APPENDIX C.
Utilization and Case Study Data Collection

This appendix describes the data collection and review process for SANDAG utilization and case study data.

Utilization Data

Data request. BBC initially requested the following information for all procurements above $2,500 that SANDAG awarded during the study period (January 1, 2003 – December 31, 2007):

- Date of procurement;
- Name of prime contractor or vendor that performed the work;
- Procurement amount;
- Description of work; and
- Whether SANDAG treated the procurement as FTA-funded.

BBC requested similar information about subcontracts that were associated with each procurement.

Procurement data. SANDAG produced a report of procurements within the study period based on hard copy documents that it maintains for contracts and purchase orders. The report included most of the information that the study team requested (listed above), as well as unique procurement numbers that allowed BBC to link each prime contract to other data sources. SANDAG instructed the study team on how to use the provided data. BBC and GCAP Services (GCAP) collected hard copy data to determine the amounts for all procurements. The study team aggregated dollar amounts from different aspects of the same procurement based on procurement number.

Subcontract data. SANDAG maintains information about proposed subcontracts that were worth at least 0.5 percent of total procurement amount in its procurement files, regardless of whether they went to DBEs. The study team worked with SANDAG staff to identify procurements that included subcontracts, and BBC and GCAP collected hard copy data on subcontracts from procurement files.

Vendor data. After collecting procurement data from SANDAG, BBC obtained information about the vendors that performed the work, including:

- Primary line of work;
- DBE/MBE/WBE status and race/ethnicity/gender of ownership;
- Address and phone number;
- Year in which the firm was established; and
- Firm size.
The study team obtained the information from Dun & Bradstreet, vendor interviews, the California Unified Certification Program (CUCP), and data from BBC’s 2007 Caltrans study. The study team also used a vendor mailing list that SANDAG provided. The database contained information such as addresses and phone numbers for vendors that SANDAG used or contacted during the study period.

Agency review. After BBC collected all procurement and vendor data, the study team compiled the information in tables for SANDAG review. BBC used SANDAG and other Consortium agencies’ feedback to finalize procurement and vendor data.

Case Study Data

During the study period, SANDAG awarded more than 150 procurements that BBC included in the utilization analysis. For the case study analysis, the study team obtained bidding and other information from procurement files for a sample of SANDAG procurements.

Sampling method. The study team included all procurements with procurement dates in 2005, 2006, and 2007. The sample consisted of 87 procurements — 21 construction, 42 engineering and 24 other goods and services procurements.

Case study documents. For each procurement in the case study sample, GCAP attempted to collect information about any firms that formally showed interest in bidding, firms that actually bid on the procurement — including bid amounts and evaluation summaries when available — and the firm that was awarded the procurement. Several documents were relevant to the analysis, including:

- Planholders lists;
- Pre-bid conference sign-in sheets; and
- Bid tabulations and evaluations.

The study team collected as much information as was available in the procurement files for each procurement in the case study sample. BBC and GCAP successfully collected information for 75 of the 87 SANDAG procurements selected for the case study sample.