

## **APPENDIX B.**

# **Utilization and Case Study Data Collection**

This appendix describes utilization and case study data collection in four parts:

- A. Utilization data for construction;
- B. Utilization data for engineering-related contracts;
- C. Contract case study data;<sup>1</sup> and
- D. ODOT review.

### **A. Utilization Data for Construction**

**Data request.** BBC initially requested the following information for all construction and professional service contracts that ODOT awarded during the study period (July 1, 2004 through June 30, 2009):

- Date of procurement;
- Name of prime contractor or vendor that performed the work;
- Vendor identification number;
- Contact information for prime contractor or vendor that performed the work (i.e., address and phone number);
- Procurement amount;
- Description of work;
- Location of the work;
- Contract goals applied to the procurement; and
- Funding source (i.e., FHWA- or state-funded).

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

**Construction data.** ODOT maintains information about prime and subcontractors for construction contracts in two databases: SiteManager and Construction Administration System (CAS). Data was collected from both sites for the contracts awarded within the study period. ODOT changed its software systems in February 2004 from CAS to SiteManager. SiteManager includes information about procurements awarded from 2004 through 2009 and CAS includes information about procurements from 2004 through 2006.

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<sup>1</sup> BBC uses the terms “procurement” and “contract” interchangeably throughout this report, unless otherwise noted.

Reports from SiteManager and CAS included the prime contract information the study team requested (listed above) as well as unique procurement numbers that allowed BBC to link prime contracts to related information about subcontracts and vendors.

**Construction subcontract data.** SiteManager and CAS included information about subcontracts for all construction contracts that ODOT awarded during the study period. Subcontractor information included subcontractor name, contract number, contract amount, DBE status and work type

**Construction vendor data.** ODOT provided information about construction firms that have worked or are currently working for ODOT. Vendor data included vendor name, address and phone number.

**Bidders lists.** Bidders lists were available for most construction contracts that ODOT awarded between July 2004 and June 2009. They included the following information about prime- and subcontractors:

- Firm name;
- Address and phone number ; and
- Prequalified subindustries.

**Planholders list.** The planholders lists included information on all construction firms that purchased plans for purposes of bidding on contracts within the study period. The planholders lists included the following information about potential bidders:

- Name of firm;
- Contract number;
- Address and phone number; and
- Plan purchase date.

**Prequalification list.** The prequalification list included firms that have been prequalified with ODOT to do construction work in various subindustries. The prequalification list included the following information about prime contractors:

- Name of firm;
- Prequalification limit; and
- Prequalified subindustries.

## **B. Utilization Data for Engineering-related Contracts**

**Engineering-related contract data.** ODOT maintains information for engineering-related prime contracts in several databases:

- **Consultant amount table and EC tables**, capture information for engineering-related contracts that ODOT manages.
- **Cross-town contract database**, covers only those projects associated with the cross-town project.
- The **Local government database**, includes contract information for federally-funded engineering-related contracts that local governments in Oklahoma manage.

The foregoing data sources include prime contract information for contracts that ODOT awarded from July 1, 2004 through June 30, 2009.

**Engineering-related subcontract data.** Comprehensive subcontractor information was not available for engineering-related contracts that ODOT awarded during the study period. The study team collected subcontract information by contacting prime contractors for contracts valued at \$100,000 or more. The study team requested the following information for each subcontract:

- Subcontractor name;
- Address and phone number;
- Award amount; and
- Amount paid as of June 30, 2009.

The study team collected subcontract information accounting for 92 percent of engineering-related contracts based on dollars.

**Engineering vendor data.** ODOT provided information about professional service firms that performed are currently performing work for ODOT. Vendor information included vendor name and contact information.

## **C. Contract Case Study Data**

BBC conducted a case study analysis of the bid process for a sample of construction and engineering-related contracts that ODOT awarded during the study period. The study team obtained bid and other information from procurement that ODOT maintains.

**Sampling method.** BBC examined contracts from the entire study period as part of the case study analysis. The study team collected bid information for 61 randomly-selected construction and 53 engineering-related contracts, stratified by procurement area. The sample included contracts ranging in value from \$25,000 to more than \$20 million.

**Case study documents.** For each procurement in the case study sample, BBC and TMS attempted to collect information about any firm that bid on or submitted a proposal for the work — including

bid amounts and evaluation scores when available. The study team also collected information on the contract award. Several documents were relevant to the analysis. These documents differed for construction and engineering-related contracts.

#### **D. Agency review**

After BBC collected contract and vendor data for construction and engineering, the study team compiled the information in tables for ODOT review. BBC used ODOT feedback to finalize contract and vendor data.