

# Appendix A.

## Utilization and Case Study Data Collection for Airport Contracting and Procurement

This appendix describes the data collection and review process for (a) SDCRAA utilization data and (b) procurement case study data.

### A. Utilization Data

**Data request.** BBC initially requested the following information for all procurements above \$2,500 that SDCRAA 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
- Funding source.

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

**Procurement data.** SDCRAA produced several reports of procurements within the study period from the Financial Management Information System (FMIS) and the Enterprise One Financial System (E1). The FMIS and E1 reports included the prime contract information that the study team requested (listed above) as well as unique procurement numbers that allowed BBC to link a prime contract to hardcopy data sources that provided information about subcontracts. The FMIS report included information about procurements awarded in 2003 through 2005, and E1 reports included information about procurements in 2006 and 2007.

SDCRAA also provided the study team with the Master Agreement Log (MAL) that served as a reference tool for hardcopy contract documents. The MAL provided contract information including vendor name and contact information, term dates, description of project work and unique procurement numbers, allowing BBC to link each contract in the MAL to hardcopy contract documents as well as to data in the FMIS and E1 Systems. SDCRAA instructed the study team on how to use the provided data and how to aggregate dollar amounts from different aspects of the same procurements.

**Subcontract data.** BBC relied solely on hardcopy data collection to obtain subcontract data. Based on information provided from SDCRAA, the study team attempted to collect subcontract data for procurements where there was an indication that subcontracts might exist.

SDCRAA provided the study team with three sources of subcontract data:

- Bid documents;
- Prompt payment reports; and
- Payment invoices.

These three sources provided information about subcontracts that were worth at least 0.5 percent of the total procurement amount, regardless of whether they went to DBEs or other minority- or women-owned firms. BBC worked with SDCRAA staff to match contracts in the FMIS and E1 reports to subcontract data in the hardcopy documents using the unique procurement numbers that SDCRAA provided.

In many cases, subcontract information associated with a particular procurement was included in more than one source.

1. **Bid documents.** Documents from bid packages were available for some construction and engineering contracts that were awarded during the study period. In most cases, they included the following information:

- Procurement number;
- Bid date;
- Project description;
- Name of prime contractor;
- Name of subcontractor(s);
- Procurement amount; and
- Dollars and/or percentages committed to each firm.

2. **Prompt payment reports.** Prompt payment reports summarized the prime contractor's payments to subcontractors for construction and professional services procurements. Prompt payment reports were available for some procurements awarded between 2003 and 2006. In most cases, prompt payment reports included the following:

- Project title;
- Name of prime contractor;
- Prime contractor contact info;
- Name of subcontractor(s);
- Description of subcontractor(s) work;
- Amount paid to each subcontractor to date; and
- Dollars and/or percentages committed to each firm at time of award.

3. **Payment invoices.** Hardcopy invoices were available for some procurements that were awarded during the study period, regardless of project size, procurement area or funding status. In most cases, hardcopy invoice data included the following information:

- Procurement number;
- Project start date;
- Project description;
- Procurement amount;
- Name of prime contractor;
- Prime contractor contact info;
- Name of subcontractor(s);
- Subcontractor(s) contact info; and
- Dollars paid to each firm.

The study team attempted to verify the information from each hardcopy source with other data sources such as bid documents, prompt payment reports, hardcopy invoices and agency review.

**Vendor data.** After collecting procurement data from SDCRAA, 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 about vendors from Dun & Bradstreet, telephone interviews with vendors, the California Unified Certification Program (CUCP), data from BBC's 2007 Availability and Disparity Study for Caltrans and from BBC's 2009 Southern California Regional Disparity Study. The study team also used additional SDCRAA data sources, including the following.

**Bidders lists.** Bidders lists were available for some procurements that were awarded between January 2003 and December 2005. They included the following information about prime- and subcontractors:

- Names of firms that bid on the procurement;
- Name of the firm that was awarded the procurement;
- DBE/MBE/WBE status of each firm; and
- Contact information for each firm.

**Hardcopy contract documents.** The hardcopy contract documents that SDCRAA maintained for some of the procurements awarded during the study period provided limited information about the prime- and subcontractor involved with the project (e.g. name of prime contractor, procurement number and project description).

**Agency review.** After BBC collected procurement and vendor data, the study team compiled the information in tables for SDCRAA review. BBC used SDCRAA feedback to finalize procurement and vendor data.

## **B. Case Study Data**

During the study period, SDCRAA awarded more than 1,000 procurements that BBC included in the utilization analysis. For the case study analysis, the study team obtained bid and other information from procurement files for a sample of SDCRAA procurements.

**Sampling method.** The study team examined procurements from the entire study period. The Authority maintains detailed bid information for 25 construction contracts that it awarded during that time as well as for some professional services contracts. The study team selected each of the 25 construction contracts and a sample of 68 randomly-selected professional services contracts for detailed review.

**Case study documents.** For each procurement in the case study sample, BBC and GCAP Services attempted to collect information about any firm that bid on the procurement — including bid amounts and evaluation summaries when available. The study team also collected information on the contract award. Several documents were relevant to the analysis, including:

- Bidder's list
- 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 successfully collected information for 49 of the 93 SDCRAA procurements selected for the case study sample. Of these 49 procurements, 35 contained bid tabulations and were in the scope of the study (21 construction contracts, 13 professional services contracts and one materials and equipment contract).