APPENDIX C. Utilization and Case Study Data Collection

This appendix describes the utilization data collection and review processes in three parts:

- A. Utilization data for construction and construction-related professional services contracts;
- B. Contract case study data; and
- C. City of Portland review.

A. Utilization Data for Construction and Construction-related Professional Services Contracts

Data request. BBC requested that the City of Portland (the "City) provide contract information from the Bureau of Purchases BizTrak database — the City's contract management system.

The City provided the following information for each construction and construction-related professional services contract that it awarded during the study period (July 1, 2004 through June 30, 2009):

- Project ID;
- Name of prime contractor or firm that performed the work;
- Firm ID;
- Contract award or execution date;
- Contract amount:
- Amended contract amount;
- Payments (for informal contracts);
- Year-to-date payment amount for on-call contracts;
- Description of work;
- Goals/program indicator;
- Subcontractor/supplier name;
- Subcontractor/supplier amount; and
- Bureau.

Construction data. Both prime and subcontractor construction data were collected from BizTrak for the contracts awarded within the study period. For construction contracts estimated to exceed \$100,000, the City collects subcontract data as required by the first-tier subcontractors disclosure

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¹ The City's construction-related professional services contracts are awarded through the Professional, Expert and Technical Services contracting process.

rule. ² BBC analyzed first-tier subcontractor data provided by the City. The City also provided some second-tier subcontractors to BBC, but because these data were not comprehensive, the study team did not include second-tier subcontract data in the analysis.

The City issued some contracts near the end of the study period through its alternative bid process and submitted the most current data available for these contracts at the time of the study. Subcontracts had not yet been developed for a few of these contracts, so BBC excluded such contracts from the analysis.

Construction-related professional services data. BBC collected data on all standard and on-call construction-related professional services contracts awarded by the City within the study period. For standard contracts, both prime and subcontract data were collected from the BizTrak database.

The study team examined the on-call construction-related professional services contracts on which the City reported paying contractors during the study period. Year-to-date payments were collected from the BizTrak database. For on-call contracts with positive year-to-date payments, BBC collected prime and subcontractor invoice information. When invoice data were not available, the study team used the year-to-date paid amount as reported by the City.

Firm data. The City provided contact and other information on firms utilized during the study period as available from BizTrak and the State of Oregon Office of Minority, Women, and Emerging Small Business (OMWESB). These data included race, gender and ethnicity of the owners. The City provided the following information about utilized firms:

- Firm name;
- Alternate name(s):
- Firm identification number;
- Address and phone number;
- Alternate address;
- Firm e-mail address;
- M/W/ESB indicators;
- M/W/ESB certification indictors;
- Type of work firm performs; and
- Firm size.

² City of Portland Charter. 5.34.493 First-Tier Subcontractors; Disclosure and Substitution.

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BBC obtained additional information about utilized firms from business lists that the study team purchased from Dun & Bradstreet and from telephone interviews with prime contractors and subcontractors. BBC obtained the following information about utilized firms:

- Primary line of work;
- Firm size:
- Year in which the firm was established; and
- Additional contact information.

MBE/WBE status. For the purposes of the study, BBC relied on race/ethnicity definitions used by the OMWESB. OMWESB recognizes the following groups for MBE certification:

- Black American;
- Hispanic American;
- Native American;
- Asian-Pacific American; and
- Subcontinent Asian American.

In order to determine ownership status for firms, BBC relied on several sources of information including:

- The OMWESB certification database;
- Availability telephone surveys;
- Utilization telephone surveys;
- Information from the Small Business Administration;
- City and Portland Development Commission (PDC) staff review; and
- Information from Dun & Bradstreet.

The study team gave highest priority to the OMWESB certification database when determining the race/ethnicity/gender of ownership and MBE/WBE status of a firm. Absent OMWESB certification, BBC relied on survey data as the highest priority data source.

B. Contract Case Study Data

BBC analyzed bids and proposals for construction and construction-related professional services contracts that the City awarded during the study period. The study team obtained bid, proposal and other information from the City.

Construction bid data. The City maintains electronic data for bid tabulations for many of its construction contracts worth more than \$100,000 awarded during the study period. It has electronic bid data for some smaller construction contracts as well. BBC analyzed bid data for each of the 287 construction contracts for which electronic data were available within the study period.

The City also furnished BBC with letters of protest from firms protesting awards for City construction contracts within the study period (12 contracts).

Construction-related professional services. For construction-related professional services contracts, the study team collected proposal information for a random sample of contracts. BBC selected 54 contracts to be included in the City's construction-related professional services case study analysis, stratified by contract area, contract size and year of award. BBC successfully collected proposal information for one-half (27) of those contracts.

Prequalification data. BBC also requested certain prequalification data for firms that the City had prequalified to bid on construction contracts over \$100,000. These data included names of firms and the prequalified bidding limit for each class of work each firm was prequalified to perform. The City provided the data for the 266 firms prequalified as of November 2009.

C. City of Portland Review

After BBC collected contract and firm data, the study team compiled the data and submitted it to the City staff for review. BBC used City feedback to finalize contract and firm data.

BBC followed a similar process in the PDC disparity study. Any feedback from PDC and City staff relating to characteristics of firms is reflected in the final data for both disparity studies.