed 2011 BBC study for Caltrans, detailed in Section C of this proposal, uses the core elements of the 2007 study, as described below.

- **Examine utilization and availability for contracts with and without DBE contract goals.** At the beginning of the 2007 through 2010 time period, Caltrans implemented the Federal DBE Program on a solely-neutral basis. At the end of this time period, Caltrans operated narrowly-tailored race- and gender-conscious program elements in addition to its neutral efforts. The BBC study team will examine utilization and availability of minority- and women-owned firms (by race and ethnicity) for each of these time periods from 2007 through 2010. In addition, BBC will analyze utilization and availability for Caltrans' state-funded contracts (for which no DBE contract goals are set).
- **Include data from construction- and engineering-related contracts and subcontracts awarded by Caltrans and by local agencies.** The 2007 study included a comprehensive analysis of utilization and availability of construction and engineering contracts awarded by both Caltrans and by local agencies using federal and state funds administered through Caltrans. The 2011 will follow a similar approach to data collection and analysis.

- **Collect data concerning availability of firms based on telephone interviews with firm owners and managers.** One of the strengths of the availability analysis in the 2007 study was that BBC collected data on firm qualifications and interest in transportation contracting work directly from those businesses potentially available for that work. The extensive telephone interview effort conducted in the 2007 study will be repeated in the 2011 assignment. Tens of thousands of firms will be contacted for telephone interviews as part of BBC's 2011 study using a methodology consistent with the 2007 study.
- **Incorporate "bid capacity" (the size of the largest contracts and subcontracts a firm bids on) into BBC's availability analysis.** As in the 2007 BBC disparity study, BBC will consider bid capacity, location, contract role and work specialization when determining availability on a contract-by-contract basis. The federal district court in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* found BBC's analysis of availability to be much more comprehensive than analyses that had failed in the Ninth Circuit.
- **Perform sophisticated statistical tests and other analyses that further research possible causes of any disparities.** The 2007 study contained sophisticated analyses, including Monte Carlo simulations, that further explored potential causes of any disparities. In the 2011 study, BBC will conduct case studies from 2007 through 2010 construction and engineering contracts to examine any explanations for disparities emerging from Caltrans contracting processes.
- **Analyze quantitative information about local marketplace conditions.** BBC will update the 2007 disparity study analyses concerning entry and advancement in the California construction and engineering industries; rates of business ownership; access to capital, bonding and insurance; and rates of business growth, failure and business earnings. BBC will also use 2006-2007 business survey data developed in the 2007 Study as a baseline to examine changes in conditions for minority- and women-owned firms in the California highway construction and engineering marketplace.
- **Conduct additional in-depth interviews with business owners and other individuals who are knowledgeable of conditions in the local marketplace.** A major component of BBC's 2007 study, which was favorably reviewed by the federal district court, was the anecdotal information developed through in-depth interviews with minority, female and white male business owners and others. BBC will supplement that information with focus groups with trade association representatives and other knowledgeable individuals.
- **Review potential additional neutral programs.** The federal district court held that Caltrans had met legal requirements concerning consideration of neutral programs. BBC has considerable background with Caltrans' past efforts, as well as those of other state departments of transportation, which will add to our ability to analyze neutral programs in the 2011 study.

- **Provide the necessary information and background to support the Caltrans three-year overall DBE goal submission to FHWA.** The BBC study team has considerable experience with the step 1 and step 2 analyses required when considering three-year overall DBE goals. Our 2011 study will incorporate new guidance from USDOT that was published earlier this year.
- **Provide a detailed report and presentation.** The detail and comprehensiveness of BBC's 2007 study was impressive even to Plaintiff's Expert in the case of *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* The 2011 study will include the same degree of detailed analyses and documentation of study methods and results as found in the 2007 study.
- **Include public hearings.** The BBC study team proposes to develop a draft report and publish it before holding public hearings throughout the state. Information collected through testimony at the public hearings and other submissions will be incorporated into the final report.

Management Expertise to be Employed to Meet Study Requirements

Because the findings in the final report will be a factor used by Caltrans to prepare a three-year overall DBE goal submission due August 1, 2012, Caltrans is requiring a potentially aggressive disparity study schedule of eight months. The study must also meet the legal guidelines now established in the Ninth Circuit.

The BBC study team can meet this time frame and legal requirements due to:

- The study team's proven management expertise in meeting deadlines on Caltrans work.
- A management approach that includes close collaboration between each 2011 study team member, which includes all of the project management staff from the 2007 effort;
- Our proven methodology — BBC already has the data collection and analytical methods in place that comport with the court-approved methodology from the 2007 study;
- A management approach that includes frequent informal communication with Caltrans project managers, which proved successful in the 2007 study;
- Databases already developed through our past Caltrans work;
- BBC's existing knowledge of Caltrans' implementation of the Federal DBE Program and Caltrans contracting policies and procedures;
- BBC's past experience with successful contract data collection from Caltrans headquarters, districts and local agencies; and
- The study team's understanding of Caltrans' management structure and our established working relationships with Caltrans staff.

These advantages of the BBC study team will allow us to meet an eight-month projects schedule. BBC has proposed a methodology and schedule that will deliver a final report at the end of February 2012.

We provide additional, detailed information about the BBC study team's approach and management structure in Section C of this proposal.

SECTION C.
Work Plan and Work Schedule

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Work Plan and Work Schedule

Section C presents BBC's proposed work plan and work schedule for the Caltrans disparity study. The BBC study team will examine potential disparities between the utilization and availability of minority- and women-owned firms in highway transportation-related construction and architecture/engineering contracts that Caltrans awarded between January 1, 2007 and December 31, 2010. We will also identify and define the existence and scope of any potential race- and gender-based discrimination.

Caltrans will be able to use information from the study to continue a legally-defensible implementation of the Federal DBE program and to inform its overall annual DBE goal, which it must submit to USDOT by August 1, 2012.¹ BBC's methodology for the study and the resulting report will be in accordance with 49 CFR Part 26, USDOT requirements, and applicable court decisions.

Work Plan

BBC's proposed work plan provides a detailed outline of major project tasks and subtasks to complete the Caltrans Disparity Study. It describes techniques, approaches, and methods that the study team will use to complete each task and also describes schedule, required key personnel, and hours.²

As part of the 2011 Caltrans disparity study, BBC will review the 2007 Caltrans disparity study that we conducted, including raw data and internal files as necessary. BBC will also develop a deep understanding of all available Caltrans data since January 1, 2007.

BBC's preliminary work plan includes 13 major project tasks:

- Task 1 — Kick-off meeting, management meetings, and monthly activity reports
- Task 2 — Legal analysis and framework
- Task 3 — Review of contracting procedures and DBE program measures
- Task 4 — Utilization analysis
- Task 5 — Availability analysis
- Task 6 — Disparity analysis
- Task 7 — Explanations for any observed disparities

¹ Although the overall DBE goal is an *annual* aspirational goal, USDOT requires agencies to set their goals every three years.

² Scheduling information throughout Section C is based on the estimated study commencement date of June 28, 2011.

- Task 8 — Quantitative analysis of marketplace conditions
- Task 9 — Qualitative analysis of marketplace conditions
- Task 10 — Overall goal for DBE participation
- Task 11 — Recommendations for DBE program elements and possible enhancements
- Task 12 — Reports and presentations
- Task 13 — Public hearings

The work plan should be considered preliminary and subject to modification with approval from the Caltrans Contract Manager.

Task 1 — Kick-off meeting, management meetings, and monthly activity reports.

Effective communication and responsive project management are essential to completing the Caltrans disparity study successfully and on time. Task 1 lays the groundwork for effective communication between the BBC study team and Caltrans. BBC proposes close coordination with Caltrans throughout the study and will rely on Caltrans to schedule all study meetings.

Kick-off meeting. Within one week of contract execution, the study team will attend a kick-off meeting to initiate the study. The study team will meet with the Caltrans Contract Manager and other key Caltrans staff to establish effective and responsive channels of communication; plan project development; summarize preliminary background research; and address other study topics.

BBC will attend the kick-off meeting in the last few days of June or in the first few days of July.

Management meetings. During the study, BBC project leaders (including Todd Pickton, BBC Project Manager) will participate in management meetings with the Caltrans Contract Manager and other key Caltrans staff a minimum of twice per month via conference call. BBC would also recommend holding in-person management meetings at key junctures of the disparity study, including reviewing the draft report.

Monthly activity reports. BBC will prepare and deliver monthly activity reports to the Caltrans Contract Manager describing the progress that the study team made toward completing the work plan in the previous month. Each activity report will include information about task progress, classification of involved personnel, personnel hours that the study team used, records and other documents to support study team activity, and next steps.

Schedule, required key personnel, and hours. BBC will attend the kick-off meeting in the last few days of June 2011 or in the first few days of July 2011. Study team participants at the kick-off meeting will include Todd Pickton (BBC Project Manager) and Sameer Bawa from BBC; Dave Keen from KIR; Keith Wiener from Holland & Knight; Ed Salcedo from GCAP; Chris Reeve from Faro; and Bill Curry from WSC.

BBC will participate in management meetings at least twice per month, beginning July 2011. Todd Pickton from BBC will participate in the meetings. As necessary, BBC will also involve key personnel from subconsulting firms.

Todd Pickton will prepare and submit monthly progress reports by the 10th day of each month of the study, beginning August 2011.

Task 1 will require 162 hours of study team time.

Task 2 – Legal framework and analysis. Holland & Knight and BBC will conduct a detailed analysis of relevant federal regulations, case law, state law, statutes, and other information that will guide our methodology for the disparity study. The analysis will include a review of federal requirements related to the Federal DBE Program and an assessment of any state law requirements concerning implementations of the Federal DBE program. Holland & Knight and BBC have worked together to prepare similar legal analyses for many other disparity studies, several of which were recently completed in California.

Development of legal background. Holland & Knight will provide a legal history of challenges to state, local, and federal MBE/WBE/DBE programs. Holland & Knight will also summarize legal issues specific to California, providing an assessment of the statutory framework applicable to Caltrans. This information will form a basis for evaluating existing Caltrans program elements as well as any proposed program developments, including a thorough review of requirements for implementing and maintaining a DBE program under 49 CFR Part 26.

BBC and Holland & Knight will also provide information about how the proposed disparity study methodology and report meets relevant legal requirements.

Reporting of the legal analysis. Keith Wiener from Holland & Knight will brief Caltrans on legal issues as part of the Task 1 kick-off meeting. Holland & Knight will monitor legal developments and make any needed revisions to the legal analysis through the end of the study.

The legal analysis will ultimately result in a chapter of the disparity study report as well as a supporting appendix.

Schedule, required key personnel, and hours. Todd Pickton from BBC and Keith Wiener from Holland & Knight will collaborate to manage the legal analysis for the study. All BBC and Holland & Knight key personnel will assist in completing Task 2 as necessary.

Keith Wiener will brief Caltrans on legal issues as part of the Task 1 kick-off meeting. Holland & Knight will complete a draft of the legal analysis by the end of August 2011. Holland & Knight and BBC have already worked together to prepare similar legal analyses for many other disparity studies.

Holland & Knight will monitor legal developments and make any needed revisions to the legal analysis through December 2011.

Task 2 will require 117 hours of study team time.

Task 3 – Review of contracting procedures and DBE program measures. A thorough understanding of Caltrans' contracting procedures and of the agency's current implementation of the Federal DBE Program, will be essential to subsequent analyses.

Contracting procedures. The study team will research and document the policies and procedures that Caltrans uses as part of its construction and architecture/engineering contracting processes. In addition, we will complete a thorough review of Caltrans' existing implementation of the Federal DBE Program and certification process. That information will build on the knowledge that BBC has already gained from completing the 2007 Caltrans disparity study and from providing Caltrans with litigation support for the agency's recent, successful defense of its implementation of the Federal DBE Program. It will also help BBC assess the impact of certain policies and procedures on the participation of minority- and women-owned firms in Caltrans contracting.

BBC will also review contracting practices that sub-recipient local agencies use when awarding contracts through the Local Assistance Program (LAP).

Goal and Methodology. BBC will review Caltrans' current goal and methodology for establishing its overall annual goal for DBE participation. This information will provide background for BBC's recommendations concerning a process for setting future overall DBE goals, which we will present in the disparity study report.

Analysis and reporting. BBC will prepare sections in the disparity study report based on the information the study team gathers as part of Task 3.

Schedule, required key personnel, and hours. Sameer Bawa from BBC and Ed Salcedo from GCAP will collaborate in managing the review of contracting procedures and DBE program efforts. All BBC and GCAP key personnel will assist in completing Task 3 as necessary. Bill Curry from WSC will also assist on completing Task 3. Todd Pickton from BBC will provide review and oversight.

The study team will begin the task in July 2011 and will finalize the review at the end of September 2011.

Task 3 will require 227 hours of study team time.

Task 4 – Utilization analysis. BBC's utilization analysis will produce independent and accurate estimates of the share of prime contract and subcontract dollars that went to minority- and women-owned firms on construction and architecture/engineering contracts during the study period. Utilization data will also be used as inputs for use in the disparity analysis (for details, see Task 6).

- BBC will prepare separate utilization analyses for federally-funded and state/locally-funded Caltrans contracts, including Caltrans' 12 district offices (individually) and sub-recipient local agencies (by region).
- With regard to federally-funded contracts, the utilization analysis will focus primarily on FHWA- and FTA-funded contracts.

- BBC's utilization analysis will examine Caltrans' utilization of both DBE-certified and non-certified minority- and women-owned firms.

BBC will examine construction and architecture/engineering contracts that Caltrans and sub-recipients awarded between January 1, 2007 and December 31, 2010. Caltrans estimates that, during that time, the agency awarded approximately 8,000 contracts potentially eligible for examination in the disparity study, including contracts that sub-recipients awarded through the LAP.

Caltrans contracting and vendor data. The study team will develop a thorough understanding of the information and reporting systems that the Division of Engineering Services, the Division of Procurement and Contracts, and the Construction Division uses as part of its construction and architecture/engineering contracting processes. The study team will use electronic contract data and hard copy contract data (as necessary) from Caltrans and Caltrans district offices to develop a utilization database that includes the following information about each relevant contract that Caltrans awarded during the study period:

- Contract name and identification number;
- Contract award date;
- Prime contractor name and vendor number;
- Original dollar amount of the contract and corresponding change order information;
- Description of type of work involved in the contract (if available);
- Funding source of the contract — federal (by type) or state/local; and
- Primary location of the project (e.g., Caltrans district or other area).

BBC will request the above information for prime contracts, first-tier subcontracts, and supplier agreements.³ If possible, BBC will also request any available data for specific task orders under broader contracts (e.g., on certain engineering contracts).

BBC will also compile Caltrans information on firms performing its construction and architecture/engineering prime contracts and subcontracts. The study team will collect full addresses, phone numbers, and other identifying information for each utilized prime contractor and first-tier subcontractor from electronic vendor data that Caltrans maintains. We will also collect certain electronic information that Caltrans maintains in the California United Certification Program (CUCP).⁴

³ BBC understands that Caltrans only maintains electronic data about first-tier subcontracts on construction contracts worth more than \$120,000 and only for those subcontractors performing work in excess of one-half of 1 percent of the total bid (or \$10,000, whichever is greater).

⁴ There is information contained in the CUCP and in certification databases that sub-recipient local agencies use about out-of-state DBEs. The emphasis of BBC's analyses will be on those DBEs that are located within the State of California.

Sub-recipient local agency contracts. Caltrans does not currently receive comprehensive information on subcontracts associated with sub-recipient local agency contracts that use federal or state/local funds that are passed through Caltrans. As part of the utilization analysis, BBC will collect information for a representative sample of contracts that sub-recipients awarded through the LAP between January 1, 2007 and December 31, 2010. That information will be analyzed separately and also combined with Caltrans-awarded contracts to provide a comprehensive analysis of minority- and women-owned business participation on construction and architecture/engineering contracts.

BBC will begin by requesting from the Division of Local Assistance current information for contracts that sub-recipient local agencies awarded through the LAP, including:

- Local agency;
- Contract name and identification number;
- Contract award date;
- Prime contractor name;
- Original dollar amount of the contract and any change order information;
- Description of type of work involved in the contract (if available);
- Funding source of the contract — federal (by type) or state/local;
- Caltrans district pertaining to the local agency; and
- Any information on subcontractors used.

BBC will develop a stratified random sample of contracts that sub-recipients awarded through the LAP and work with Caltrans to contact sub-recipient local agencies to request more information about those contracts. A second level of data collection may be necessary to request complete subcontractor information (including award amounts) directly from prime contractors to which local agencies awarded the contracts. BBC will develop the precise sample size in consultation with Caltrans, but has budgeted for a total sample of approximately 500 contracts over the four-year study period (only a portion for which we expect to obtain complete subcontract information).

BBC will be responsible for drafting data request letters on behalf of Caltrans. We will work with Caltrans to send the letter to sub-recipient local agencies (and possibly prime contractors) and make introductory and follow-up phone calls as required to maximize sub-recipient and prime contractor response rates. The BBC study team will be responsible for design of the data collection forms and all related data entry and data analysis.

Utilization interviews. The study team will conduct primary research to learn more about the firms that Caltrans and sub-recipient local agencies utilized during the study period. The study team will conduct telephone interviews with utilized firms to establish their size; race/ethnicity/gender of ownership; and other relevant firm characteristics. BBC will also match firms with records in

Dun & Bradstreet (D&B) Marketplace listings. Information from the utilization interviews will supplement Caltrans and sub-recipient data on prime contractors and subcontractors, enabling a more accurate assessment of utilization.

Utilization analysis. After receiving contracting and vendor data from Caltrans and sub-recipient local agencies and after completing utilization interviews, BBC will begin the utilization analysis. The study team will code type of work; location of work; and other characteristics for each contract and subcontract. We will then proceed to examine Caltrans' utilization of minority- and women-owned firms as a percentage of dollars that Caltrans awarded to all firms. The study team will identify utilization together for all minority and women-owned firms and separately for each racial/ethnic/gender group defined by 49 CFR Part 26 — African American-, Hispanic American-, Asian-Pacific American-, Subcontinent Asian American-, Native American- and white women-owned firms. BBC will examine utilization of DBE-certified and non-certified minority- and women-owned firms.

A focus of the utilization analysis will be a comparison of utilization of minority- and women-owned firms on Caltrans contracts to which DBE goals applied (federally-funded contracts that Caltrans awarded on or after the beginning of federal fiscal year 2009) to utilization on Caltrans contracts to which DBE goals did not apply (state/locally-funded contracts and federally-funded contracts that Caltrans awarded before federal fiscal year 2009). That comparison will be one way for BBC to assess the impact of race-and gender-conscious measures on the participation of minority- and women owned firms in Caltrans contracting.

Analysis and reporting of utilization data. BBC will report overall utilization of minority- and women owned firms on Caltrans and sub-recipient contracts that were awarded during the study period. In addition, at a minimum, for each racial/ethnic/gender group defined by 49 CFR Part 26, BBC will report utilization separately by:

- **Time period.** BBC will report utilization of minority- and women-owned firms separately by study period year, showing any changes in Caltrans' utilization of minority- and women-owned firms during the study period.
- **Contract role.** BBC will report utilization of minority- and women-owned firms separately by contract role (i.e., prime contracts versus subcontracts).
- **Contract origination.** BBC will report utilization of minority- and women-owned firms separately for contracts that Caltrans awarded and for contracts that sub-recipient local agencies awarded through the LAP.
- **Type of work.** BBC will report utilization separately for the different industry groups included as part of the study — construction and architecture/engineering contracts. BBC will also determine the subindustries in which Caltrans typically spends contracting dollars and the dollar amounts spent in each subindustry (e.g., highway construction).

- **Contract size.** BBC will report information about utilization of minority- and women-owned firms for subsets of contracts and subcontracts of different sizes, such as those above or below a certain dollar threshold.
- **Funding source.** BBC will report utilization of minority- and women-owned firms separately for federally- and state/locally-funded contracts, allowing comparisons between contracts that did and did not include DBE contract goals.

As part of the utilization analysis and reporting, BBC will also provide information about total contract dollars that Caltrans and local agencies awarded during the study period by each of the factors listed above.

The utilization analysis will be summarized in a chapter of the disparity study report with a supporting appendix that will discuss the methodology that BBC used, such as the types of contracts that the study team analyzed and the data sources that the study team used.

Schedule, required key personnel, and hours. Sameer Bawa from BBC will manage the compilation and analysis of Caltrans and sub-recipient local agency prime contract and subcontract data, with assistance from Ed Salcedo from GCAP. All BBC and GCAP key personnel will assist in completing Task 4 as necessary. Todd Pickton from BBC and Dave Keen from KIR will provide review and oversight.

BBC will be responsible for drafting data request letters on behalf of Caltrans for local agency contract data collection. Caltrans will be responsible for sending the letter to local agencies (and possibly prime contractors) and making introductory and follow-up phone calls as required to maximize local agency and prime contractor response. BBC and GCAP will be responsible for design of the data collection forms, data entry, and data analysis.

After receipt of contract and subcontract data, BBC will:

- Purchase and append Dun & Bradstreet Marketplace information for utilized prime contractors and subcontractors;
- Conduct interviews with utilized firms to establish their size; race/ethnicity/gender of ownership; and other relevant firm characteristics;
- Create a database of firms to be used in the subsequent utilization analysis; and
- Analyze the number of contracts and subcontracts and dollars awarded for categories of contracts, work types and geographic regions.

BBC and GCAP will initiate contract and vendor data collection in July 2011. BBC will submit utilization data for Caltrans review in November 2011. The BBC study team will complete the utilization analysis at the end of November 2011.

Task 4 will require 733 hours of study team time.

Task 5 – Availability analysis. BBC's availability analysis will yield estimates of the availability of minority-, women-, and white male-owned firms (by race/ethnicity/gender) that are ready, willing, and able to perform work on Caltrans' construction and architecture/engineering contracts (i.e., public highway transportation contracts). The availability analysis will support setting overall statewide DBE goals and future contract goals in connection with Caltrans' implementation of the Federal DBE Program. Availability information will also be used to develop benchmarks for use in the disparity analysis (for details, see Task 6).

- For purposes of establishing overall DBE goals, BBC will consider the availability of both DBE-certified and non-certified minority- and women-owned firms, in line with USDOT guidance.
- BBC will provide availability estimates for DBE-certified and non-certified minority- and women-owned firms separately for different industry groups included as part of the study — construction and architecture/engineering contracts — as defined by Standard Industrial Classifications and by North American Industry Codes.
- BBC will provide availability estimates for DBE-certified and non-certified minority- and women-owned firms on a county-by-county basis and on a Caltrans district-by-district basis.

As in the 2007 Caltrans disparity study that BBC conducted, we propose a “custom census” approach to the availability analysis that will require primary data collection from firms performing relevant types of work within the local marketplace.

Determining relevant geographic market area. BBC will begin the availability analysis by examining the geographic market areas in which Caltrans spends the majority of its contracting dollars, using information from the utilization analysis and information from the 2007 Caltrans disparity study. The relevant geographic market area for Caltrans construction and architecture/engineering contracts appears to be the entire State of California, based on BBC's 2007 Caltrans work. Although BBC's work plan for the availability analysis is based on this preliminary information, the study team will carefully consider whether Caltrans contract data for the current study indicate a different relevant geographic market area.

Availability interviews. The BBC study team will create a database of firms ready, willing, and able to provide construction and architecture/engineering services to Caltrans. We will use a combination of data sources to ensure thorough and representative coverage of relevant industry groups and geographical areas. BBC will begin the process of developing an availability database by purchasing phone numbers and other contact information from D&B Marketplace for firms doing business in relevant subindustries in the relevant geographic marketplace.⁵ The study team will then attempt to contact all of those firms via telephone to complete availability interviews with business owners and

⁵ D&B Marketplace represents a comprehensive “phone book” for businesses across the United States. D&B does not require firms to pay a fee to be included in its Marketplace listings — it is completely free to listed firms. D&B Marketplace is accepted as the most comprehensive source of business listings in the nation.

managers. The BBC study team will attempt to contact all potentially available firms, not just a sample of them.

The availability interviews will assess various topics, including:

- Qualifications and interest in work for Caltrans, local governments, and the private sector;
- Qualifications and interest in work as a prime contractor, a subcontractor, and a supplier;
- Firm specialization (i.e., primary line of work);
- "Bid capacity," as measured by the largest contract or subcontract bid on or performed within the recent past (i.e., five years);⁶
- Geographic scope of service (defined by county or Caltrans districts);
- How long the firm has been in business;
- Whether the firm has multiple locations in the state;
- Race/ethnicity/gender of ownership;
- DBE certification status;
- Number of employees; and
- Gross revenue.

In addition to the above firm characteristics, the availability interviews will collect information about potential barriers in the California marketplace, including:

- Firm owners' experiences with doing business with Caltrans;
- Observations regarding barriers to starting and growing businesses in California;
- Information concerning bonding and insurance, equipment, staffing, and resources; and
- Experiences of subcontractors working with prime contractors.

BBC anticipates attempting availability interviews with more than 40,000 businesses in the relevant geographic marketplace. Firm managers and owners who wish to complete the survey via fax or email will be given that opportunity.

⁶ In addition, BBC will attempt to collect other information about firm capacity to participate in Caltrans construction and architecture/engineering contracts, such as information about finances, bonding, insurance, equipment, staffing, and other resources.

Availability database. Information from completed availability interviews will form an availability database that BBC will use to identify firms that are potentially available to participate in Caltrans construction and architecture/engineering contracts, and the proportion of those firms that are minority- or women-owned (regardless of DBE certification). The database will list various information including firm names, contact information, race/ethnicity/gender of ownership, primary line of work, and capacity information. To confirm information collected during availability interviews — particularly information about race/ethnicity/gender of ownership — the study team will also draw on information from the CUCP, Caltrans vendor data, and other sources.

Calculating availability. As in the 2007 Caltrans disparity study that BBC conducted, the study team will use a bottom-up “matching” approach to determining availability for Caltrans contracts and subcontracts.

1. For each contract element (i.e., prime contract, subcontract, or supply portion), BBC will identify the type of work, contract role, size of work, and location of work based on Caltrans contract data.
2. BBC will then identify firms in the availability database that report they are qualified and interested in performing that specific type of work for Caltrans (or local governments, as appropriate) in that particular contract role, *and* have bid on or performed work of that size, *and* are available to work in that geographic location.
3. BBC will determine the number of minority- and women-owned firms among all firms available for that particular contract element (e.g., three white women-owned firms, one African American-owned firm, one Subcontinent Asian American-owned firm, three Hispanic American-owned firms, one Native American-owned firm and 11 majority-owned firms out of 20 firms available to perform that contract element).
4. The study team will then translate the numeric availability for a contract element into percentage availability for the contract element (Continuing the example above, 15% for WBEs, 5% for African American-owned firms, etc.).
5. BBC will then multiply the percentage availability by the dollars associated with the contract element, add results across contract elements, and divide by total dollars for all contract elements, to produce a dollar-weighted estimate of overall availability of minority- and women-owned firms.

The resulting availability estimates will establish benchmarks in the disparity analysis for assessing the actual share of dollars going to each racial/ethnic/gender group (i.e. utilization). The availability figures will also serve as a starting point for determining an overall DBE goal (i.e., establishing the step 1 base figure of Caltrans’ overall DBE goal).

Availability analysis and reporting. The study team will use results to prepare overall availability estimates, as well as separate availability estimates based on various factors and on different sets of contracts. At a minimum, we will compute and report availability estimates for minority- and women-owned firms separately for:

- Specific groups of minority- and women-owned firms;
- Construction and architecture/engineering contracts;
- California counties;
- Caltrans districts; and
- Each year of the study period, showing any changes in the availability of minority- and women-owned firms during the study period.

BBC will also provide Caltrans with an Excel spreadsheet that we will submit on CD that lists all firms included in our availability database, regardless of DBE certification. The spreadsheet will include the following information about each firm, if data are available:

- Firm name;
- Owner's name;
- Physical and mailing address;
- Phone number;
- Fax number;
- Email address;
- Relevant industry codes;
- Race/ethnicity/gender of ownership;
- DBE certification status;
- Whether the firm is qualified to become DBE certified, regardless of actual DBE certification; and
- DBEs that would otherwise exist but for the effects of discrimination.

The availability and capacity analysis will be summarized in a chapter of the disparity study report with supporting appendices that include a detailed discussion of the methodology that BBC used and detailed disparity results tables.

Schedule, required key personnel, and hours. Todd Pickton from BBC will manage collection and analysis of the availability data. All BBC key personnel will assist in completing Task 5 as necessary. Dave Keen from KIR will provide review and oversight.

BBC will conduct a preliminary assessment of the relevant geographic and product markets for Caltrans contracts through interviews with Caltrans personnel and information from the utilization analysis. BBC will conduct the availability interviews beginning in July 2011 through September 2011. Final assessment will rely on the utilization databases developed from Caltrans data that will be completed in November 2011. The study team will complete the availability analysis in November 2011 as BBC finalizes the utilization analysis (Task 4).

Task 5 will require 511 hours of study team time.

Task 6 – Disparity analysis. As in the 2007 Caltrans disparity study, BBC will use sophisticated quantitative techniques to compare the utilization of minority- and women-owned firms to the dollars those firms would be expected to receive based on their availability for specific types and sizes of construction and architecture/engineering contracts. For each racial/ethnic/gender group, the disparity analysis will examine the absolute difference between utilization and availability and the relative difference between utilization and availability (i.e., a disparity index). BBC will also analyze the statistical significance of any identified disparities. BBC will perform the disparity analysis for contracts that did and did not include DBE goals.⁷

Disparity analysis and reporting. At a minimum, BBC will report disparity results by race/ethnicity/gender for different:

- Time periods;
- Contract roles;
- Types of work;
- Contract sizes; and
- Funding sources.

The study team will also assess whether any observed disparities are statistically significant. BBC's approach to examining statistical significance of any disparities will involve Monte Carlo simulations of Caltrans contract and subcontract awards. This statistical technique accounts for the size of contracts and subcontracts as well as the number of prime contracts and subcontracts in determining whether any disparity can be explained by random chance alone.

As part of the disparity analysis, BBC will consult closely with Caltrans to identify factors to consider in determining the existence of any disparities and the magnitude or extent of any disparities for specific DBE groups.

The disparity analysis will be summarized in a chapter of the disparity study report with a supporting appendix that includes a detailed discussion of the methodology that BBC used.

⁷ An absence of disparities on contracts that included DBE goals might demonstrate the effectiveness of Caltrans' use of contract-specific DBE goals.

Schedule, required key personnel, and hours. Kevin Williams from BBC will manage the disparity analysis. All BBC key personnel will assist in completing Task 6 as necessary. Todd Pickton from BBC and Dave Keen from KIR will provide review and oversight.

The study team will complete the disparity analysis in December 2011, as BBC finalizes the disparity and availability analyses (Tasks 4 and 5, respectively).

Task 6 will require 322 hours of study team time.

Task 7 — Explanations for any observed disparities. BBC's disparity study report will include an assessment of possible explanations for any disparities in Caltrans' utilization of minority- and women-owned firms in its construction and architecture/engineering contracts. This analysis will include an assessment of possible neutral explanations for any disparities, including any current contracting practices that may lead to any underutilization of minority- and women-owned firms. It will also help identify the effectiveness of race- and gender-neutral strategies that Caltrans uses to encourage the participation of small businesses, including those that are minority- or women-owned.

As part of the Task 7, BBC will also conduct an analysis of past bidding on a representative sample of contracts that Caltrans awarded during the study period, based on information from past bid and proposal files. The study team will begin the analysis by drawing a random sample of construction and architecture/engineering contracts to be examined, stratified by various factors such as time period and contract size. Then, BBC will examine bid and proposal information from corresponding contracting and proposal files to assess which firms competed for the work and whether minority- and woman-owned firms fared differently than similarly-situated white male-owned firms in receiving contract awards.

Analysis and reporting. BBC will append information about the bidding firms in this analysis from data developed in the utilization and availability analyses. The analysis will result in a detailed database that tracks the participation of minority- and women-owned firms in each step of the contracting process. BBC will complete an analysis of any patterns in how contracts were bid; how bidders and proposers were evaluated; and the competitiveness of bids and proposals that minority- and women-owned firms submitted.

BBC will prepare sections in the disparity study report based on the information the study team gathers as part of Task 7. The sections will include a detailed discussion of the methodology that BBC used for Task 7.

Schedule, required key personnel, and hours. Todd Pickton from BBC and Ed Salcedo from GCAP will collaborate in managing data collection and analysis related to examining explanations for any observed disparities. All BBC and GCAP key personnel will assist in completing Task 7 as necessary.

BBC and GCAP will begin collecting data for bidding analysis at the beginning of September 2011. BBC would append information about the bidding firms in the case studies from data developed in the utilization and availability analyses. BBC would produce a database of firm participation in each stage of the contracting process in December 2011 and complete Task 7 analyses.

Task 7 will require 364 hours of study team time.

Task 8 – Quantitative analysis of marketplace conditions. As in the 2007 Caltrans disparity study, BBC will conduct quantitative analyses of the relative success of minorities and women and minority- and women-owned firms throughout California’s public highway transportation contracting industry. BBC will compare business outcomes for minorities, women, and minority- and women-owned firms to outcomes for white males and white male-owned firms in the areas of entry and advancement; business ownership; access to capital, bonding, and insurance; and success of businesses.

These analyses will indicate whether there is evidence that discrimination in the relevant geographic marketplace has affected the ability of minority- and women-owned firms to form, grow, and successfully compete for project work, including for Caltrans construction and architecture/engineering contracts. A critical portion of the analysis will examine whether there is statistical information indicating barriers to entry into the local construction, engineering, or related industries. Through sophisticated quantitative models, BBC will also research whether:

- Bid capacity of minority- and women-owned firms is constrained relative to what is found for white male-owned firms (i.e., Are majority-owned firms able to bid on larger projects than minority- and women-owned firms after controlling for other factors?); and
- Availability of minority- and women-owned firms in the California public highway transportation contracting industry would be different but for any race- or gender-based discrimination.

Based on our analyses of marketplace conditions, BBC will also identify specific DBE groups that may have suffered from the effects of race- and gender-based discrimination and thus may require additional assistance and resources.

Data sources. The study team will base its quantitative marketplace analyses on employment, revenues, and age data collected for firms in the availability analysis; industry-specific U.S. Census data on employment, advancement, self-employment, and firm revenue; the Federal Reserve Board’s Survey of Small Business Finances; and other data sources.

Analysis and reporting. BBC will prepare a report chapter based on the marketplace analyses as well as several, detailed report appendices that include a detailed discussion of the methodology that BBC used.

Schedule, required key personnel, and hours. Kevin Williams from BBC will manage quantitative analyses of marketplace conditions. All BBC key personnel will assist in completing Task 8 as necessary. Todd Pickton from BBC will provide review and oversight.

BBC will conduct quantitative analyses of marketplace conditions between July 2011 and December 2011. Portions of the analysis will need to wait until the availability database is complete.

Task 8 will require 312 hours of study team time.

Task 9 – Qualitative analysis of marketplace conditions

In addition to analyzing quantitative information about the local marketplace, the study team will collect qualitative information about potential barriers that small businesses — including minority- and women-owned firms — face in the California construction and architecture/engineering industries.

Analysis of responses in the Availability Interviews. Telephone interviews with firm owners and managers that the BBC study team will conduct as part of the availability analysis will include questions concerning general marketplace conditions, including potential barriers associated with obtaining credit, obtaining bonding, and receiving payment. The study team will analyze results of those questions as part of the qualitative analysis of California marketplace conditions. We anticipate receiving comments and suggestions from hundreds — and perhaps thousands — of interview participants.

Assessment of any complaints. The study team will request information concerning any formal or informal complaints related to discrimination and contracting practices that Caltrans has collected in the time period after the completion of the 2007 disparity study. BBC's qualitative analysis of marketplace conditions will include an assessment of any such information.

Assessment of information from other studies. As appropriate, the BBC study team will review qualitative and other relevant information developed in recent, publicly-released disparity studies in the relevant geographic marketplace related to the California highway transportation contracting industry. The review will include relevant information from the seven DBE disparity studies that BBC completed in the State of California in the past five years:

- Caltrans disparity study, 2007;
- Los Angeles County Metropolitan Transportation Authority disparity study, 2009;
- Metropolitan Transit System disparity study, 2009;
- San Diego Association of Governments disparity study, 2009;

- Southern California Regional Rail Authority disparity study, 2009;
- Orange County Transportation Authority disparity study, 2009; and
- San Diego County Regional Airport Authority, 2009.

In-depth anecdotal interviews. As part of Task 9, the study team will also conduct 40 in-depth, in-person interviews with business owners throughout California. Businesses that the study team interviews will be a mix of firms that have participated in Caltrans contracting in the past and firms available for Caltrans contracts that may not have been successful in obtaining that work. A stratified random sample of firms of different ownership and business types will be included to provide a broad cross-section of the business community within the local marketplace. The interviews will be conducted with DBE-certified and non-certified minority and women-owned firms as well as with white male-owned firms.

The one- to two-hour interviews will provide interviewees with the opportunity to discuss various topics related to the California highway transportation contracting industry, including:

- DBE participation;
- Evidence of race- or gender-based discrimination;
- Promptness of payment;
- Governmental or union practices;
- Perceived barriers to contracting in the public and private sectors;
- Difficulties accessing needed capital, bonding, insurance;
- Experiences as prime contractors and subcontractors; and
- Other marketplace conditions.

The resulting information may help to identify prevailing practices in the public and private sectors that could lead to any underutilization of minority-and women-owned firms, and may also help identify the effect of race- and gender-neutral strategies in encouraging the utilization of small businesses, including those that are minority- and women-owned.

Focus groups. The study team will conduct two focus groups with trade association representatives in California to have free-flowing discussions about marketplace conditions in the state's highway transportation contracting industries. The study team will conduct focus groups with trade associations that represent different DBE groups and the California construction and architecture/engineering industries. One focus group will be conducted in Southern California and one focus group will be conducted in the Sacramento area.

The focus groups will provide participants with the opportunity to discuss many of the same issues as the in-depth anecdotal interviews. The resulting information will provide different perspectives on prevailing practices in the public and private sectors that could lead to any underutilization of minority- and women-owned firms and the effect of race- and gender-neutral strategies in encouraging the utilization of small businesses, including those that are minority- and women-owned.

Analysis and reporting. The study team will analyze all resulting qualitative information and identify and report key themes and comments pertinent to the California highway transportation contracting industry and the issues described above. Comments from the in-depth anecdotal interviews and the focus groups will be summarized in a detailed appendix to the report, and several report chapters will draw on information from all of the qualitative analysis. The study team will also report relevant information and comments from anecdotal interviews that we previously completed as part of our recent disparity studies in the State of California.

Schedule, required key personnel, and hours. Madolyn Jones from BBC, Chris Reeve from Faro, and Bill Curry from WSC Consulting will collaborate to manage qualitative analyses of marketplace conditions. All BBC, Faro, and WSC key personnel will assist in completing Task 9 as necessary. Todd Pickton from BBC will provide review and oversight.

Task 9 will begin in July 2011 and will be completed in November 2011. Faro and WSC will conduct in-depth anecdotal interviews between August 2011 and October 2011 with BBC oversight. BBC will conduct the focus groups in August 2011.

Task 9 will require 558 hours of study team time.

Task 10 – Overall goal for DBE participation. Caltrans is required to prepare an overall aspirational goal for DBE participation in federally-funded contracts. Preparation of the DBE goal begins by determining a “step 1” base figure for DBE participation and then considering possible “step 2” adjustments, in accordance with 49 CFR Part 26, Subpart C, Section 26.45 and FHWA guidance related to DBE goal-setting methodology. BBC will provide recommendations related to DBE goal-setting based on the availability analysis and other information from the study, relevant case law, and USDOT requirements and guidance (e.g., 49 CFR Part 26, Subpart C, Section 26.45 and USDOT guidance on FY 2006 DBE goal setting approval process and DBE program plans).

BBC’s calculation of the base figure will include minority- and women-owned firms that are not currently DBE-certified but could presumably become certified based on information concerning their gross revenue (collected as part of the availability interviews). This approach is consistent with USDOT guidance. BBC will review relevant types of information for potential “step 2” adjustments that are outlined in the Federal DBE Program using data that the study team gathers in previous tasks.

Analysis and reporting. BBC will provide recommendations related to determining a “step 1” base figure for DBE participation and possible “step 2” adjustments in the disparity study report. We will also include a detailed discussion about recommended methodologies.

Schedule, required key personnel, and hours. Todd Pickton from BBC will manage Task 10. All BBC key personnel will assist in completing Task 10 as necessary. Dave Keen from KIR and Keith Wiener of Holland & Knight will provide review and oversight.

BBC will summarize goal setting methodology and produce relevant recommendations in December 2011.

Task 10 will require 98 hours of study team time.

Task 11 – Recommendations for DBE program elements and possible enhancements.

The study team will assess study findings and provide information for Caltrans to project the portion of its overall annual DBE goal to be achieved through neutral measures and the portion (if any) to be achieved through race- and gender-conscious measures. BBC will provide Caltrans with examples of how to project the portion of the overall annual DBE goal that might be met through race- and gender-neutral means.

BBC will also propose enhancements to any future DBE contract goals program, improved sub-recipient local agency compliance with the Federal DBE Program, and additional initiatives and programs for consideration. The study team will also recommend how often future disparity and availability studies need to be conducted to maintain program validity and integrity.

Analysis and reporting. BBC will summarize DBE program elements and recommendations in a separate report chapter. Before preparing reports and presentations, the study team will explore results and recommendations with Caltrans' management and staff.

Schedule, required key personnel, and hours. Todd Pickton from BBC will manage Task 11. All BBC key personnel will assist in completing Task 11 as necessary. Dave Keen from KIR and Keith Wiener of Holland & Knight will provide review and oversight.

BBC will complete Task 11 in December 2011.

Task 11 will require 159 hours of study team time.

Task 12 – Reports and presentations. The BBC study team will consider the totality of quantitative and qualitative research that we complete as part of the disparity study to prepare disparity study reports and final presentations. We will summarize results related to potential disparities in the availability and utilization of minority- and women-owned firms in highway transportation-related construction and architecture/engineering contracts that Caltrans and sub-recipient local agencies awarded during the study period. We will also identify and define the existence and scope of potential race- and gender-based discrimination. We will examine evidence overall and separately for each racial/ethnic/gender group.

Reports. In addition to the report information described above and for each individual work plan task, BBC will include information about the following topics in the draft and final disparity study reports:

- Explanations for the basis of information that the study team used in conducting the disparity study;
- Descriptions of the information that the study team considered as part of the disparity study, the methodology that we used to select and exclude information, and the weights assigned to different types of information;
- Studies and findings of other government agencies and commissions that are relevant to the Caltrans disparity study, including information from recent disparity studies that BBC has conducted within the State of California;
- Comparisons and discussion of results and recommendations from the 2007 Caltrans disparity study, which BBC conducted; and
- Complexities associated with measuring potential discrimination as related to Caltrans' use of race- and gender-neutral and race- and gender-conscious measures as part of its implementation of the Federal DBE program.

Based on BBC's work plan and information presented in Exhibit A of the RFP, BBC expects the draft and final disparity study reports to include the chapters and appendices presented in Figure 1 on the next page. BBC will discuss the report outline at the kick-off meeting and at subsequent management meetings. As necessary, we will reorganize the report to best meet Caltrans' needs.

Figure 1.
Proposed chapters and appendices to be included in the draft and final reports

<p>Report sections</p> <p>Chapters</p> <ul style="list-style-type: none">Chapter ES - Executive SummaryChapter 1 - Introduction and BackgroundChapter 2 - Legal AnalysisChapter 3 - Collection and Analysis of Contract DataChapter 4 - Marketplace ConditionsChapter 5 - Availability AnalysisChapter 6 - Utilization and Disparity AnalysisChapter 7 - Contracting practices and Business Assistance ProgramsChapter 8 - Caltrans' Overall Goal for DBE ParticipationChapter 9 - Recommendations for Caltrans' Implementation of the Federal DBE Program <p>Appendices</p> <ul style="list-style-type: none">Appendix A - Definition of TermsAppendix B - Legal Analysis and FrameworkAppendix C - Study AssumptionsAppendix D - General Approach to the Availability AnalysisAppendix E - General Approach to the Utilization AnalysisAppendix F - Marketplace Conditions Concerning Entry and AdvancementAppendix G - Marketplace Conditions Concerning Business OwnershipAppendix H - Marketplace Conditions Concerning Access to Capital, Bonding, and InsuranceAppendix I - Marketplace Conditions Concerning Success of BusinessesAppendix J - Description of Marketplace Conditions Data SourcesAppendix K - Summary of Qualitative Analyses of Marketplace ConditionsAppendix L - Disparity Results Tables

The report sections outlined in Figure 1 will include all of the information specified in Section 7, Item V of Exhibit A: Consulting Services Agreement of the Request for Proposals (pages 7 and 8 of Exhibit A).

Report delivery. Following submission of the draft report, the study team will meet in person with Caltrans representatives to discuss the report. After obtaining Caltrans feedback, BBC will submit bound, hardcopy versions and electronic versions of the final report.

Presentations. The BBC study team will give two in-person final presentations just prior to submitting the final disparity study report:

- The study team will present a summary of results, recommendations, and next steps to Caltrans staff in Sacramento.
- The study team will present a summary of results, recommendations, and next steps to the Statewide Small Business Council, partnership committees, and Caltrans stakeholders in Sacramento.

BBC will rely on Caltrans to schedule the final presentations.

Data. BBC will provide data concerning the utilization and availability of firms in Excel spreadsheets, Access databases, or other suitable formats.

Schedule, required key personnel, and hours. Sameer Bawa from BBC and Dave Keen from KIR will collaborate to manage report writing and presentation development. All BBC key personnel will assist in completing Task 12 as necessary. Todd Pickton from BBC and Keith Wiener of Holland & Knight will provide review and oversight.

BBC will submit the draft disparity study report at the end of December 2011. After obtaining Caltrans feedback and after conducting public forums (see Task 13), BBC will submit the final disparity study report at the end of February 2012.

Just prior to submitting the final disparity study report, the BBC study team will be available to give two in-person final presentations. Study team participants at the final presentations will include Todd Pickton and Sameer Bawa from BBC; Dave Keen from KIR; Keith Wiener from Holland & Knight; Ed Salcedo from GCAP; Chris Reeve from Faro; and Bill Curry from WSC.

Task 12 will require 614 hours of study team time.

Task 13 – Public hearings. The BBC study team will conduct public hearings throughout the State of California to provide local business owners, trade association representatives, and other knowledgeable individuals the opportunity to share their perceptions and experiences about doing business in California and about the draft disparity study report. The public would be invited to share their perceptions related to many topics including any perceived barriers to contracting in the public and private sectors; any difficulties accessing needed capital, bonding, insurance, supplies, and labor; experiences as prime contractors and subcontractors; and the draft disparity study report. Information from the public hearings would be included as part of the study team's qualitative analysis of marketplace conditions (Task 9). Testimony from the public hearings and any written comments would be analyzed and included, as appropriate, as part of the corresponding report appendix.

- BBC will begin Task 13 by submitting a draft report to Caltrans suitable for posting online.
- Caltrans will be responsible for public notice concerning the public hearings and making the draft report available for public comment.

- We recommend that Caltrans provide two weeks between notice of the public hearings (and posting of the draft report) and the first public hearing. BBC will facilitate six public hearings throughout the state.
- Caltrans will be responsible for providing transcription services for each hearing and the BBC study team would review recorded testimony. The public will be encouraged to submit written comments as well.
- The BBC study team will incorporate results of public hearing testimony and written comments into the final disparity study report.

Task 13 is similar to the scope of the public hearings included in the 2007 disparity study.

Schedule, required key personnel, and hours. Sameer Bawa from BBC and Ed Salcedo from GCAP will collaborate to manage the public hearing process. All BBC and GCAP key personnel will assist in completing Task 13 as necessary. Todd Pickton from BBC will provide review and oversight.

BBC and GCAP will begin conducting the public hearings in January 2012, two weeks after Caltrans reviews the draft disparity study report and makes it available online for public comment. BBC will incorporate results of public hearing testimony and written comments into the final disparity study report in February 2012.

Task 13 will require 189 hours of study team time.

Work Schedule

The BBC study team will submit the draft disparity study report within six months of study commencement and the final disparity study report within eight months of study commencement, assuming that public hearings can be held between publishing the draft and final reports. The BBC study team is uniquely positioned to adhere to the strict timeline that Caltrans has established for the disparity study. As a result of completing the 2007 Caltrans disparity study and recently providing the agency with related litigation support, BBC has gained a thorough understanding of the agency's data systems, its contracting practices and procedures, and other topics related to completing the current disparity study. BBC's knowledge and understanding of working with Caltrans will ensure that we will complete the study as timely and as efficiently as possible.

Figure 2 on the following page presents a proposed work schedule for completing the Caltrans disparity study in eight months. The schedule presented in Figure 2 is based on the estimated study commencement date of June 28, 2011

SECTION D.
Personnel

SECTION D. Personnel

As necessary, BBC will draw on its staff of qualified researchers to complete the Caltrans disparity study as well as on key personnel from KIR, Holland & Knight, GCAP, Faro, and WSC. Figure 3 lists key personnel from each of those firms that will be involved with the Caltrans disparity study.

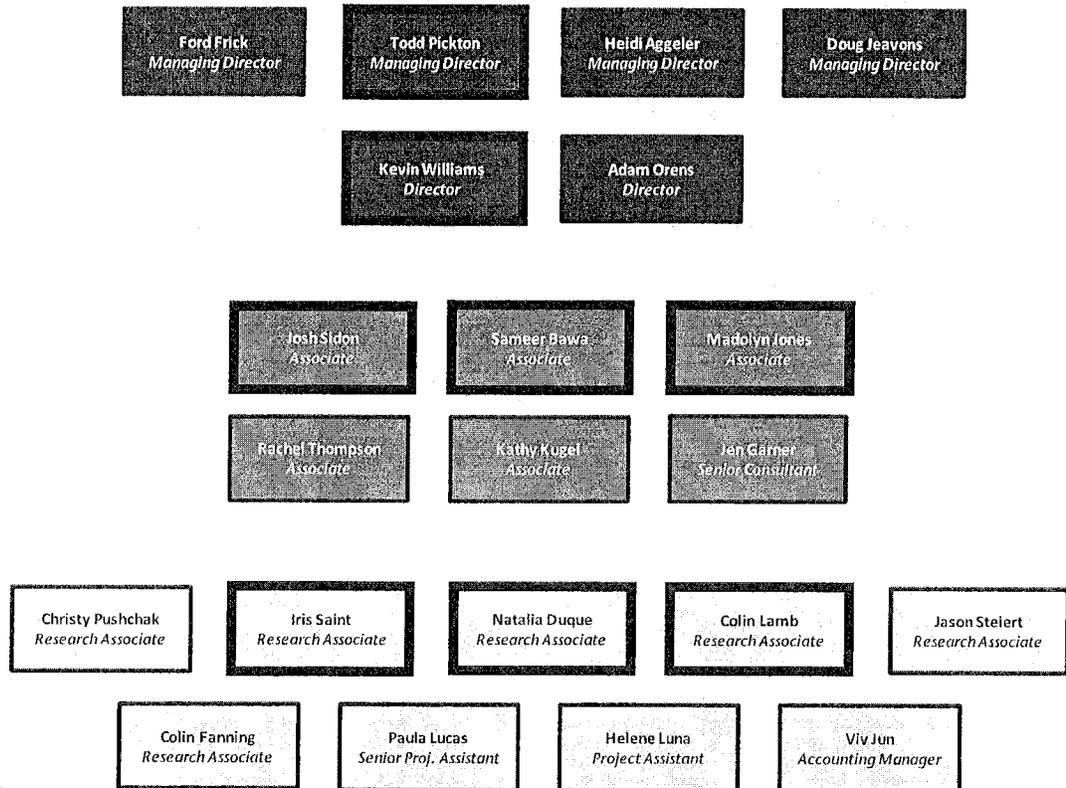
Figure 3.
 Key personnel from each study team firm that will be involved with the Caltrans disparity study

Firm	Key personnel
BBC Research & Consulting	Todd Pickton Kevin Williams Sameer Bawa Josh Sidon Madolyn Jones Iris Saint Natalia Duque Colin Lamb
Keen Independent Research	Dave Keen
Holland & Knight	Keith Wiener Sarah Zampell Ashley Plemons
GCAP Services	Ed Salcedo Rena Salcedo Claudia Gonzalez
WSC Consulting	Bill Curry
Faro Consulting & Solutions	Chris Reeve Mike Primavera

Section D presents information about key BBC personnel that will be involved with the Caltrans disparity study. For details about BBC's subconsultants and subconsultant key personnel, see Section G of the proposal.

Figure 4 presents BBC's organizational structure with key personnel that will be involved with the Caltrans disparity study highlighted in red.

Figure 4.
BBC organizational structure



Biographies

Brief biographies for key BBC personnel that will be involved with the Caltrans disparity study are presented on the following pages. For each key personnel, we present:

- Classification title;
- Qualifications;
- Similar work or studies performed; and
- Assigned tasks and hours for the Caltrans disparity study.

A full resume for each BBC key personnel is presented at the end of Section D.

Todd Pickton, BBC Managing Director. Mr. Pickton has served in a project management role on more than 20 disparity and availability studies and has more than a decade of relevant project experience. He served as Assistant Project Manager on the 2007 Caltrans disparity study and will serve as Project Manager on the current Caltrans disparity study. Mr. Pickton has expertise in complex statistical analyses across many different fields and has managed studies for state and local governments all across the country. He recently served in project management roles for BBC disparity studies for several state departments of transportation including Nevada, Idaho, Indiana, and Oklahoma. In addition, Mr. Pickton worked closely with Caltrans and Caltrans' outside counsel on the recent, successful defense of the agency's implementation of the Federal DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.*. Mr. Pickton is currently serving as BBC's project manager for the Georgia Department of Transportation. Mr. Pickton has completed all coursework toward a Ph.D. in Economics from the University of Wyoming and has published a number of articles in peer-reviewed economics journals.

Similar work. Other recent BBC disparity and availability studies on which Mr. Pickton has served in project management roles include:

- City of Portland
- Indiana Department of Administration
- Los Angeles County Metropolitan Transportation Authority
- Metropolitan Transit System (California)
- Portland Development Commission
- Purdue University
- Orange County Transportation Authority (California)
- San Diego Association of Governments
- Southern California Regional Rail Authority (Metrolink)
- San Diego County Regional Airport Authority

Assigned tasks and hours. Mr. Pickton will provide management and oversight for all tasks associated with the Caltrans disparity study. He will also attend and play a leadership role during the kick-off meeting and regular management meetings with Caltrans staff (see Section C, Task 1) as well during final presentations (see Section C, Task 12).

Todd Pickton will be assigned 518 hours on the Caltrans disparity study.

Kevin Williams, BBC Director. Mr. Williams has more than five years of relevant project experience. He has expertise in complex statistical analyses and quantitative modeling and simulations. Mr. Williams has analyzed utilization and availability data for several state departments of transportation, including California, Nevada, and Idaho. Mr. Williams helped manage utilization and availability analyses for the 2007 Caltrans disparity study. He performed similar work for a disparity study in Albany, Georgia. He also recently assisted with utilization and availability analyses for the Oklahoma Department of Transportation, State of Indiana, and an availability study for the Massachusetts Department of Environmental Protection. Mr. Williams provided support on Caltrans' recent, successful defense of its implementation of the Federal DBE Program. Mr. Williams is currently serving as BBC's Project Manager on disparity studies for the City of Portland and Portland Development Commission. Mr. Williams has a Master's degree from the LBJ School of Public Affairs at the University of Texas.

Similar work. Other recent BBC disparity and availability studies on which Mr. Williams has worked or helped manage include:

- Burbank-Glendale-Pasadena Airport Authority
- Georgia Department of Transportation
- Indiana Department of Transportation
- Los Angeles County Metropolitan Transportation Authority
- Metropolitan Transit System (California)
- Orange County Transportation Authority (California)
- San Diego Association of Governments
- Southern California Regional Rail Authority (Metrolink)

Assigned tasks and hours. Mr. Williams will be involved with several tasks on the Caltrans disparity study. He will manage the disparity analysis (see Section C, Task 6) and quantitative analyses of marketplace conditions (see Section C, Task 8). He will also play an integral role in completing the utilization analysis (see Section C, Task4), availability analysis (see Section C, Task 5).

Kevin Williams will be assigned 457 hours on the Caltrans disparity study.

Dr. Sameer Bawa, BBC Associate. Sameer Bawa has expertise in quantitative data analysis, survey design, in-depth interviews, public forums, and technical writing. Since joining BBC in 2008, Dr. Bawa has worked on various aspects of more than 20 disparity studies, several of which were for California transportation agencies. Dr. Bawa recently served as the day-to-day project manager on nine disparity studies in the State of Indiana, including studies for the Indiana Department of Administration and the Indiana Department of Transportation. In addition, Dr. Bawa provided support on Caltrans' recent, successful defense of its implementation of the Federal DBE Program. He recently taught a class on disparity study methodology for the American Contract Compliance Association 2010 National Training Institute in Indianapolis. He has published past research in several peer reviewed articles. Dr. Bawa has a Ph.D. in Psychology from the University of Virginia.

Similar work. Other recent BBC disparity and availability studies on which Dr. Bawa has worked or helped manage include:

- Indiana University
- Los Angeles County Metropolitan Transportation Authority
- Metropolitan Transit System (California)
- Purdue University
- San Diego Association of Governments
- San Diego County Regional Airport Authority

Assigned tasks and hours. Dr. Bawa will be involved with several tasks on the Caltrans disparity study. He will help manage the review of Caltrans contracting procedures and DBE program elements (see Section C, Task 3), the utilization analysis (see Section C, Task 4), and report writing and presentation development (see Section C, Task 12). Dr. Bawa will also assist with various other project tasks, including the availability analysis (see Section C, Task 5), qualitative analyses of marketplace conditions (see Section C, Task 9), and public hearings (see Section C, Task 13).

Sameer Bawa will be assigned 661 hours on the Caltrans disparity study.

Dr. Josh Sidon, Associate. Josh Sidon is an economist and environmental justice specialist with expertise studying potential race and gender discrimination in housing and business credit markets. He has supported the analysis of marketplace data to assess potential barriers to entry into transportation contracting industries for minorities and women for several disparity studies, including for Caltrans. His doctoral research investigated locational choices of low-income and minority households around local public amenities. He is familiar with a wide range of socioeconomic and demographic data sources and has extensive experience developing and implementing methods for quantitative and qualitative analysis. Dr. Sidon has served as an adjunct faculty member at the University of Colorado-Denver where he taught courses in Environmental Economics and Principles of Microeconomics. Dr. Sidon has a Ph.D. in Economics from the University of Colorado.

Similar work. Recent BBC disparity and availability studies on which Dr. Sidon has worked include:

- California Department of Transportation
- City of Portland
- Indiana Department of Transportation
- Los Angeles County Metropolitan Transportation Authority
- Oklahoma Department of Transportation
- Portland Development Commission

Assigned tasks and hours. Dr. Sidon will assist the study team with quantitative analyses of marketplace conditions (see Section C, Task 8), the utilization analysis (see Section C, Task 4), and the availability analysis (see Section C, Task 5).

Josh Sidon will be assigned 400 hours on the Caltrans disparity study.

Madolyn Jones, BBC Associate. Madolyn Jones serves as the data collection manager and qualitative research manager for a number of BBC disparity studies and market research projects. She also helps manage survey and data analysis efforts for social marketing campaigns, impact analyses, and strategic planning assignments. Ms. Jones has served as Qualitative Research Manager for disparity studies for the City of Portland, Portland Development Commission, Indiana Department of Administration, and the Indiana Department of Transportation. Ms. Jones also assisted with data collection and management for disparity studies for five transit agencies in Southern California. Ms. Jones has a Master's degree in Urban Planning from the University of Southern California.

Similar work. Other recent BBC disparity and availability studies on which Ms. Jones has worked or helped manage include:

- Burbank-Glendale-Pasadena Airport Authority
- Oklahoma Department of Transportation
- Indiana University
- Purdue University
- Los Angeles County Metropolitan Transportation Authority
- San Diego County Regional Airport Authority

Assigned tasks and hours. Ms. Jones will help manage qualitative analyses of marketplace conditions (see Section C, Task 9). She will also assist with other project tasks including the review of Caltrans contracting procedures and DBE program measures (see Section C, Task 3) and public hearings (see Section C, Task 13).

Ms. Jones will be assigned 528 hours on the Caltrans disparity study.

Iris Saint, Research Associate. Iris Saint has expertise in the areas of data collection, statistical analysis, and database management. She has analyzed and helped manage utilization and availability data for several disparity studies, including studies for the Oklahoma Department of Transportation and the State of Indiana. For the State of Indiana, Ms. Saint managed the cleaning, coding, and analysis of more than 250,000 data records from multiple databases. She has also assisted in quantitative marketplace analyses of the transportation contracting industry in the states of Indiana, Oregon, and California. Ms. Saint is currently completing data collection and analysis for the Burbank-Glendale-Pasadena Airport Authority. Ms. Saint has a Master's degree in Economics from the London School of Economics.

Similar work. Recent BBC disparity and availability studies on which Ms. Saint has worked include:

- City of Portland
- Indiana Department of Transportation
- Indiana Department of Administration
- Portland Development Commission

Assigned tasks and hours. Ms. Saint will assist the study team on several project tasks including the utilization analysis (see Section C, Task 4), the availability analysis (see Section C, Task 5), the disparity analysis (see Section C, Task 6), examining explanations for any observed disparities (see Section C, Task 7), and quantitative analyses of marketplace conditions (see Section C, Task 8).

Iris Saint will be assigned 369 hours on the Caltrans disparity study.

Natalia Duque, Research Associate. Natalia Duque has experience managing large databases and analyzing utilization and availability data. She possesses a broad range of analytical capabilities, working primarily in Microsoft Access. She assisted with utilization and availability data analysis for the San Diego County Regional Airport Authority disparity study, the Southern California Regional Disparity Study, data collection and analysis for Caltrans, and state-wide studies in Indiana and Oklahoma. Ms. Duque has a Bachelor's in Economics from the University of Colorado. As an undergraduate student, she researched the influence of the Internet on U.S. earnings inequality. Ms. Duque is currently completing graduate work towards a Master's degree in Computer Science at the University of Colorado-Denver.

Similar work. Other recent BBC disparity and availability studies on which Ms. Duque has worked include:

- Indiana Department of Administration
- Indiana Department of Transportation
- Los Angeles County Metropolitan Transportation Authority
- San Diego County Regional Airport Authority
- Georgia Department of Transportation

Assigned tasks and hours. Ms. Duque will assist the study team on several project tasks including the utilization analysis (see Section C, Task 4), the availability analysis (see Section C, Task 5), the disparity analysis (see Section C, Task 6), and quantitative analyses of marketplace conditions (see Section C, Task 8).

Natalia Duque will be assigned 150 hours on the Caltrans disparity study.

Colin Lamb, Research Associate. Colin Lamb has expertise in policy analysis, quantitative and qualitative data analysis, and data collection. Mr. Lamb is currently the day-to-day project manager for the Georgia Department of Transportation disparity study and is conducting the marketplace analysis for the Burbank-Glendale-Pasadena Airport Authority disparity study. Mr. Lamb has a Master's degree in Public Administration from the University of Oregon.

Similar work. Other recent BBC disparity and availability studies on which Mr. Lamb has worked include:

- City of Portland
- Indiana Department of Administration
- Indiana Department of Transportation
- Portland Development Commission

Assigned tasks and hours. Mr. Lamb will assist the study team on several project tasks including the utilization analysis (see Section C, Task 4), the availability analysis (see Section C, Task 5), and quantitative analyses of marketplace conditions (see Section C, Task 8).

Colin Lamb will be assigned 150 hours on the Caltrans disparity study.

Resumes

Full resumes for key BBC personnel that will be involved with the Caltrans disparity study are presented on the following pages.

Todd Pickton

BBC Managing Director

Mr. Pickton has been a BBC Director since January 2004. He has a broad range of research experience including DBE Program assistance for many state departments of transportation and local transportation agencies. Mr. Pickton has had project management and analysis roles on more than 30 of BBC's 70+ disparity studies. Prior to BBC, Mr. Pickton designed data mining and decision support tools while at Lucent Technologies. He has co-authored several peer-reviewed journal articles on the statistical analysis of large government databases.

Relevant Experience

- **Disparity study project management.** Mr. Pickton has been the Assistant Project Manager or Co-Project Manager for more than 30 disparity studies, including the 2007 Caltrans disparity study; BBC's disparity studies for state Departments of Transportation in Idaho, Nevada, Indiana and Oklahoma; and six federal DBE program-related disparity studies in Southern California. He is BBC's project manager for the ongoing Georgia Department of Transportation disparity study and the Burbank Glendale Pasadena Airport Authority disparity study, with BBC as the prime consultant on both studies. Mr. Pickton's project management experience includes DBE Program-related disparity studies for direct recipients of FHWA, FTA, and FAA funds.
- **DBE Program implementation.** Mr. Pickton recently assisted in the development of an anti-discrimination program for a large city in the southeastern United States. He evaluated its MBE/WBE program, designed standard operating procedures to determine whether contract-goals applied to specific contracts, and recommended annual goals for different types of contract work. Mr. Pickton has assisted numerous clients — including the Los Angeles County Metropolitan Transportation Authority and SANDAG — with setting their overall annual DBE goals, determining underutilized DBE groups, and with FTA and FHWA goal submissions.
- **Litigation support.** Mr. Pickton worked closely with Caltrans Legal Division and with outside counsel to defend the Caltrans DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* in the United States District Court, Eastern District of California. Mr. Pickton has also worked with outside counsel for a major U.S. city on litigation issues involving its minority and women business program.
- **Database, systems and software skills.** Mr. Pickton works extensively with large department of transportation and other government agency procurement systems. For the 2007 Caltrans disparity study, he worked directly with the Caltrans Office Engineer's Filemaker Pro contract management databases and with Access databases received from Caltrans Division of Procurement and Contracts (DPAC). Mr. Pickton is adept at Structured Query Language (SQL) statements, database management, and several programming languages.

Education

A.B.D., Economics, University of Wyoming, 1999

B.S., Professional Aeronautics, Embry-Riddle University, 1993

Kevin Williams

BBC Director

Kevin Williams' areas of expertise include fiscal analysis, policy analysis and economic modeling. Before joining BBC, Mr. Williams worked as an independent consultant for non-profits.

Relevant Project Experience

- **Disparity study project management.** Mr. Williams is currently managing BBC's City of Portland and Portland Development Commission (PDC) disparity studies. The studies examine City and PDC construction and engineering contracts. Mr. Williams managed disparity study tasks for state departments of transportation in California, Idaho, Nevada, Indiana, and Oklahoma. Mr. Williams also helped manage the Southern California Regional and the San Diego County Regional Airport Authority disparity studies. These studies examined transportation procurements for goods and services procurement in addition to highway and transit construction projects. Mr. Williams directed the data collection and analysis portion of the projects and oversaw data collection from agencies in the Southern California.
- **Procurement database analysis.** Over the past five years, Mr. Williams has analyzed public procurement and contract data for Caltrans, the Nevada Department of Transportation, the Idaho Transportation Department, and consortiums of public entities in Albany, Georgia, and Southern California. Mr. Williams has analyzed information provided in a variety of storage formats including Filemaker Pro, Microsoft Access, and MySQL. He has helped design database structures and program analysis tools for over 25 BBC disparity studies.
- **Business marketplace analyses.** Mr. Williams has helped several clients investigate marketplace conditions for starting, owning, and growing businesses. He has done this as a part of disparity studies in California, Idaho, Nevada, Oregon, Indiana, and Georgia. He has conducted several analyses of the small business climate in Santa Clara County, including BBC's research about entrepreneurship in Silicon Valley for work2future. This research included probit regression analysis of minority business ownership rates for multiple industries in San Jose in addition to statistical analysis of small business employment. He also helped oversee BBC's use of Dun & Bradstreet NETS data in an effort to determine the relative share of job creation by size of business.
- **Litigation support.** Mr. Williams helped to conduct the 2007 Caltrans Disparity study and assisted Mr. Pickton in helping defend the Caltrans DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* in the United States District Court, Eastern District of California.

Education

B.S., Engineering Physics, University of Colorado at Boulder, 1999, Highest Honors
M.P.Aff. The LBJ School of Public Affairs, University of Texas at Austin, 2005

Sameer Bawa

BBC Associate

Dr. Bawa joined BBC in 2008 after completing his Ph.D. in Psychology. His areas of expertise include experimental research, quantitative and qualitative data analysis, survey design, in-depth interviews, public forums, and technical writing. He has extensive experience teaching statistics and survey design at the undergraduate level at the University of Virginia and the University of Illinois. Since joining BBC, Dr. Bawa has worked on more than 20 disparity studies, and recently served as the day-to-day project manager for disparity studies for nine Indiana state agencies. He recently taught a class on disparity study methodology for the American Contract Compliance Association 2010 National Training Institute in Indianapolis and has published past research in several peer-reviewed articles.

Relevant Project Experience

- **Disparity studies.** Dr. Bawa recently served as the day-to-day project manager and agency contract and procurement data manager for disparity studies for the Indiana Department of Administration, Indiana Department of Transportation, and seven Indiana colleges and universities. He also was one of the primary authors and editors of the disparity study reports and presentations for those agencies. Dr. Bawa also served as data manager for a disparity study for the Los Angeles County Metropolitan Transportation Authority. He collected and analyzed quantitative and qualitative information as part of disparity studies for the San Diego County Regional Airport Authority and five transit agencies in Southern California. He has a similar role in current BBC disparity studies for the City of Portland and the Portland Development Commission. His responsibilities have also included analyzing availability data, assessing marketplace conditions, and engaging in regular client interaction.

- **Other market research.** Dr. Bawa recently authored a research monograph for the National Endowment for the Arts. His research examined public participation in different art forms through various forms of electronic media. Dr. Bawa is currently performing a market research and strategy study for the Association of Zoos and Aquariums. Dr. Bawa recently conducted survey research with Denver Water customers to assess their perceptions of future rate structure changes and their water needs. Dr. Bawa prepared portions of a water conservation guide for Phoenix residents. He studied the perceptions of retired teachers in California to help guide future direction of the California Retired Teachers Association. Dr. Bawa also conducted qualitative research concerning demand for environmentally-sensitive housing development for a private sector client.

Education

Ph.D., Psychology, University of Virginia, 2008
M.A., Psychology, University of Virginia, 2006
B.S., Psychology, University of Illinois, 2003

Joshua Sidon

BBC Associate

An Associate with BBC Research & Consulting, Dr. Sidon is an economist and environmental justice specialist with expertise studying possible race and gender discrimination in housing and business credit markets. His doctoral research investigated the locational choices of low-income and minority households around local public amenities. He is familiar with a wide range of socioeconomic and demographic data sources and has extensive experience developing and implementing methods for quantitative and qualitative analysis. Dr. Sidon has served as an adjunct faculty member at the University of Colorado-Denver where he taught courses in Environmental Economics and Principles of Microeconomics.

Relevant Project Experience

- **Disparity studies.** Dr. Sidon has supported the analysis of marketplace data to assess potential barriers to entry into contracting industries for minorities and women for several disparity studies including assignments for Caltrans, Indiana Department of Transportation, Oklahoma Department of Transportation, City of Portland, Portland Development Commission, five transit agencies in Southern California, and the San Diego County Regional Airport Authority.
- **Other economic research experience.** Dr. Sidon is currently investigating the social, economic and environmental justice impacts of a regional rural water supply project in eastern New Mexico. Previously, Dr. Sidon contributed to the analysis of social, economic and environmental justice implications of the possible construction of an electric commuter rail line as well as the proposed expansion of I-70 in Denver, Colorado. Both proposed projects required an understanding of neighborhood culture, history, and characteristics.

Dr. Sidon was part of a team investigating the current and projected social and economic characteristics of the Colorado Springs region and Fort Carson Army Post. Dr. Sidon's primary role was to develop growth projections for adult education and workforce training programs along with an assessment of the ability of current providers to meet projected demand. The study resulted in recommendations to link community workforce needs with training and education programs for soldiers and spouses.

Dr. Sidon has worked on several housing market studies for U.S. Air Force bases. The studies are intended to provide a planning tool for military family housing requirements over a five-year period. The analysis includes information from a community visit and in-person and telephone interviews with local real estate agents and government planning and building departments.

Education

Ph.D., Economics, University of Colorado at Boulder, 2006

Fields of specialization: Public and environmental economics

M.S., Economics, University of Colorado at Boulder, 2003

B.S., Civil and Environmental Engineering, University of Michigan at Ann Arbor, 1999

Madolyn Jones

BBC Associate

Madolyn Jones is an Associate with BBC Research & Consulting. Ms. Jones serves as the data collection manager and qualitative research manager for a number of BBC availability and disparity studies and similar market research projects. Ms. Jones also helps manage survey and data analysis efforts for social marketing campaigns, impact analyses and strategic planning assignments.

Relevant Project Experience

- **Disparity studies.** Ms. Jones has served as Qualitative Research Manager for availability and disparity studies for the Georgia Department of Transportation, the City of Portland, Portland Development Commission, State of Indiana, Indiana Department of Administration, and seven colleges and universities in Indiana. She is leading day-to-day quantitative and qualitative data collection on disparity studies for the Burbank-Glendale-Pasadena Airport Authority and served a similar role for the Oklahoma Department of Transportation and the San Diego County Regional Airport Authority. Ms. Jones assisted with data collection and management for availability and disparity studies for five transit agencies in Southern California. Ms. Jones also reviews and analyzes the contracting policies, business assistance programs, and MBE/WBE/DBE programs implemented by state and local agencies. She has expertise in implementation of the USDOT Federal DBE Program for agencies receiving FHWA, FTA, and FAA funds and the EPA DBE Program for agencies receiving certain U.S. Environmental Protection Agency funds.
- **Executive marketplace interviews and other qualitative research.** Ms. Jones has led qualitative research efforts including hundreds of executive and key person interviews for San Diego County Regional Airport Authority, Oklahoma Department of Transportation, Higher Education Resource Services, City and County of Denver and California Retired Teachers Association. She has identified key community stakeholders, coordinated schedules, and conducted in-depth interviews discussing sensitive issues including age, race, gender, health, household and business finances, education, and discrimination.
- **Survey design and data collection.** Ms. Jones has experience with survey design and implementation, data collection, and quantitative and qualitative analyses for a number of market research studies including Museum of Science in Boston donor research, New York International Auto Show Economic Impact Analysis, California Retired Teachers Association membership research, The Denver Foundation Listening Campaign, and the Higher Education Resource Services strategic plan.

Education

MPL, Master of Planning, Economic Development, University of Southern California, 2007
B.S., Public Policy, Management and Planning, University of Southern California, 2007

Iris Saint

BBC Research Associate

Ms. Saint is a Research Associate with BBC Research & Consulting. Her areas of expertise include data collection, database management, and statistical analysis. Ms. Saint joined BBC in 2010.

Relevant Project Experience

- **Database management.** Ms. Saint has extensive experience with database design and management. She has managed large relational databases to record contract information, availability survey data and utilization information on disparity studies for the Oklahoma Department of Transportation and for the State of Indiana. Ms. Saint is currently completing data collection and analysis for the Burbank-Glendale-Pasadena Airport Authority disparity study. For the State of Indiana disparity study, Ms. Saint managed the cleaning, coding, and analysis of data spanning multiple databases and more than 250,000 establishment records. The data were collected from nine different state agencies and multiple survey initiatives. Ms. Saint subsequently cleaned and compiled the data into a relational database. Ms. Saint has managed databases for disparity studies for the State of Indiana, the Oklahoma Department of Transportation, the City of Portland and the Portland Development Commission.
- **Database and statistical analysis.** Ms. Saint has considerable training and experience with large dataset analysis. She has analyzed availability survey data and utilization information for the Oklahoma Department of Transportation, the State of Indiana, the City of Portland, and the Portland Development Commission. She is currently analyzing procurement databases for the Burbank-Glendale-Pasadena Airport Authority. Ms. Saint has also performed statistical analysis of survey responses and marketplace conditions on recent disparity studies. These analyses were used to help determine the disparity between available minority- and woman-owned firms relative to their utilization within a given marketplace, and played a key role in the client's creation of contracting policy. For her Master's thesis, Ms. Saint built an econometric model to study the voting position of the United States in international banks. She worked solely to build and clean a longitudinal dataset consisting of voting positions and cross-country macro data. For this work, she received a distinction and was invited to publish it as a working paper through The London School of Economics. Ms. Saint is skilled at working with Microsoft Access, ArcGIS and Stata.

Education

MSc, Development Studies, The London School of Economics, 2009
B.A., Economics, University of Nevada, Las Vegas, 2008

Natalia Duque

BBC Research Associate

Ms. Duque is a Research Associate with BBC Research & Consulting. Her areas of expertise include data analysis and survey research. With a broad range of analytical capabilities, she is skilled in manipulating large databases, working primarily in Microsoft Access. As a student at the University of Colorado, Ms. Duque researched the effect of internet use on the earnings of US workers. She collected and analyzed data from the Census Bureau and the IRS.

Relevant Project Experience

- **Data analysis.** Ms. Duque has extensive experience with data manipulation and analysis. She collaborated in the construction of databases to record utilization and availability information for the Southern California Regional disparity study. She has also worked in the analysis of transaction data for the San Diego County Regional Airport Authority availability and disparity analyses. Ms Duque had a similar role in BBC availability and disparity studies for the State of Indiana, the Oklahoma Department of Transportation, and is completing similar work for the City of Portland and the Portland Development Commission.
- **Survey research.** Ms. Duque has experience managing survey collection and data entry for the Southern California Regional and the San Diego County Regional Airport Authority availability and disparity studies. Ms Duque is currently managing survey research in availability and disparity studies for the Georgia Department of Transportation, the Oklahoma Department of Transportation, the City of Portland, and the Portland Development Commission. A native Spanish speaker, she has also conducted surveys in Spanish for a conservation study for Phoenix Water.

Education

B.A., Economics, University of Colorado at Boulder, 2008

Colin Lamb

BBC Research Associate

Mr. Lamb is a Research Associate with BBC Research & Consulting and joined BBC in 2010. His areas of expertise include policy analysis, quantitative and qualitative data analysis, and data collection. Mr. Lamb is currently the day-to-day project manager for the Georgia Department of Transportation disparity study and is conducting marketplace analyses for the Burbank-Glendale-Pasadena Airport Authority disparity study.

Relevant Project Experience

- **Database and statistical analysis.** Mr. Lamb has extensive experience with large database manipulation and analysis. Mr. Lamb recently used longitudinal Dun & Bradstreet (D&B) data to investigate the role of small businesses and business start-ups in job creation. Mr. Lamb is currently analyzing procurement databases for the Georgia Department of Transportation disparity study and marketplace conditions for the Burbank-Glendale-Pasadena Airport Authority disparity study. Mr. Lamb has performed statistical analyses of survey and case study data for several recent disparity studies, including City of Portland, Portland Development Commission, Oklahoma Department of Transportation, and State of Indiana. He also assisted with statistical analysis for recent litigation support of the Caltrans' implementation of the Federal DBE Program.
- **Survey analysis.** Mr. Lamb is trained in quantitative and qualitative research methods, survey design, and quantitative and qualitative analysis. Recent survey analyses include work for the City of San José, the Oklahoma Department of Transportation, the City of Portland, the Portland Development Commission, and the Denver Art Museum.
- **Case study analysis.** Mr. Lamb has examined selection processes for the City of Portland, the Portland Development Commission, Oklahoma Department of Transportation and the State of Indiana. He is currently investigating construction and professional service contracts for the Georgia Department of Transportation.
- **Data collection.** Mr. Lamb is adept at qualitative and quantitative data collection from a wide range of sources including federal, state, and local agencies as well as publicly available market data. In addition to small business and disparity study data collection, his work includes open-ended community and executive interviews.
- **Small business research.** Mr. Lamb recently researched the small business climate of Silicon Valley using academic literature and D&B and U.S. Census data. His research included analysis of self-employment rates for multiple industries in San José and of small business employment. He also developed models to assess layoffs.

Education

M.P.A., University of Oregon, 2010

B.S., Economics, University of Wisconsin – Madison, 1998

SECTION E.

References

SECTION E. References

Section E provides information about four BBC clients for which we have recently performed disparity studies similar to the study that we present in this proposal. Each of these clients has also completed a Consultant/Contractor Reference Check, which are attached to the end of the technical proposal.

Los Angeles County Metropolitan Transportation Authority (LA Metro)

Tashai R. Smith
Director, Small Business Programs
Diversity & Economic Opportunity Department
LACMTA
One Gateway Plaza
Los Angeles, CA 80012
Phone: 213-922-2128

Services provided: BBC completed a disparity study for LA Metro to help the agency with its implementation of the Federal DBE Programs.

Service dates: December 2007 through March 2010

Service value: The total contract value for LA Metro was \$829,285.

San Diego County Regional Airport Authority (SDCRAA)

Patricia A. Wright (former Program Manager of Small Business Development for SDCRAA)
DBE Program Specialist
Federal Aviation Administration
P.O. Box 92007
Los Angeles, CA 90009-2007
Phone: 310-725-3955

Services provided: BBC completed a disparity study for SDCRAA to help the agency develop its implementation of the Federal DBE and ACDBE Programs.

Service dates: July 2008 through December 2010

Service value: The total contract value for SDCRAA was \$450,000.

Oklahoma Department of Transportation (ODOT)

Susan McClune
Transportation Manager III
Civil Rights Division, External Programs
200 N.E. 21st Street Room 1C5
Oklahoma City, OK 73105
405-522-1983
smclune@odot.org

Services provided: BBC completed a disparity study for ODOT to help the agency develop its statewide implementation of the Federal DBE Program.

Service dates: July 2009 – November 2010

Service value: The total contract value for ODOT was \$589,800.

Purdue University

Jesse Moore
401 South Grant Street
West Lafayette, IN 47907
(765) 494-3739

Services provided: BBC completed a disparity study for Purdue University to help it develop programs to assist minority- and women-owned businesses.

Service dates: April 2009 – December 2010

Service value: Purdue University was one of nine state agencies/entities, including the Indiana Department of Transportation, involved in the 2010 State of Indiana disparity study. The total contract value was \$1.3 million.

SECTION F. Experience

SECTION F. Experience

The proposed BBC study team for the 2011 Caltrans disparity study is comprised of six firms with decades of experience related to conducting disparity and availability studies. Three firms on the study team — BBC, Holland & Knight, and GCAP Services (GCAP) — were part of the BBC-led team that conducted the 2007 Caltrans disparity study. In addition, Dave Keen, Principal of Keen KIR and former BBC Managing Director, served as the BBC Project Manager on the 2007 Caltrans disparity study.

BBC Study Team Members

The BBC study team is comprised of six firms — BBC (prime consultant), KIR, Holland & Knight, GCAP, Faro Consulting and Solutions (Faro), and WSC Consulting (WSC).

BBC Research and Consulting. BBC is a 41-year old, Denver-based economic and financial research firm that has completed disparity studies for nearly 80 state departments of transportation, regional transit authorities, airports, cities, and other entities across the nation, including the 2007 Caltrans disparity study. The firm currently employs 21 staff members. BBC provided litigation support in the recent, successful defense of Caltrans' implementation of the Federal DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.*

Keen Independent Research. KIR was founded in 2011 by Dave Keen, former BBC Managing Director. Mr. Keen has served in a project management role on all of BBC's disparity studies to date. He served as BBC Project Manager on the 2007 Caltrans disparity study. Mr. Keen has more than 20 years of relevant project experience and is one of the nation's leading disparity study experts. He has testified as an expert witness in federal district court in the successful defense of state and local agency implementation of the Federal DBE Program and MBE/WBE programs, including in the recent, successful defense of Caltrans' implementation of the Federal DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.*

Holland & Knight. Holland & Knight is a 1,250-person law firm that has participated in more than 20 disparity and availability studies with BBC, including the 2007 Caltrans disparity study. BBC employs Holland & Knight to serve as legal counsel on disparity study assignments. In addition to providing legal analysis, Holland & Knight has experience conducting in-depth interviews, collecting and analyzing anecdotal evidence, and assessing potential DBE program measures. Holland & Knight also provided litigation support in the recent, successful defense of Caltrans' implementation of the Federal DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.*

GCAP Services. GCAP is a DBE- and SB-certified operations and best practices consulting firm with offices in Costa Mesa and Sacramento, California. BBC and GCAP have worked together on eight disparity studies, including the 2007 Caltrans disparity study. GCAP specializes in providing Federal DBE Program support and services to public agencies and is currently administering the San Bernardino Associated Governments' and the San Diego Association of Governments' implementations of the Federal DBE Program.

WSC Consulting. WSC is a DVBE- and SB-certified state and local government consulting firm located in Chico, California. The firm provides consulting, training, seminars, and workshops to government agencies on best practices for streamlining and modernizing contracting and procurement processes. WSC also has expertise in government contracting practices related to minority- and women-owned firms and other disadvantaged businesses.

Faro Consulting and Solutions. Faro is a DVBE- and SB-certified professional services firm located in Sacramento, California. The firm provides project, business process, and strategic management services exclusively to state, county, and municipal government agencies in California. Faro has extensive experience collecting and analyzing qualitative and anecdotal information from surveys, in-depth interviews, and public forums.

Detailed information about key BBC personnel that will be involved in the Caltrans disparity study can be found in Section D of the proposal. Detailed information about key subconsultant personnel can be found in Section G of the proposal.

Disparity Study Experience

The BBC study team has extensive experience producing disparity studies that independently and accurately examine potential discrimination that socioeconomically disadvantaged individuals or groups may face in obtaining contracts with public and government agencies. We possess expertise in the following areas:

- Public highway transportation contracting industry in California;
- DBE utilization in the California highway transportation construction industry;
- Title 49, subpart C, section 26.45 of the Code of Federal Regulations (CFR);
- United States Department of Transportation (USDOT) guidance on FY 2006 DBE Goal Setting Approval Process and DBE Program Plans;
- Recent changes to the Federal DBE Program;
- DBE disparity studies; and
- Disparity study litigation support.

The following section details the study team's expertise in each of the above areas.

Public highway transportation contracting industry in California. Through our work on previous disparity and availability studies and other assignments in the state, the BBC study team has gained expertise in the public highway transportation contracting industry in California. We have extensive knowledge of marketplace conditions that exist in California for large and small businesses and of factors that predict business outcomes for minority-, women-, and white male-owned firms. Mr. Keen from KIR has testified about the public highway transportation contracting industry in California as an expert witness related to Caltrans' successful defense of its implementation of the Federal DBE Program.

In-depth anecdotal interviews. As part of the 2007 Caltrans disparity study and disparity studies for five transportation agencies in Southern California in 2009, BBC and Holland & Knight conducted nearly 200 in-depth anecdotal interviews with business owners and trade association representatives throughout the state that are involved with the transportation contracting industry.⁸ Through those interviews, we developed a deep understanding of various topics related to working in the state's highway transportation contracting industry such as: barriers and other experiences working in the private and public sectors; experiences working as prime contractors and subcontractors; and potential discrimination based on race/ethnicity or gender.

Quantitative marketplace analyses. As part of our recent California disparity studies, BBC also conducted quantitative analyses of marketplace conditions throughout California's public highway transportation contracting industry. The crux of those analyses compared business outcomes for minorities, women, and minority- and women-owned firms to outcomes for white males and white male-owned firms. BBC relied on data from large, national surveys to examine business outcomes in the areas of entry and advancement; business ownership; access to capital, bonding, and insurance; and success of businesses. Mr. Keen testified as an expert witness about this work as part of Caltrans' successful defense of its implementation of the Federal DBE Program.

Other research. BBC study team members have conducted additional interviews within the local construction and engineering industries as part of disparity studies recently conducted for seven agencies in Southern California. BBC also studied state-wide transportation through surveys and interviews with stakeholders to assist Caltrans in its long-range strategic planning. BBC has also studied toll road construction in California and other states.

DBE utilization in the California highway transportation construction industry. BBC, with assistance from Holland & Knight and GCAP, recently completed seven DBE disparity studies in the State of California that were directly related to DBE utilization in the state's transportation construction industry, including highway transportation, public transit, and airport construction. Those studies were:

- Caltrans disparity study, 2007;
- Los Angeles County Metropolitan Transportation Authority disparity study, 2009;

⁸ The five transportation agencies for which BBC completed disparity studies in 2009 were Los Angeles County Metropolitan Transportation Authority, Metropolitan Transit System, Orange County Transportation Authority, San Diego Association of Governments, and Southern California Regional Rail Authority (Metrolink).

- Metropolitan Transit System disparity study, 2009;
- San Diego Association of Governments disparity study, 2009;
- Southern California Regional Rail Authority disparity study, 2009;
- Orange County Transportation Authority disparity study, 2009; and
- San Diego County Regional Airport Authority, 2009.

Through that work, BBC, Holland & Knight, and GCAP demonstrated expertise in public and government agencies' utilization of DBEs in the state's highway transportation construction industry as well as in measures that agencies use to encourage DBE utilization. In addition, Dave Keen, Principal of KIR and former BBC Managing Director, served as an expert witness in Caltrans' recent, successful defense of its implementation of the Federal DBE Program in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.*

Title 49, Subpart C, Section 26.45 of the Code of Federal Regulations (CFR). The BBC study team has extensive knowledge of the DBE goal setting procedures that are detailed in 49 CFR Part 26, Subpart C, Section 26.45. BBC has provided guidance to our clients about how to set their DBE goals according to USDOT requirements as part of each one of our DBE disparity studies, including the 2007 Caltrans disparity study.

Availability of ready, willing, and able DBEs. USDOT specifies that an agency's overall goal must be based on demonstrable evidence that minority- and women-owned firms are "ready, willing, and able" to participate in the agency's USDOT-assisted contracts. BBC uses a "custom census" availability analysis to provide detailed and accurate information about the percentage of minority- and women-owned firms (by group) in the relevant geographic market area that are "ready, willing, and able" to participate in USDOT-funded agency contracts. Our availability analysis methodology assesses various firm characteristics that are relevant to assessing whether a firm is "ready, willing, and able," including primary line of work; qualifications and interest in agency work; and firm capacity. BBC also presents information about how those percentages would change absent the effects of discrimination.

Step 1 base figure. BBC, Holland & Knight, and GCAP have extensive experience helping agencies set base figures as a starting point to setting their overall DBE goals. USDOT specifies that an agency can set its base figure on different types of information, including data from a valid, applicable disparity study. BBC has experience working with each one of its DBE disparity clients to use information from the availability analysis to set their base figures. We also describe that process in detail in our DBE disparity study reports.

Step 2 adjustment. The BBC study team has a thorough understanding of potential "step 2" adjustments that agencies can make to their base figures and the information that they can consider in making any adjustments. USDOT specifies different types of information that agencies must consider when making adjustments to their base figures, including;

- Current capacity of DBEs to perform work on the agency's USDOT-assisted contracts, as measured by the volume of work DBEs have performed in recent years;
- Evidence from disparity studies conducted anywhere within the agency's jurisdiction, to the extent it is not already accounted for in the base figure; and
- Evidence from related fields that affect opportunities for DBEs to form, grow, and compete.

The study team has experience working with each one of its DBE disparity study clients to consider relevant evidence, and if warranted, making "step 2" adjustments to their base figures. BBC also describes those considerations and corresponding evidence in detail in our DBE disparity study reports.

Other goal setting considerations. BBC also has a wealth of experience advising its DBE disparity study clients about other aspects of DBE goal setting specified in 49 CFR Part 26, Subpart C, Section 26.45, including:

- Appropriately expressing their overall DBE goals for FHWA, FTA, and FAA submissions;
- Submitting their overall DBE goals to USDOT, including a description of methodology and the evidence that the agency considered; and
- Providing for public participation during the goal setting process.

The BBC study team is also very familiar with USDOT's "Tips for Goal Setting in the Disadvantaged Business Enterprise (DBE) Program" and provides its DBE disparity study clients with guidance on how to implement the Federal DBE Program in a manner consistent with USDOT's suggested tips.⁹ BBC also provides similar guidance in our DBE disparity study reports. Mr. Keen from KIR testified as an expert witness about these issues as part of Caltrans' successful defense of its implementation of the Federal DBE Program.

United States Department of Transportation (USDOT) guidance on FY 2006 DBE goal setting approval process and DBE program plans. The BBC study team has knowledge of and experience with all of the topics addressed in USDOT's guidance on FY 2006 DBE goal setting process and DBE program plans. The considerations described in USDOT's questions and answers about *Western States Paving Company v. Washington State DOT* are integral to the design of BBC's disparity study methodology and the guidance that BBC provides to its DBE disparity study clients.

The study team understands the key issues involved in *Western States Paving Company v. Washington State DOT* and the Ninth Circuit Court of Appeals' ruling. Important implications of the case for USDOT fund recipients and for disparity studies include:

⁹ www.osdbu.dot.gov/DBEProgram/tips.cfm

- Evidence of race- or gender-based discrimination must be present in the agency's relevant geographic market area for an agency to use race-or gender-conscious program measures;
- Race- and gender-based program measures (e.g., contract-specific goals) must be limited to those groups that have actually suffered discrimination or its effects;
- When possible, disparity studies should take into account the effects of past race- or gender-conscious program measures on current DBE participation (e.g., comparing DBE utilization on contracts with goals to similar contracts without goals); and
- Quantitative disparities, on their own, may not be enough to demonstrate discrimination and qualitative or anecdotal evidence may also be required.

As described in Sections B and C of this proposal, BBC's disparity study methodology is influenced substantially by the Ninth Circuit Court of Appeals' ruling in *Western States Paving Company v. Washington State DOT*. Our methodology is wholly consistent with the court's ruling and with USDOT guidance, including what information fund recipients should include in their studies of contracting discrimination and whether state-wide disparity studies are acceptable. Mr. Keen from KIR has testified as an expert witness about these issues as part of Caltrans' successful defense of its implementation of the Federal DBE Program.

Recent changes to the Federal DBE Program. The BBC study team stays current with any changes to the Federal DBE Program such as changes and additions to 49 CFR Part 26 and USDOT guidance related to implementing the Federal DBE Program and goal setting. The U.S. Department of Transportation recently issued a Final Rule for changes to 49 CFR Part 26, which became effective February 28, 2011. The Final Rule changes the personal net worth limits for certification of DBEs, encourages reciprocity of DBE certification among states, and requires greater accountability from state and local transportation agencies for including disadvantaged businesses in their spending plans. More specifically, as part of the Final Rule:

- USDOT began requiring greater accountability from transportation agencies for including DBEs in their spending plans. Those that fail to meet established goals for DBE participation will be required to evaluate why the goals were not met and offer a plan to help meet the goals in the future.
- USDOT adjusted the personal net worth limit for DBE owners to \$1.32 million.
- USDOT added provisions to the Federal DBE Program to ensure that prime contractors fulfill commitments to use DBE subcontractors. State and local agencies will be required to monitor each contract to make sure prime contractors are fulfilling their obligations and are not dismissing DBE subcontractors without good cause.
- USDOT reduced the burdens on small businesses seeking DBE certification in more than one state. As a result, all states are required to accept DBE certifications obtained in other states, unless the state finds good cause not to accept it.

- USDOT now requires fund recipients to set overall annual DBE goals every three years instead of annually.

BBC has taken the above changes and additions into account in developing our disparity study methodology and our recommendations to DBE disparity study clients.

DBE disparity studies. BBC and other members of the study team have completed disparity studies related to the Federal DBE Program for many different clients across the nation. We provide our disparity study clients with an independent and accurate assessment of: the percentage of minority- and women-owned firms that are “ready, willing, and able” to perform agency work (i.e., availability); the percentage of agency dollars that went to minority- and women-owned firms (i.e., utilization); and differences between availability and utilization to identify any disparities. BBC also provides all of our DBE disparity study clients with assistance in goal setting and implementation of the Federal DBE Program.

DBE disparity studies for state departments of transportation. BBC has completed or is currently conducting DBE disparity studies for the following state departments of transportation.

- California Department of Transportation;
- Georgia Department of Transportation (ongoing);
- Idaho Department of Transportation;
- Indiana Department of Transportation;
- Nevada Department of Transportation;
- New Mexico Department of Transportation; and
- Oklahoma Department of Transportation.

Holland & Knight assisted BBC on many of these studies. Dave Keen, Principal of KIR and former BBC Managing Director, served in a project management role for all of these studies.

DBE disparity studies for other transportation agencies. In addition to state departments of transportation, BBC has completed or is currently conducting DBE disparity studies for the following transportation agencies:

- Burbank-Glendale-Pasadena Airport Authority (ongoing);
- Dallas/Fort Worth Airport Board;
- Fort Worth Transportation Authority;
- Los Angeles County Metropolitan Transportation Authority;

- McCarran International Airport in Las Vegas;
- Metropolitan Transit System (California);
- Orange County Transportation Authority (California);
- San Diego Association of Governments (California);
- San Diego County Regional Airport Authority (California);
- Southern California Regional Rail Authority; and
- Washington Metropolitan Area Transit Authority.

Holland & Knight and GCAP assisted BBC on many of these studies. Dave Keen, Principal of KIR and former BBC Managing Director, served in a project management role for all these studies.

Figure 5 on the next page presents a more comprehensive list of clients for which BBC and other members of the study team have completed disparity and availability studies.

Figure 5.
Previous BBC study team disparity and availability study clients

Disparity/availability study client	
Albany, Georgia	Las Vegas Convention and Visitors Authority, Nevada
Albany Water, Gas & Light Commission, Georgia	Las Vegas Housing Authority, Nevada
Albany Tomorrow, Inc., Georgia	Las Vegas Valley Water District, Nevada
Albuquerque, New Mexico	Lawyers' Committee for Civil Rights for the SF Bay Area
Atlanta, Georgia	Los Angeles County Metropolitan Transportation Authority
Atlanta Hartsfield Jackson International Airport	Maryland-National Capital Park and Planning Commission
Ball State University, Indiana	Massachusetts Department of Environmental Protection
Battle Creek, Michigan	McCarran International Airport, Nevada
Burbank-Glendale-Pasadena Airport Authority	Metropolitan Transit System, California
California Department of Transportation	Metropolitan Water District of Southern California
Central Florida Regional Transit Authority	Minneapolis, Minnesota
Clark County, Nevada	Minneapolis Public Housing Authority, Minnesota
Clark County Housing Authority, Nevada	Nevada Department of Transportation
Clark County School District, Nevada	New Mexico Department of Transportation
Colorado Housing and Finance Authority	Oklahoma Department of Transportation
Colorado Water Resources and Power Development Authority	Orange County Transportation Authority, California
Columbus, Ohio	Phoenix, Arizona
Community College of Southern Nevada	Pima County, Arizona
Dallas/Fort Worth Airport Board, Texas	Portland Development Commission, Oregon
Denver, Colorado	Portland, Oregon
Denver Health and Hospital Authority, Colorado	Purdue University, Indiana
Denver Housing Authority, Colorado	Ramsey County, Minnesota
Dougherty County, Georgia	Regional Flood Control District, Nevada
Dougherty County School System, Georgia	Regional Transportation Commission, Nevada
Fort Worth Transportation Authority, Texas	Rhode Island Department of Transportation
Fort Worth, Texas	San Diego Association of Governments, California
Fulton County, Georgia	San Diego County Regional Airport Authority, California
Georgia Department of Transportation	Sanitation District, Nevada
Hennepin County, Minnesota	Southern California Regional Rail Authority
Idaho Transportation Department	St. Paul, Minnesota
Independent School District No. 625, St. Paul, Minnesota	Tarrant County, Texas
Indiana Department of Administration	Tucson, Arizona
Indiana Department of Transportation	University Medical Center, Las Vegas, Nevada
Indiana State University	University of Nevada, Las Vegas
Indiana University	University of Southern Indiana
Ivy Tech Community College of Indiana	Vincennes University, Indiana
Las Vegas, Nevada	Washington Metropolitan Area Transit Authority
Las Vegas/Clark County Library District, Nevada	Washington Suburban Sanitary Commission, Maryland

Disparity study litigation support. The BBC study team has expertise in providing disparity study-related litigation support to various public and government agencies. Dave Keen, Principal of KIR and former BBC Managing Director, served as an expert witness for the City and County of Denver in the defense of its non-discrimination ordinance. He was also an expert witness on MBE/WBE programs in the U.S. District Court for the Southern District of Ohio in support of the City of Columbus. He served as the plaintiff's expert in litigation that the Lawyers' Committee for Civil Rights brought against Contra Costa County, California. He testified at trial in each of these cases. Mr. Keen also assisted the City of Phoenix in its defense of its MBE program and served as an unnamed expert in support of two major cities facing legal challenge to their minority business programs.

Mr. Keen recently testified as an expert witness in support of Caltrans' implementation of the Federal DBE Program, which the agency successful in *Associated General Contractors of America, San Diego Chapter vs. California Department of Transportation, et al.* Todd Pickton, BBC Managing Director, and Keith Weiner of Holland & Knight also provided litigation support during the Caltrans case.

SECTION G. Subcontracting

SECTION G. Subcontractors

The BBC study team for the Caltrans disparity study includes five subconsultants. For each subconsultant, Section G provides information about firm experience, project responsibilities, and key personnel. Full resumes for subconsultant key personnel are presented at the end of the section.

BBC will obtain advance approval from the Caltrans Contract Manager before substituting any subconsultants on the project.

Keen Independent Research (KIR)

David Keen, formerly Managing Director of BBC Research & Consulting, recently formed KIR, a business strategy and policy analysis firm located in Colorado and Arizona. Mr. Keen began BBC's disparity study practice in 1989. Since that time, he directed BBC disparity study projects for more than 70 state and local agencies. He has testified as an expert witness in federal district court in the successful defense of MBE/WBE and DBE Programs, including Caltrans' implementation of the Federal DBE Program.

Keen Independent Research is currently co-leading disparity studies with BBC for the Georgia Department of Transportation, the Burbank-Glendale-Pasadena Airport Authority, the City of Portland and the Portland Development Commission. Mr. Keen has worked closely with each member of BBC as well as with Keith Wiener from Holland & Knight and Ed Salcedo from GCAP Services.

Project responsibilities. Dave Keen will serve as project advisor on the Caltrans disparity study and one of the lead authors on the disparity study report and final presentations. Mr. Keen will provide review and oversight on the utilization analysis (see Task 4 of the work plan), the availability analysis (see task 5 of the work plan), and the disparity analysis (see Task 6 of the work plan). He will also assist BBC in providing Caltrans guidance with overall DBE goal setting (see Task 10 of the work plan) and in developing recommendations for DBE program elements (see Task 11 of the work plan). Mr. Keen will author substantial portions of the disparity study report and final presentations (see Task 12 of the work plan).

Key personnel. The following key personnel from KIR will be involved with the Caltrans disparity study.

Dave Keen, Principal. Dave Keen, KIR Principal, has 35 years of experience directing economic research projects. Mr. Keen joined BBC Research & Consulting in 1982 from the World Bank in Washington, D.C. Mr. Keen was the Project Manager for the 2007 BBC disparity study for Caltrans and has performed disparity studies in support of Federal DBE Program implementation for state departments of transportation in Nevada, Idaho, New Mexico, Oklahoma, Indiana, and Georgia. He has performed disparity studies related to the Federal DBE Program for several California transportation agencies. He recently conducted a state-wide availability study in support of the Commonwealth of Massachusetts' implementation of EPA's DBE Program. He is a frequent speaker on disparity study issues and has taught classes at national conferences. Mr. Keen also participated in

the White House Conference that helped to create the new Federal DBE Program. He holds a Master's degree in City and Regional Planning from Harvard University and has been an adjunct faculty member at the University of Denver.

Holland & Knight

Holland & Knight is a 1,250-person law firm that has participated in more than 20 disparity and availability studies with BBC, including the 2007 Caltrans disparity study. Holland & Knight also provided support to Caltrans in the agency's recent, successful defense of its implementation of the Federal DBE program. BBC employs Holland & Knight to serve as legal counsel on disparity study assignments. In addition to providing legal analysis, Holland & Knight has extensive experience conducting in-depth interviews, collecting and analyzing anecdotal evidence, and assessing potential DBE program measures. In addition to the 2007 Caltrans study, Holland & Knight has been lead counsel on several recent BBC disparity studies in the Ninth Circuit, including for Nevada Department of Transportation, Idaho Department of Transportation, and five Southern California transportation agencies. Holland & Knight is currently working with BBC on disparity studies for City of Portland, Portland Development Commission, Burbank-Glendale-Pasadena Airport Authority, and Georgia Department of Transportation.

Project responsibilities. Holland & Knight will serve as lead legal counsel for the current Caltrans disparity study. With assistance from BBC, the firm will develop the legal analysis and framework for the study and monitor legal developments during the course of the study (see Task 2 of the work plan). In addition, they will assist BBC in providing Caltrans guidance with overall DBE goal setting (see Task 10 of the work plan), developing recommendations for DBE program elements (see Task 11 of the work plan), and providing review and oversight on the disparity study report (see Task 12 of the work plan).

Key personnel. The following key personnel from Holland & Knight will be involved with the Caltrans disparity study.

Keith Wiener, Partner. Keith Wiener, Holland & Knight Partner, serves as the firm-wide national Government Representation and State and Local Procurement Team Leader for Holland & Knight. He has practiced law for more than 32 years and has extensive experience in government law, disparity studies, civil rights, discrimination, government contracts and procurement, and public construction and transportation law. Mr. Wiener has served as the lead legal consultant and legal team leader for more than 20 BBC disparity studies, including the 2007 disparity study. Mr. Wiener also provided litigation support to Caltrans in the agency's recent, successful defense of its implementation of the Federal DBE program. Mr. Wiener has a J.D. from the Emory University School of Law.

Sarah Zampell, Attorney. Sarah Zampell, Holland & Knight Attorney, practices law in the Government and Litigation Sections and with the Government Representation Team of Holland & Knight. Her government practice includes experience in disparity studies focusing on legal analysis and review, anecdotal interviews, and gathering evidentiary and other information for the studies involving MBE/WBEs and DBEs. She recently worked on BBC disparity studies for Idaho Transportation Department, Nevada Department of Transportation, Oklahoma Department of Transportation, Indiana Department of Transportation, and the 2007 Caltrans disparity study. Ms. Zampell has a J.D. from the Emory University School of Law.

Ashley Plemons, Attorney. Ashley Plemons, Holland & Knight Attorney, practices law in the area of disparity studies, focusing on legal analysis and review and gathering evidentiary and other information involving MBE/WBEs and DBEs. Ms. Plemons is currently working on BBC disparity studies for City of Portland, Portland Development Commission, and Burbank-Glendale-Pasadena Airport Authority. She recently worked on BBC disparity studies for Oklahoma Department of Transportation, Indiana Department of Transportation, Indiana Department of Administration, and seven Indiana public colleges and universities. Ms. Plemons has a J.D. from the Georgia State University School of Law.

GCAP Services (GCAP)

GCAP is a DBE- and SB-certified operations and best practices consulting firm with offices in Costa Mesa and Sacramento, California. The firm specializes in DBE utilization data collection, DBE program support, contract administration, procurement, systems assessments, end-user needs analysis, outreach, and training. BBC and GCAP have worked together on eight disparity studies, including the 2007 Caltrans disparity study. GCAP specializes in providing Federal DBE Program support and services to public agencies and is currently administering the San Bernardino Associated Governments' and the San Diego Association of Governments' implementations of the Federal DBE Program.

Project responsibilities. GCAP will be involved with several aspects of the Caltrans disparity study. The firm will assist BBC with reviewing Caltrans contracting procedures and DBE program measures (see Task 3 of the work plan). GCAP staff will also assist in data collection and analysis as part of the utilization analysis (see Task 4 of the work plan) and as part of examining explanations for any observed disparities (see Task 7 of the work plan). In addition, GCAP will assist BBC in facilitating public forums at the end of the study (see Task 13 of the work plan).

Key personnel. The following key personnel from GCAP will be involved with the Caltrans disparity study.

Ed Salcedo, Principal. Ed Salcedo, GCAP Principal, has experience with contract compliance and administration and with DBE compliance. He has expertise in developing training programs for DBE compliance, contract administration, procurement, and other acquisition areas for private and public sector organizations. He has served as an instructor for various organizations including Caltrans, Orange County, and San Diego County Water Authority. He has also served as a public hearing officer and currently serves on a California city's planning commission. Mr. Salcedo has recently supported various California-based DBE disparity studies with BBC and serves as Project Director for several labor and DBE compliance projects for California transportation agencies.

Rena Salcedo, Consultant. Rene Salcedo, GCAP Consultant, possesses seven years of experience providing various professional services in the public sector. She has provided contract administration and management, performed compliance and performance audits, conducted business process reviews, and developed policies and procedures for California government agencies, such as LADWP, CPUC, the LA City Controller, and CRA/LA. Additionally, she is experienced with public and community outreach related to client studies, programs, and initiatives. She has also participated in a data collection and analytical role on BBC-led disparity studies for Caltrans, LA Metro, Metrolink, Orange County Transportation Authority, SANDAG, and MTS. She also has experience providing DBE-related services and outreach.

Claudia Gonzalez, Senior Analyst. Claudia Gonzalez, GCAP Senior Analyst, has experience in website development, updates, and maintenance. She also regularly analyzes data to create visual presentations that are easy to understand and are aesthetically pleasing. Ms. Gonzalez has expertise in proposal writing, cost estimating, and internal auditing. Ms. Gonzalez has developed and coordinated reports, manuals, and desk instructions for various clients. She is also experienced in compiling and organizing data, developing process and flow diagrams, editing and formatting client deliverables, and developing presentation materials.

WSC Consulting (WSC)

WSC is a DVBE- and SB-certified state and local government consulting firm located in Chico, California. The firm provides consulting, training, seminars, and workshops to government agencies on best practices for streamlining and modernizing contracting and procurement processes. WSC also has expertise in government contracting practices related to minority- and women-owned firms and other disadvantaged businesses. WSC expertise in government contracting and procurement processes through years of experience working in procurement management and administration roles for various private sector organizations. The firm also has experience conducting qualitative interviews with minority- and women-owned firms and with developing program measures to encourage minority- and women-owned firms to participate in government contracting.

Project responsibilities. WSC will be conducting in-depth anecdotal interviews as part of the Caltrans disparity study and contributing to the qualitative analysis of marketplace conditions (see Task 9 of the work plan).

Key personnel. The following key personnel from WSC will be involved with the Caltrans disparity study.

Bill Curry, Principal Consultant. Bill Curry, WSC Principal Consultant, specializes in providing WSC consulting, training, seminars, and workshops to government agencies on best practices for streamlining and modernizing contracting and procurement processes. He has authored two books and many articles on government procurement and contracting procedures. He has developed and implemented an eight-step program for a private sector organization to increase utilization of SDB (small disadvantaged business) subcontractors. The program resulted in SDB utilization that was more than double government established goals while reducing cost, improving quality, and reducing late deliveries of purchased materials.

Faro Consulting & Solutions (Faro)

Faro is a DVBE- and SB-certified professional services firm located in Sacramento, California. The firm provides project, business process, and strategic management services exclusively to state, county, and municipal government agencies in California. Faro has extensive experience collecting and analyzing qualitative and anecdotal information from surveys, in-depth interviews, and public forums. Faro possesses experience with and a deep understanding of contractual, policy, management, operational, and technology issues that are relevant to Caltrans' implementation of the Federal DBE program. The firm also has knowledge of potential hurdles that small businesses, including DBEs, face in the transportation contracting industry.

Project responsibilities. Faro will be conducting in-depth anecdotal interviews as part of the Caltrans disparity study and contributing to the qualitative analysis of marketplace conditions (see Task 9 of the work plan).

Key personnel. The following key personnel from Faro will be involved with the Caltrans disparity study.

Chris Reeve, Senior Project Manager. Chris Reeve, Faro Senior Project Manager, has been involved in the public sector arena at the county, state, and federal level for more than 16 years, giving him a unique perspective and understanding of contractual, policy, management, operational, and technology issues that are relevant to Caltrans' implementation of the Federal DBE program. Mr. Reeve is an experienced project manager for many large public sector Information Technology Projects, feasibility studies, cost/benefit analysis, needs assessments, and Quality Assurance efforts throughout the country. . He has a thorough understanding of various DBE, DVBE, Small Business, and other historically underutilized classifications and the goals for their participation in the public sector procurement process.

Mike Primavera, Senior Project Manager. Mike Primavera, Faro Senior Project Manager, focuses on business strategy, process improvement, and systems implementations with over 15 years of experience implementing technology solutions in the Public Sector. Most recently, Mr. Primavera has worked with various state agencies, specifically in the areas of project management, qualitative and quantitative analysis, systems implementation, stakeholder analysis and interaction, strategic and business planning, and process reengineering. Mr. Primavera has spent the last ten years working in the public sector across multiple state agencies. He contains a deep knowledge of the inter-workings of the State of California and the multiple procurement-related hurdles facing many businesses, including DBEs. Mr. Primavera has assisted numerous clients with navigating the complicated processes and developing procurement documents and throughout the intricate State of California procurement process.

Resumes

Full resumes for key subconsultant personnel that will be involved with the 2011 Caltrans disparity study are presented on the following pages.

David Keen

KIR Principal

Mr. Keen recently founded Keen Independent Research, a Colorado- and Arizona-based market research, business strategy and policy analysis firm. From 1982 to 2011, Mr. Keen was an Associate and then Director and Managing Director of BBC Research & Consulting. He initiated BBC's disparity study practice in 1989 and has since worked with leading researchers and attorneys in this field. He has directed disparity studies for more than 70 clients, pioneering methodology in this area. Each BBC disparity study has been conducted under Mr. Keen's direction. Mr. Keen is a frequent speaker on these issues and has provided expert testimony in federal court. He participated in a White House Conference that sought direction for the Federal DBE Program after the *Adarand* decision.

Prior to joining BBC in 1982, Mr. Keen researched causes of regional disparities in economic development in Brazil for the World Bank. He is the co-author of a book on health care economics and has served as an adjunct professor at the University of Denver.

Relevant Project Experience

- **Disparity studies.** Mr. Keen has conducted disparity studies for more than 70 clients including state departments of transportation in California, Nevada, Idaho, New Mexico, Indiana, Oklahoma and Georgia. He has also conducted studies that have helped local agencies implement the Federal DBE Program.
- **Procurement and MBE/WBE management studies.** Mr. Keen conducted studies of purchasing for the Metropolitan Water District of Southern California, Denver Housing Authority, City of Columbus, and Maryland National Capital Park and Planning Commission.
- **Litigation support.** Mr. Keen served as expert witness in federal district court in Caltrans' in its recent successful defense of its implementation of the Federal DBE Program. He was an expert for the City and County of Denver in the defense of its non-discrimination ordinance. He testified in the U.S. District Court for Colorado. He was an expert witness on MBE/WBE programs in the U.S. District Court for the Southern District of Ohio in support of the City of Columbus. He served as the plaintiff's expert in litigation Lawyers' Committee for Civil Rights brought against Contra Costa County, California. He also assisted the City of Phoenix in its defense of its MBE program. Mr. Keen has served as an unnamed expert in support of two major cities facing legal challenge to minority business programs. Mr. Keen has litigation support experience in other fields as well.
- **Small business development.** Mr. Keen is the co-author of the State of Colorado Economic Development Strategic Plan. He has researched small and MBE/WBE business development for cities including Denver, Austin, San Jose, and Provo, Utah.

Education

M.C.R.P., City and Regional Planning, Harvard University, Cambridge, Massachusetts, 1980
B.S., Business Administration, University of Arizona, Tucson, Arizona, 1978

Keith Wiener

Holland & Knight Partner

Mr. Wiener serves as the firm-wide national Government Representation and State and Local Procurement Team Leader for Holland & Knight. He has practiced law for more than 32 years and has extensive experience in government law, disparity studies, civil rights, discrimination, government contracts and procurement, and public construction and transportation law. His experience includes DBE/MBE/WBE and SBE-type programs, compliance with the Federal DBE Program (49 CFR Part 26), and with laws and regulations relating to MBE/WBE/DBE and small business programs.

Relevant Project Experience

- **Disparity and related studies.** Mr. Wiener is the legal team leader for BBC disparity studies for City of Portland, Portland Development Commission, Georgia Department of Transportation, and Burbank-Glendale-Pasadena Airport Authority. Mr. Wiener was the lead legal consultant and legal team leader for BBC's disparity studies for several state departments of transportation, including: Idaho, Nevada, Oklahoma, Indiana, and California. He also worked with BBC on disparity studies in Albany, Georgia for five local government agencies and in Southern California for five transportation agencies. Mr. Wiener was the lead legal consultant for the City of Atlanta in connection with its 2006 disparity study. He advised the Rhode Island Department of Transportation and the Central Florida Regional Transportation Authority regarding compliance with the Federal DBE Program (49 CFR Part 26). Mr. Wiener has chaired public hearings concerning DBE and MBE/WBE programs. He has also prepared legislation concerning government contracts and purchasing, DBE/MBE/WBE and SBE programs, and nondiscrimination provisions.
- **Government law.** Mr. Wiener has represented governmental entities and businesses in the areas of DBE, MBE/WBE, small business, race- and gender-neutral programs, public transportation, construction, government contracting and procurement, public finance, government affairs, discrimination, and civil rights. He makes presentations before various organizations concerning government law, the Federal DBE Program, contract compliance, civil rights, discrimination, and DBE and MBE/WBE programs for the American Public Transportation Association, American Contract Compliance Association and the National Association of Minority Contractors.
- **Litigation.** Mr. Wiener has 32 years of litigation experience, including public policy litigation and cases involving challenges to DBE and MBE/WBE programs. He recently provided litigation support for Caltrans' successful defense of its implementation of the Federal DBE program. Mr. Wiener was successful in defending a lawsuit brought against the City of Columbus, Ohio that challenged its Equal Business Opportunity Program. He has also acted as lead counsel in reported federal appeals and district court cases concerning the City's Equal Business Opportunity legislation. He is admitted to practice in many courts including before the United States Supreme Court, multiple Federal Courts of Appeal, Federal District Courts and other courts.

Education

J.D., Emory University School of Law, 1978

B.A., Syracuse University, Magna Cum Laude, Phi Beta Kappa; Phi Kappa Phi Honor Society, 1975

Sarah Zampell

Holland & Knight Attorney

Sarah Zampell practices law in the Government and Litigation Sections and with the Government Representation Team of Holland & Knight. Her government practice includes experience in disparity studies focusing on legal analysis and review, anecdotal interviews, and gathering evidentiary and other information for the studies involving MBE/WBEs and DBEs.

Relevant Project Experience

- **Disparity studies.** Ms. Zampell is currently working on BBC disparity studies for the City of Portland, the Portland Development Commission, and the Burbank-Glendale-Pasadena Airport Authority, including anecdotal interviews of trade associations and contractors and to preparation of anecdotal interview reports. Ms. Zampell recently worked on BBC disparity studies for the Idaho Transportation Department, the Nevada Department of Transportation, the Oklahoma Department of Transportation, the Indiana Department of Transportation, and the 2007 Caltrans disparity study. Ms. Zampell's work on these studies included: analyzing legal issues, conducting anecdotal interviews, reviewing records of testimony at public hearings, and preparing legal analyses and anecdotal reports for the various studies.
- Ms. Zampell has also worked on disparity studies for the following government entities: the North Carolina Department of Transportation; a consortium of local governments in California — the Los Angeles County Metropolitan Transportation Authority, San Diego Regional Rail Authority, Orange County Transportation Authority, San Diego Association of Governments, and San Diego Metropolitan Transit System; a consortium of local governments in Georgia — Dougherty County, City of Albany, Water, Gas & Light Commission, Dougherty County Schools, and Albany Tomorrow, Inc.; and the 2006 disparity study for the City of Atlanta, Georgia.
- **Government law.** Ms. Leopold's government practice also includes representation and advice in various areas of government law, including the areas of government contracting and procurement, public finance, contract compliance, construction law involving government construction projects, and administration and intergovernmental affairs.
- **Litigation experience.** Ms. Leopold's litigation practice includes the areas of commercial litigation and negotiation and contracting activities of governmental entities.

Education

J.D., Emory University School of Law, 2005
B.A., St. Lawrence University, 2000

Ashley Plemons
Holland & Knight Attorney

Ms. Plemons' practice includes experience in Disparity Studies focusing on legal analysis and review and gathering evidentiary and other information for the studies involving MBE/WBEs and DBEs.

Relevant Project Experience

- **Disparity studies.** Ms. Plemons is currently working on BBC disparity studies for City of Portland, Portland Development Commission, and Burbank-Glendale-Pasadena Airport Authority, including anecdotal interviews of trade associations and contractors and preparing anecdotal interview reports. Ms. Plemons recently worked on BBC disparity studies for Oklahoma Department of Transportation, Indiana Department of Transportation, Indiana Department of Administration, and seven Indiana public colleges and universities. Ms. Plemons' work on these studies included: analyzing legal issues, conducting anecdotal interviews of trade associations and contractors, reviewing records of testimony at public hearings, and preparing the legal analyses and anecdotal interview reports for the various studies.
- **Other practice area.** Ms. Plemons' practice also includes the representation of middle-market businesses in business matters involving corporate governance and joint ventures.

Education

J.D., Georgia State University College of Law, Magna Cum Laude, 2009
B.A., University of Georgia, Magna, Cum Laude, 2005

Ed Salcedo

GCAP Principal

Mr. Salcedo has experience with contract compliance and administration and with DBE compliance. He has expertise in developing training programs for DBE compliance, contract administration, procurement, and other acquisition areas for private and public sector organizations. He has served as an instructor for various organizations including Caltrans, Orange County, and San Diego County Water Authority. He has also served as a public hearing officer and currently serves on a California city's planning commission. Mr. Salcedo has recently supported various California-based DBE disparity studies with BBC and serves as Project Director for several labor compliance projects for California transportation agencies.

Relevant Project Experience

- **Disparity studies.** Mr. Salcedo played a leadership role in providing support on recent California-based DBE disparity studies for Caltrans, LA Metro, Metrolink, Orange County Transportation Authority, SANDAG, MTS, San Diego County Regional Airport Authority, and Burbank-Glendale-Pasadena Airport. He was responsible for assisting with the analysis of contracting practices to allow for the efficient and complete collection of contracting data related to federally- and non federally-funded contracts. Also, he provided support in interviewing minority businesses, assessing and developing race-neutral remedies, and litigation support.
- **DBE compliance.** Mr. Salcedo is current serving as Project Director on Labor and DBE Compliance projects for two Southern California transportation agencies. He is responsible for overseeing and managing labor compliance officer responsibilities for construction-related contracts and providing oversight of the labor wage monitoring and labor compliance functions for related consulting contracts. Mr. Salcedo assists in the development of efficient labor compliance procedures and practices. He is also responsible for overseeing and supporting DBE compliance support services related to federally-funded projects.
- **DBE services.** Mr. Salcedo is serving as Project Director for a California statewide project to provide supportive services to DBE firms. He is responsible for overall management of the project, including developing training schedules, project charter, and staffing requirements. He has actively participated in quarterly and annual client meetings, facilitated workshops, and performed marketing and outreach to key stakeholders. He has also conducted training for California local transportation agencies on compliance with Caltrans' implementation of the Federal DBE Program.
- **Litigation support.** Mr. Salcedo served as Lead Consultant providing litigation support to a public agency. His services focused primarily on the review of the contract, amendments, risk management, wage rates, and other areas to ascertain compliance with contract terms.

Education

J.D., Loyola Marymount Law School
B.S., Southern Illinois University

Rena Salcedo

GCAP Consultant

Ms. Salcedo possesses seven years of experience providing various professional services in the public sector. She has provided contract administration and management, performed compliance and performance audits, conducted business process reviews, and developed policies and procedures for California government agencies, such as LADWP, CPUC, the LA City Controller, and CRA/LA. Additionally, she is experienced with public and community outreach related to client studies, programs, and initiatives. She has also participated in BBC-led disparity studies for Caltrans, LA Metro, Metrolink, Orange County Transportation Authority, SANDAG, and MTS.

Relevant Project Experience

- **Disparity studies.** Ms. Salcedo collected contract and vendor data for BBC-led disparity studies for LA Metro, Metrolink, Orange County Transportation Authority, SANDAG, MTS, and Burbank-Glendale-Pasadena Airport Authority. She also assisted with utilization analyses by participating in meetings with agency management and staff, assisted with developing a data collection approach for each agency, and provided formal document requests to gather data.
- **DBE-related services and outreach.** Ms. Salcedo assisted with web-marketing activities for DBE training workshops. She performed outreach services for all Caltrans DBE Public Forums in Southern California and generated a database of target organizations, including chambers of commerce, professional organizations, public agencies, and business development centers. She has also provided outreach and facilitation services for Caltrans related to the SR-710 route neutral geotechnical feasibility study.
- **Contract compliance.** Ms. Salcedo assisted with a performance review of two multi-million dollar construction contracts between the Los Angeles Department of Water and Power and various contractors. Her responsibilities included gathering and reviewing all contracts and related documents, including specifications, purchase orders, reports and change orders; providing analysis of budget compliance; and assessing adherence to contract provisions. Additional responsibilities included evaluating the Department's procurement process for goods and services, scheduling interviews with purchasing staff, and developing as-is process flow charts to document such activities.
- **Litigation support.** Ms. Salcedo provided litigation support related to fraudulent activities detected during the Los Angeles Department of Water and Power Construction Contract Performance Audit. She analyzed information obtained via subpoenas and confirmed calculations related to damages. She also provided assistance to the legal team in collecting evidence to support development of the prosecution's case.

Education

B.S., Mathematics/Economics, University of California, Los Angeles

Claudia Gonzalez

GCAP Senior Analyst

Ms. Gonzalez has experience in website development, updates, and maintenance. She also regularly analyzes data to create visual presentations that are easy to understand and are aesthetically pleasing. Ms. Gonzalez has expertise in proposal writing, cost estimating, and internal auditing. Ms. Gonzalez has developed and coordinated reports, manuals, and desk instructions for various clients. She is also experienced in compiling and organizing data, developing process and flow diagrams, editing and formatting client deliverables, and developing presentation materials.

Relevant Project Experience

- **Disparity studies.** Ms. Gonzalez provided support on BBC-led disparity studies for SANDAG and Burbank-Glendale-Pasadena Airport Authority. She assisted the study team in completing on site data collection, database creation, data analysis, and data entry tasks.
- **Contract compliance.** Ms. Gonzalez has provided auditing and data collection services for projects with Caltrans, LA Metro, Metrolink, Orange County Transportation Authority, and SANDAG. She also provided training to small business related to procurement, contracting, and proposal processes for San Diego County Water Authority. She also provided a variety of services for Caltrans related to route SR-710, including project budgeting, project scheduling, elected official coordination, community outreach, marketing, community meeting coordination, documentary film planning and production, website development updates, and maintenance.

Education

B.A., Internal Business Management, Pepperdine University, 2006

Bill Curry

WSC Principal Consultant

Bill Curry is the Principal Consultant for WSC Consulting. He specializes in providing WSC consulting, training, seminars, and workshops to government agencies on best practices for streamlining and modernizing contracting and procurement processes. Mr. Curry has expertise in government contracting and procurement processes through years of experience working in procurement management and administration roles for various private sector organizations.

Relevant Project Experience

- **Contracting and procurement processes.** Mr. Curry possesses a deep understanding of contracting and procurement processes for various government and public agencies nationwide. Mr. Curry reviewed procurement processes for seventeen states and six local government agencies to identify best practices. The results of the review were used to develop two best practices requests for proposals and two best practices contracts. Mr. Curry also reviewed procurement processes for a state university and recommended changes to solicitation processes and methods for evaluating proposals that were subsequently implemented by the university. Mr. Curry has served in leadership roles related to contracting and procurement for various private sector organizations.
- In addition, Mr. Curry has completed numerous government contracting courses including Systems Procurement Officer, Government Contract Law, Contract Administration, and Indirect Cost Management.
- **Disadvantaged business enterprises.** While working for a private sector organization, Mr. Curry developed and implemented an eight-step program for a private sector organization to increase utilization of SDB (small disadvantaged business) subcontractors. The program resulted in SDB utilization that was more than double government established goals while reducing cost, improving quality, and reducing late deliveries of purchased materials. Mr. Curry testified before U.S. House Armed Services Committee about the eight-step program.
- **Published books, papers, and articles.** Mr. Curry has authored two books on government procurement and contracting practices. Both books include chapters on increasing the percentage of contracted dollars awarded to minority- and women-owned businesses. Mr. Curry has also written numerous papers and articles related to contracting and procurement, many in peer-reviewed journals.

Education

Master's, Business Administration, Ohio State University
B.S., Business Management, Florida State University

Chris Reeve

Faro Senior Project Manager

Chris Reeve has been involved in the public sector arena at the county, state, and federal level for more than 16 years, giving him a unique perspective and understanding of contractual, policy, management, operational, and technology issues that are relevant to Caltrans' implementation of the Federal DBE program. Mr. Reeve is an experienced project manager for many large public sector Information Technology Projects, feasibility studies, cost/benefit analysis, needs assessments, and Quality Assurance efforts throughout the country.

Relevant Experience

- **Procurement Management and Support.** Mr. Reeve has been the Project Manager for multiple, large public sector/state agency procurement efforts throughout the country, including development of Request for Proposal/Qualifications documents in Washington, Nevada, California, New York, Oregon, Colorado, Kansas, Vermont, Pennsylvania, Texas, and Maryland. He has led all aspects of procurements including development of procurement documents, evaluation criteria, proposal evaluation, and contract negotiations. He has a thorough understanding of various DBE, DVBE, Small Business, and other historically underutilized classifications and the goals for their participation in the public sector procurement process.
- **Program design and implementation.** Mr. Reeve has experience in designing and implementing requirements for MBE/WBE efforts in the State of Maryland, Oregon Legislature, and State of Kansas Department of Transportation in support for their procurement management systems. He developed requirements for MBE/WBE with participation from diverse stakeholders and facilitated implementation of these policies and requirements.
- **Diverse Stakeholder Facilitation.** Mr. Reeve is skilled in working with diverse stakeholders to develop workable strategies and tactical solutions in support of program and policy changes. He has led large business process reengineering (BPR) efforts with multiple state agencies throughout the country requiring meeting with stakeholders from state agencies, conducting both internal and external interviews and surveys, and conducting focus group sessions to gain consensus in support of strategic and policy changes. He has worked closely with Department of General Services representatives and various funding partners at the local, state, and federal level to assist clients with funding of important initiatives.
- **Qualitative Analysis.** Mr. Reeve has worked with various state and local agencies throughout the country to analyze current environments, identify program and management needs, develop gap analyses, and solutions in support of operational and management needs. He has been a trusted advisor to multiple clients in helping them support new initiatives, providing them with development of new policies, detailed implementation plans, and ROI development.

Education

Master's, Public Administration, American University
B.A., Political Science, University of South Carolina

Mike Primavera

Faro Senior Project Manager

Mike Primavera is a Senior Project Manager focusing on business strategy, process improvement, and systems implementations with over 15 years of experience implementing technology solutions in the Public Sector. Most recently, Mr. Primavera has worked with various state agencies, specifically in the areas of project management, qualitative and quantitative analysis, systems implementation, stakeholder analysis and interaction, strategic and business planning, and process reengineering.

Relevant Experience

- **Public sector procurement.** Mr. Primavera has spent the last ten years working in the public sector across multiple state agencies. He contains a deep knowledge of the inter-workings of the State of California and the multiple procurement-related hurdles facing many businesses, including DBEs. Mr. Primavera has assisted numerous clients with navigating the complicated processes and developing procurement documents and throughout the intricate State of California procurement process.
- **Qualitative analysis.** Mr. Primavera has been involved in multiple analysis and data collection efforts across the public sector over the past ten years. His experience has assisted agencies in improving business performance due to various aspects of behavioral actions. Mr. Primavera's project experience includes development of the methodology surrounding similar studies and the execution of the tasks included as part of the studies.
- **Diverse public sector stakeholder skills.** Mr. Primavera has worked closely with multiple public sector clients, including Caltrans, to develop and execute stakeholder management plans. Responsibilities included development, facilitation and documentation of stakeholder sessions. Mr. Primavera has deep experience in translating stakeholder sessions into actionable events.
- **Database collection and analysis.** Mr. Primavera has led projects that included detailed analysis of complex data structures. He has worked with Caltrans on an integrated maintenance management program implementation that included detailed data analysis tasks and activities.

Education

B.S., Civil Engineering, California Polytechnic State University

ATTACHMENTS.

ATTACHMENT 2**CONTRACTOR CERTIFICATION CLAUSES**

CCC-307

CERTIFICATION

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Consultant to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Bidder Firm Name (Printed)</i>		<i>Federal ID Number</i>
Browne, Bortz & Coddington, Inc. d.b.a. BBC Research & Consulting		84-0929035
<i>By (Authorized Signature)</i>		
		
<i>Printed Name and Title of Person Signing</i>		
Todd Pickton, Managing Director		
<i>Date Executed</i>	<i>Executed in the County of</i>	
April 19, 2011	City and County of Denver, Colorado	

CONTRACTOR CERTIFICATION CLAUSES

1. **STATEMENT OF COMPLIANCE:** Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 8103) (Not applicable to public entities.)

2. **DRUG-FREE WORKPLACE REQUIREMENTS:** Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the person's or organization's policy of maintaining a drug-free workplace;
- 3) any available counseling, rehabilitation and employee assistance programs; and,
- 4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

- 1) receive a copy of the company's drug-free workplace policy statement; and,
- 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

Technical Proposal

April 19, 2011

Agreement No. 88A0062

Attachment 2

Page 86 of 96

ATTACHMENT 9**ATTACHMENT CHECKLIST**

A complete proposal package will consist of the items identified below. Complete this checklist to confirm the items in your proposal. Place a check mark or "X" next to each item that you are submitting to the State. All attachments identified below are applicable to this RFP and must be returned, as instructed, or your proposal may be considered non-responsive. **Return this checklist with your Technical Proposal package.**

Technical Proposal and Attachments

NOTE: Return this Checklist with the Technical Proposal package.

Attachments**Attachment Name/Description**

- Technical Proposal as stated in this RFP (This shall be incorporated into the contract as **Attachment 2**)
- Contractor Certification Clauses (CCC 307). The CCC 307 can also be found on the Internet at <http://www.dgs.ca.gov/contracts>. Page one (1) must be signed and submitted prior to the award of the Agreement. (**RFP Attachment 2**)
- Proposal Attachment Checklist (**RFP Attachment 9**)
- Request for Consultant/Contractor Reference Check (**Attachment 16**)
- Darfur Contract Act, (**RFP Attachment 18**)

Cost Proposal and Attachments

NOTE: All Cost Proposal Information and applicable Attachments **MUST** be packaged separately from the Technical Proposal package. **No Cost Information of any kind is allowed in the Technical Proposal.**

Attachments**Attachment Name/Description**

- Cost Proposal (**RFP Attachment 1**)
- Bidder Declaration form, GSPD-05-105. (**RFP Attachment 3**) This shall be incorporated into the contract as **Attachment 3**
- Proposal/Proposer Certification Sheet (**RFP Attachment 4**)
- Documentation of Disabled Veteran Business Enterprise Declaration, STD 843 (**RFP Attachment 13**)

Contract Number: 88A0061 Consultant/Contractor Name: BBC Research & Consulting

Project Owner(Agency): Caltrans Point of Contact: Betty Graham Phone: (916) 227-6048

Project Title: Disadvantaged Business Enterprise (DBE) Program Disparity Study 2011 Report

Brief Description of Work: To conduct an availability and utilization analysis (a "disparity study") for the California Department of Transportation, encompassing a study period from January 1, 2007 to December 31, 2010.

The Consultant/Contractor intends to submit a proposal to CALTRANS for consideration. Your name is listed as a reference for this project. Below is a brief reference check questionnaire that the Consultant/Contractor is asking you to complete. You may attach additional sheet(s) to provide detailed information about your responses. The completed form must be returned to Consultant/Contractor via e-mail or fax as listed below by Tuesday, February 22, 2011. Please complete, sign below and return the form promptly to the Consultant/Contractor. Thank you for your time and assistance.

Email Address: cfanning@bbcresearch.com Fax Number: (303) 399-0448

Excellent	Good	Satisfactory	Poor
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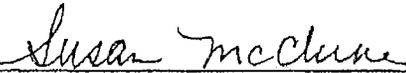
<p>1. How do you rate the firm's overall performance in providing the services? If Poor, please explain:</p>	<p>Excellent Took initiative, consistently demonstrated knowledge of the DBE and/or Labor Compliance consulting services (the "Project"), consistently anticipated and solved issues, demonstrated effective team leadership skills, adequately staffed for all assigned tasks (3)</p> <p>Good Most staff demonstrated knowledge of Project, solved unexpected issues promptly, few team mistakes, adequately staffed for most assigned tasks (2)</p> <p>Satisfactory Some staff demonstrated knowledge of the Project, occasional unanticipated issues arose, some team mistakes, adequately staffed for some assigned tasks (1)</p> <p>Poor Knowledge of the Project was lacking, issues remained unresolved, frequent team mistakes, not adequately staffed for assigned tasks (0)</p>	3
<p>2. Were the required services completed on time and to your satisfaction? If Poor, please explain:</p>	<p>Excellent Always on time or ahead of schedule (3)</p> <p>Good On time (2)</p> <p>Satisfactory Occasionally late (1)</p> <p>Poor Consistently late (0)</p>	3
<p>3. What was the quality of the advice provided? If Poor, please explain:</p>	<p>Excellent Advice was consistently provided in a thorough and practical way, and the staff member(s) anticipated issues we did not point out in advance (3)</p> <p>Good Rarely had to redirect the staff member(s) and advice provided was valuable and responsive (2)</p> <p>Satisfactory Usually provided helpful information and advice (1)</p> <p>Poor Repeatedly had to be redirected and prompted to provide an adequate response (0)</p>	3
<p>4. How was the Project Manager's independence projected and communication with the Agency? If Poor, please explain:</p>	<p>Excellent Discussed methodology/proposed changes of Agency and provided adequate research results to support their position and stood firm on their decision. Always answered/returned calls and correspondence or provided updates promptly (3)</p> <p>Good Discussed methodology/proposed changes of Agency and provided adequate research results to support their position, but did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates promptly most of the time (2)</p> <p>Satisfactory Discussed methodology/proposed changes of Agency, but did not provide adequate research results to support their position and did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates, but not always promptly (1)</p> <p>Poor Discussed methodology/proposed changes of Agency but did not research or provide support even if they did not agree with changes/methodology; did not stand firm on their decision/frequently sided with Agency. Did not answer/return calls or correspondence or provide updates (0)</p>	3

5. How do you rate the experience and technical competence of the personnel assigned to the Project? If Poor, please explain:	Excellent Exceed most expectations (knowledge of Agency and relevant laws and policy always apparent) (3) Good Exceeds some expectations (knowledge of Agency and relevant laws and policy frequently apparent) (2) Satisfactory Met expectations (knowledge of Agency and relevant laws and policy apparent at times, but further research required) (1) Poor Failed to meet expectations (knowledge of Agency and relevant laws and policy lacking) (0)	3
6. Did the firm stay within budget? If Poor, please explain:	Excellent Always within budget (3) Good Most often within budget (2) Satisfactory Somewhat within budget (1) Poor Consistently over budget (0)	3
7. How do you rate the firm's task management and scheduling abilities? If Poor, please explain:	Excellent Exceed most expectations (3) Good Exceeds some expectations (2) Satisfactory Met expectations (1) Poor Failed to meet expectations (0)	3

Explanations and Additional Comments (If necessary, use additional sheets):

ODOT chose BBC for the ODOT disparity study based on BBC's experience performing legally defensible studies and their superior methodology. We have been extremely pleased with BBC as they provided an excellent level of service throughout the study, delivering high quality information and analysis. BBC completed the study on time and within budget.

I would highly recommend BBC for the Caltrans disparity study. If you have any questions or require additional information, please feel free to call me at 405-522-1983.

Completed by (print company representative name and title below): SUSAN McClune, Transp. Mgr. III	Sign here: 	Date: 4/15/11
Email address: smcclune@odot.org	Telephone Number: 405-522-1983	

Attachment 14

RFP 88A0061

State of California

REQUEST FOR CONSULTANT/CONTRACTOR REFERENCE CHECK

Contract Number: 88A0061 Consultant/Contractor Name: BBC Research & Consulting

Project Owner(Agency): CALTRANS Point of Contact: Betty Graham Phone: (916) 227-6048

Project Title: Disadvantaged Business Enterprise (DBE) Program Disparity Study 2011 Report

Brief Description of Work: To conduct an availability and utilization analysis (a "disparity study") for the California Department of Transportation, encompassing a study period from January 1, 2007 to December 31, 2010.

The Consultant/Contractor is invited to submit a proposal to CALTRANS for consideration. Your name is listed as a reference for this project. Below is a brief reference check questionnaire that the Consultant/Contractor is asking you to complete. You may attach additional sheet(s) to provide detailed information about your responses. The completed form must be returned to Consultant/Contractor via e-mail or fax as listed below by Tuesday, February 22, 2011. Please complete, sign below and return the form promptly to the Consultant/Contractor. Thank you for your time and assistance.

Email Address: mfanning@bbcresearch.com

Fax Number: (303) 399-0448

Excellent	Good	Satisfactory	Poor
1. How do you rate the firm's overall performance in providing the services? If Poor, please explain:	<p>Excellent Took initiative, consistently demonstrated knowledge of the DBE and/or Labor Compliance consulting services (the "Project"), consistently anticipated and solved issues, demonstrated effective team leadership skills, adequately staffed for all assigned tasks (3)</p> <p>Good Most staff demonstrated knowledge of Project, solved unexpected issues promptly, few team mistakes, adequately staffed for most assigned tasks (2)</p> <p>Satisfactory Some staff demonstrated knowledge of the Project, occasional unanticipated issues arose, some team mistakes, adequately staffed for some assigned tasks (1)</p> <p>Poor Knowledge of the Project was lacking, issues remained unresolved, frequent team mistakes, not adequately staffed for assigned tasks (0)</p>		
2. Were the required services completed on time and to your satisfaction? If Poor, please explain:	<p>Excellent Always on time or ahead of schedule (3)</p> <p>Good On time (2)</p> <p>Satisfactory Occasionally late (1)</p> <p>Poor Consistently late (0)</p>		
3. What was the quality of the advice provided? If Poor, please explain:	<p>Excellent Advice was consistently provided in a thorough and practical way, and the staff member(s) anticipated issues we did not point out in advance (3)</p> <p>Good Rarely had to redirect the staff member(s) and advice provided was valuable and responsive (2)</p> <p>Satisfactory Usually provided helpful information and advice (1)</p> <p>Poor Repeatedly had to be redirected and prompted to provide an adequate response (0)</p>		
4. How was the Project Manager's independence projected and communication with the Agency? If Poor, please explain:	<p>Excellent Discussed methodology/proposed changes of Agency and provided adequate research results to support their position and stood firm on their decision. Always answered/returned calls and correspondence or provided updates promptly (3)</p> <p>Good Discussed methodology/proposed changes of Agency and provided adequate research results to support their position, but did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates promptly most of the time (2)</p> <p>Satisfactory Discussed methodology/proposed changes of Agency, but did not provide adequate research results to support their position and did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates, but not always promptly (1)</p> <p>Poor Discussed methodology/proposed changes of Agency but did not research or provide support even if they did not agree with changes/methodology; did not stand firm on their decision/frequently sided with Agency. Did not answer/return calls or correspondence or provide updates (0)</p>		

Attachment 14

RFP 88A0061

REQUEST FOR CONSULTANT/CONTRACTOR REFERENCE CHECK

<p>6. How do you rate the experience and technical competence of the personnel assigned to the Project? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (knowledge of Agency and relevant laws and policy always apparent) (3) Good Exceeds some expectations (knowledge of Agency and relevant laws and policy frequently apparent) (2) Satisfactory Met expectations (knowledge of Agency and relevant laws and policy apparent at times, but further research required) (1) Poor Failed to meet expectations (knowledge of Agency and relevant laws and policy lacking) (0)</p>		
<p>6. Did the firm stay within budget? If Poor, please explain:</p>	<p>Excellent Always within budget (3) Good Most often within budget (2) Satisfactory Somewhat within budget (1) Poor Consistently over budget (0)</p>		
<p>7. How do you rate the firm's task management and scheduling abilities? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (3) Good Exceeds some expectations (2) Satisfactory Met expectations (1) Poor Failed to meet expectations (0)</p>		
<p>Explanations and Additional Comments (if necessary, use additional sheets):</p>			
<p>Completed by (print company name and title below): PATRICIA A. WRIGHT Formerly: Small Business Development Program Manager, San Diego County Regional Airport Authority</p>	<p>Signature name and title: Patricia Wright</p>	<p>Signature: Patricia Wright</p>	<p>Date: 2/17/2011</p>
<p>Email address: Current: patricia.wright@faa.gov</p>		<p>Telephone Number: Current: 310/725-3955</p>	<p>NOTE: This reference is applicable to my former employment with San Diego County Regional Airport Authority - not my current employment with the Federal Aviation Administration</p>

Attachment 14
RFP 88A0061
REQUEST FOR CONSULTANT/CONTRACTOR REFERENCE CHECK

State of California

April 19, 2011
Agreement No. 88A0062
Attachment 2
Page 91 of 96

Contract Number: 88A0061 Consultant/Contractor Name: BBC Research & Consulting
Project Owner(Agency): Caltrans Point of Contact: Betty Graham Phone: (916) 227-6048
Project Title: Disadvantaged Business Enterprise (DBE) Program Disparity Study 2011 Report
Brief Description of Work: To conduct an availability and utilization analysis (a "disparity study") for the California Department of Transportation, encompassing a study period from January 1, 2007 to December 31, 2010.

The Consultant/Contractor intends to submit a proposal to CALTRANS for consideration. Your name is listed as a reference for this project. Below is a brief reference check questionnaire that the Consultant/Contractor is asking you to complete. You may attach additional sheet(s) to provide detailed information about your responses. The completed form must be returned to Consultant/Contractor via e-mail or fax as listed below by Tuesday, February 22, 2011. Please complete, sign below and return the form promptly to the Consultant/Contractor. Thank you for your time and assistance.

Email Address: cfanning@bbcresearch.com Fax Number: (303) 399-0448

Excellent	Good	Satisfactory	Poor
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<p>1. How do you rate the firm's overall performance in providing the services? If Poor, please explain:</p>	<p>Excellent Took initiative, consistently demonstrated knowledge of the DBE and/or Labor Compliance consulting services (the "Project"), consistently anticipated and solved issues, demonstrated effective team leadership skills, adequately staffed for all assigned tasks (3)</p> <p>Good Most staff demonstrated knowledge of Project, solved unexpected issues promptly, few team mistakes, adequately staffed for most assigned tasks (2)</p> <p>Satisfactory Some staff demonstrated knowledge of the Project, occasional unanticipated issues arose, some team mistakes, adequately staffed for some assigned tasks (1)</p> <p>Poor Knowledge of the Project was lacking, issues remained unresolved, frequent team mistakes, not adequately staffed for assigned tasks (0)</p>	
<p>2. Were the required services completed on time and to your satisfaction? If Poor, please explain:</p>	<p>Excellent Always on time or ahead of schedule (3)</p> <p>Good On time (2)</p> <p>Satisfactory Occasionally late (1)</p> <p>Poor Consistently late (0)</p>	
<p>3. What was the quality of the advice provided? If Poor, please explain:</p>	<p>Excellent Advice was consistently provided in a thorough and practical way, and the staff member(s) anticipated issues we did not point out in advance (3)</p> <p>Good Rarely had to redirect the staff member(s) and advice provided was valuable and responsive (2)</p> <p>Satisfactory Usually provided helpful information and advice (1)</p> <p>Poor Repeatedly had to be redirected and prompted to provide an adequate response (0)</p>	
<p>4. How was the Project Manager's independence projected and communication with the Agency? If Poor, please explain:</p>	<p>Excellent Discussed methodology/proposed changes of Agency and provided adequate research results to support their position and stood firm on their decision. Always answered/returned calls and correspondence or provided updates promptly (3)</p> <p>Good Discussed methodology/proposed changes of Agency and provided adequate research results to support their position, but did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates promptly most of the time (2)</p> <p>Satisfactory Discussed methodology/proposed changes of Agency, but did not provide adequate research results to support their position and did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates, but not always promptly (1)</p> <p>Poor Discussed methodology/proposed changes of Agency but did not research or provide support even if they did not agree with changes/methodology; did not stand firm on their decision/frequently sided with Agency. Did not answer/return calls or correspondence or provide updates (0)</p>	

<p>5. How do you rate the experience and technical competence of the personnel assigned to the Project? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (knowledge of Agency and relevant laws and policy always apparent) (3) Good Exceeds some expectations (knowledge of Agency and relevant laws and policy frequently apparent) (2) Satisfactory Met expectations (knowledge of Agency and relevant laws and policy apparent at times, but further research required) (1) Poor Failed to meet expectations (knowledge of Agency and relevant laws and policy lacking) (0)</p>	
<p>6. Did the firm stay within budget? If Poor, please explain:</p>	<p>Excellent Always within budget (3) Good Most often within budget (2) Satisfactory Somewhat within budget (1) Poor Consistently over budget (0)</p>	
<p>7. How do you rate the firm's task management and scheduling abilities? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (3) Good Exceeds some expectations (2) Satisfactory Met expectations (1) Poor Failed to meet expectations (0)</p>	

Explanations and Additional Comments (if necessary, use additional sheets):

<p>Completed by (print company representative name and title below): <i>Tashai R. Smith</i> <i>Director, Small Business Programs</i></p>	<p>Sign here: <i>Tashai R. Smith</i></p>	<p>Date: <i>4/18/11</i></p>
<p>Email address: <i>smitht@metro.net</i></p>	<p>Telephone Number: <i>(713) 922-2128</i></p>	

Contract Number: 88A0061 Consultant/Contractor Name: BBC Research & Consulting

Project Owner(Agency): Caltrans Point of Contact: Betty Graham Phone: (916) 227-6048

Project Title: Disadvantaged Business Enterprise (DBE) Program Disparity Study 2011 Report

Brief Description of Work: To conduct an availability and utilization analysis (a "disparity study") for the California Department of Transportation, encompassing a study period from January 1, 2007 to December 31, 2010.

The Consultant/Contractor intends to submit a proposal to CALTRANS for consideration. Your name is listed as a reference for this project. Below is a brief reference check questionnaire that the Consultant/Contractor is asking you to complete. You may attach additional sheet(s) to provide detailed information about your responses. The completed form must be returned to Consultant/Contractor via e-mail or fax as listed below by Tuesday, February 22, 2011. Please complete, sign below and return the form promptly to the Consultant/Contractor. Thank you for your time and assistance.

Email Address: cfanning@bbcresearch.com Fax Number: (303) 399-0448

Excellent	Good	Satisfactory	Poor
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<p>1. How do you rate the firm's overall performance in providing the services? If Poor, please explain:</p>	<p>Excellent Took initiative, consistently demonstrated knowledge of the DBE and/or Labor Compliance consulting services (the "Project"), consistently anticipated and solved issues, demonstrated effective team leadership skills, adequately staffed for all assigned tasks (3)</p> <p>Good Most staff demonstrated knowledge of Project, solved unexpected issues promptly, few team mistakes, adequately staffed for most assigned tasks (2)</p> <p>Satisfactory Some staff demonstrated knowledge of the Project, occasional unanticipated issues arose, some team mistakes, adequately staffed for some assigned tasks (1)</p> <p>Poor Knowledge of the Project was lacking, issues remained unresolved, frequent team mistakes, not adequately staffed for assigned tasks (0)</p>	<p>3</p>
<p>2. Were the required services completed on time and to your satisfaction? If Poor, please explain:</p>	<p>Excellent Always on time or ahead of schedule (3)</p> <p>Good On time (2)</p> <p>Satisfactory Occasionally late (1)</p> <p>Poor Consistently late (0)</p>	<p>2</p>
<p>3. What was the quality of the advice provided? If Poor, please explain:</p>	<p>Excellent Advice was consistently provided in a thorough and practical way, and the staff member(s) anticipated issues we did not point out in advance (3)</p> <p>Good Rarely had to redirect the staff member(s) and advice provided was valuable and responsive (2)</p> <p>Satisfactory Usually provided helpful information and advice (1)</p> <p>Poor Repeatedly had to be redirected and prompted to provide an adequate response (0)</p>	<p>3</p>
<p>4. How was the Project Manager's independence projected and communication with the Agency? If Poor, please explain:</p>	<p>Excellent Discussed methodology/proposed changes of Agency and provided adequate research results to support their position and stood firm on their decision. Always answered/returned calls and correspondence or provided updates promptly (3)</p> <p>Good Discussed methodology/proposed changes of Agency and provided adequate research results to support their position, but did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates promptly most of the time (2)</p> <p>Satisfactory Discussed methodology/proposed changes of Agency, but did not provide adequate research results to support their position and did not always stand firm on their decision. Answered/returned calls and correspondence or provided updates, but not always promptly (1)</p> <p>Poor Discussed methodology/proposed changes of Agency but did not research or provide support even if they did not agree with changes/methodology; did not stand firm on their decision/frequently sided with Agency. Did not answer/return calls or correspondence or provide updates (0)</p>	<p>3</p>

<p>5. How do you rate the experience and technical competence of the personnel assigned to the Project? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (knowledge of Agency and relevant laws and policy always apparent) (3) Good Exceeds some expectations (knowledge of Agency and relevant laws and policy frequently apparent) (2) Satisfactory Met expectations (knowledge of Agency and relevant laws and policy apparent at times, but further research required) (1) Poor Failed to meet expectations (knowledge of Agency and relevant laws and policy lacking) (0)</p>	<p>3</p>
<p>6. Did the firm stay within budget? If Poor, please explain:</p>	<p>Excellent Always within budget (3) Good Most often within budget (2) Satisfactory Somewhat within budget (1) Poor Consistently over budget (0)</p>	<p>TO MY KNOWLEDGE 3</p>
<p>7. How do you rate the firm's task management and scheduling abilities? If Poor, please explain:</p>	<p>Excellent Exceed most expectations (3) Good Exceeds some expectations (2) Satisfactory Met expectations (1) Poor Failed to meet expectations (0)</p>	<p>3</p>

Explanations and Additional Comments (if necessary, use additional sheets):

6 STATE OF INDIANA PAID FOR DISPARITY STUDY. THEREFORE INDIVIDUAL INSTITUTIONS WERE NOT INVOLVED WITH BUDGET ISSUES.

OVERALL MY EXPERIENCE WITH BBC RESEARCH & CONSULTING WAS EXCELLENT. THE PROJECT MANAGER, SAMEER BAWA, WAS MOST EFFECTIVE IN MANAGING THE NEEDS OF ALL STAKEHOLDERS, 7 STATE EDUCATIONAL INSTITUTIONS, INDIANA DEPARTMENT OF TRANSPORTATION, AND THE INDIANA DEPARTMENT OF ADMINISTRATION.

<p>Completed by (print company representative name and title below): JESSE L. MOORE DIRECTOR, SUPPLIER DIVERSITY</p>	<p>Signature: <i>Jesse L. Moore</i></p>	<p>Date: 4/12/2011</p>
<p>Email address: JLMOORE@BRDVE.EDU</p>	<p>Telephone Number: 765-494-3739</p>	

ATTACHMENT 18

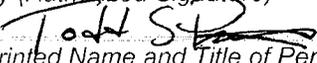
Darfur Contracting Act

Public Contract Code Sections 10475 -10481 applies to any company that currently or within the previous three years has had business activities or other operations outside of the United States. For such a company to bid on or submit a proposal for a State of California contract, the company must certify that it is either a) not a scrutinized company; or b) a scrutinized company that has been granted permission by the Department of General Services to submit a proposal.

OPTION #1 - CERTIFICATION

If your company, within the previous three years, has had business activities or other operations outside of the United States, in order to be eligible to submit a bid or proposal, please insert your company name and Federal ID Number and complete the certification below.

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that a) the prospective proposer/bidder named below is **not** a scrutinized company per Public Contract Code 10476; and b) I am duly authorized to legally bind the prospective proposer/bidder named below. This certification is made under the laws of the State of California.

<i>Company/Vendor Name (Printed)</i> BBC Research & Consulting		<i>Federal ID Number</i> 84-0929035
<i>By (Authorized Signature)</i> 		
<i>Printed Name and Title of Person Signing</i> Todd Pickton, Managing Director		
<i>Date Executed</i> April 19, 2011	<i>Executed in the County and State of</i> City and County of Denver, Colorado	

OPTION #2 – WRITTEN PERMISSION FROM DGS

Pursuant to Public Contract Code section 10477(b), the Director of the Department of General Services may permit a scrutinized company, on a case-by-case basis, to bid on or submit a proposal for a contract with a state agency for goods or services, if it is in the best interests of the state. If you are a scrutinized company that has obtained written permission from the DGS to submit a bid or proposal, complete the information below.

We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Initials of Submitter</i>	
<i>Printed Name and Title of Person Initialing</i>	

