



101 Eighth Street,  
Joseph P. Bort  
MetroCenter  
Oakland, CA

## Meeting Agenda

### Bay Area Infrastructure Financing Authority

*Dave Cortese, Chair   Amy Rein Worth, Vice Chair*

---

Wednesday, September 23, 2015

9:35 AM

Lawrence D. Dahms Auditorium

---

#### Call Meeting to Order

#### 1. Roll Call/Confirm Quorum

*Quorum: A quorum of this Authority shall be a majority of its regular voting members (3).*

#### 2. Consent Calendar

- 2a.    [15-0845](#)       Minutes of the July 22, 2015 meeting
- Action:**           Authority Approval
- Attachments:**    [2a 07-22-2015 BAIFA Minutes.pdf](#)
- 
- 2b.    [15-0846](#)       Express Lane Program Quarterly Report - 2nd Quarter 2015
- Action:**           Information
- Presenter:**       Lisa Klein
- Attachments:**    [2b BAIFA Express Lanes Quarterly Report.pdf](#)
- 
- 2c.    [15-0847](#)       BAIFA Resolution No. 11 - Small Business Enterprise (SBE)  
                                 Construction Project Program
- Action:**           Authority Approval
- Presenter:**       Denise Rodrigues
- Attachments:**    [2c BAIFA Reso-11 SBE Construction Project Program.pdf](#)

#### 3. Public Comment / Other Business

#### 4. Adjournment / Next Meeting

The next meeting of the Bay Area Infrastructure Financing Authority (BAIFA) will be held on October 28, 2015 at 9:45 a.m. in the Lawrence D. Dahms Auditorium, First Floor, 101 Eighth Street, Oakland, CA.

**Public Comment:** The public is encouraged to comment on agenda items at committee meetings by completing a request-to-speak card (available from staff) and passing it to the committee secretary. Public comment may be limited by any of the procedures set forth in Section 3.09 of MTC's Procedures Manual (Resolution No. 1058, Revised) if, in the chair's judgement, it is necessary to maintain the orderly flow of business.

**Meeting Conduct:** If this meeting is willfully interrupted or disrupted by one or more persons rendering orderly conduct of the meeting unfeasible, the Chair may order the removal of individuals who are willfully disrupting the meeting. Such individuals may be arrested. If order cannot be restored by such removal, the members of the committee may direct that the meeting room be cleared (except for representatives of the press or other news media not participating in the disturbance), and the session may continue.

**Record of Meeting:** MTC meetings are recorded. Copies of recordings are available at a nominal charge, or recordings may be listened to at MTC offices by appointment. Audiocasts are maintained on MTC's Web site ([mtc.ca.gov](http://mtc.ca.gov)) for public review for at least one year.

**Accessibility and Title VI:** MTC provides services/accommodations upon request to persons with disabilities and individuals who are limited-English proficient who wish to address Commission matters. For accommodations or translations assistance, please call 510.817.5757 or 510.810.5769 for TDD/TTY. We require three working days' notice to accommodate your request.

可及性和法令第六章：MTC 根據要求向希望來委員會討論有關事宜的殘疾人士及英語有限者提供服務/方便。需要便利設施或翻譯協助者，請致電 510.817.5757 或 510.817.5769 TDD / TTY。我們要求您在三個工作日前告知，以滿足您的要求。

**Acceso y el Titulo VI:** La MTC puede proveer asistencia/facilitar la comunicación a las personas discapacitadas y los individuos con conocimiento limitado del inglés quienes quieran dirigirse a la Comisión. Para solicitar asistencia, por favor llame al número 510.817.5757 o al 510.817.5769 para TDD/TTY. Requerimos que solicite asistencia con tres días hábiles de anticipación para poderle proveer asistencia.

---

Attachments are sent to committee members, key staff and others as appropriate. Copies will be available at the meeting.

All items on the agenda are subject to action and/or change by the Committee. Actions recommended by staff are subject to change by the Committee.

MTC's Chair and Vice-Chair are ex-officio voting members of all standing committees.



# Metropolitan Transportation Commission

101 Eighth Street,  
Joseph P. Bort MetroCenter  
Oakland, CA

## Legislation Details (With Text)

---

**File #:** 15-0845      **Version:** 1      **Name:**

**Type:** Minutes      **Status:** Consent

**File created:** 8/27/2015      **In control:** Bay Area Infrastructure Financing Authority

**On agenda:** 9/23/2015      **Final action:**

**Title:** Minutes of the July 22, 2015 meeting

**Sponsors:**

**Indexes:**

**Code sections:**

**Attachments:** [2a\\_07-22-2015\\_BAIFA\\_Minutes.pdf](#)

Date	Ver.	Action By	Action	Result
------	------	-----------	--------	--------

**Subject:**  
Minutes of the July 22, 2015 meeting

**Recommended Action:**  
Authority Approval



101 Eighth Street,  
Joseph P. Bort  
MetroCenter  
Oakland, CA

## Meeting Minutes

### Bay Area Infrastructure Financing Authority

*Dave Cortese, Chair Amy Rein Worth, Vice Chair*

---

Wednesday, July 22, 2015

9:45 AM

Lawrence D. Dahms Auditorium

---

#### Call Meeting to Order

#### 1. Roll Call / Confirm Quorum

**Present:** 4 - Vice Chair Rein Worth, Commissioner Spering, Chairperson Cortese and Commissioner Haggerty

**Absent:** 1 - Commissioner Glover

Non-Voting Member Absent: Commissioner Sartipi

#### 2. Consent Calendar

Approval of the Consent Calendar

**Upon the motion by Commissioner Haggerty and the second by Vice Chair Rein Worth, the Consent Calendar was unanimously approved by the following vote:**

**Aye:** 4 - Vice Chair Rein Worth, Commissioner Spering, Chairperson Cortese and Commissioner Haggerty

**Absent:** 1 - Commissioner Glover

**2a.** [15-0710](#) Minutes of June 24, 2015 meeting.

**Action:** Authority Approval

**2b.** [15-0708](#) Cooperative Agreement - Bay Area Rapid Transit Fiber Optic Reciprocal Use Agreement. (\$1,000,000)

**Action:** Authority Approval

**Presenter:** Mark Dinh

**2c.** [15-0719](#) Cooperative Agreement Amendments: Caltrans.  
i. Oversight of Final Design and Right of Way Phases for I-680 Express Lanes Southern Segment in Contra Costa County (\$200,000)  
ii. Oversight of Construction for I-680 Express Lanes Southern Segment in Contra Costa County (\$150,000)

**Action:** Authority Approval

**Presenter:** Mark Dinh



3. [15-0709](#) Contract Amendment - Express Lane Toll System Manager: Atkins North America, Inc. (\$5,600,000)

Recommendation to approve an amendment to add \$5,600,000 for tasks through December 2016, including: oversight of the toll system integrator for system design, implementation, operations planning, and system maintenance, including the launch of the I-680 southern segment. Additional tasks to include finalization of backhaul communications network planning, design, and implementation support.

**Action:** Authority Approval

**Presenter:** Jim Macrae

**Upon the motion by Commissioner Haggerty and the second by Commissioner Spering, the Contract Amendment for the Express Lane Toll System Manager with Atkins North America, Inc. was unanimously approved. The motion carried by the following vote:**

**Aye:** 4 - Vice Chair Rein Worth, Commissioner Spering, Chairperson Cortese and Commissioner Haggerty

**Absent:** 1 - Commissioner Glover

#### **4. Public Comment / Other Business**

#### **5. Adjournment / Next Meeting**

**The next meeting of the Bay Area Infrastructure Financing Authority (BAIFA) will be held on September 23, 2015 at 9:45 a.m. in the Lawrence D. Dahms Auditorium, First Floor, 101 Eighth Street, Oakland, CA.**



# Metropolitan Transportation Commission

101 Eighth Street,  
Joseph P. Bort MetroCenter  
Oakland, CA

## Legislation Details (With Text)

---

**File #:** 15-0846      **Version:** 1      **Name:**  
**Type:** Report      **Status:** Consent  
**File created:** 8/27/2015      **In control:** Bay Area Infrastructure Financing Authority  
**On agenda:** 9/23/2015      **Final action:**  
**Title:** Express Lane Program Quarterly Report - 2nd Quarter 2015  
**Sponsors:**  
**Indexes:**  
**Code sections:**  
**Attachments:** [2b\\_BAIFA Express Lanes Quarterly Report.pdf](#)

Date	Ver.	Action By	Action	Result
------	------	-----------	--------	--------

**Subject:**  
Express Lane Program Quarterly Report - 2nd Quarter 2015

**Presenter:**  
Lisa Klein

**Recommended Action:**  
Information



Bay Area Infrastructure Financing Authority  
101 8th St., Oakland, CA 94607  
TEL 510.817.5700  
EMAIL [info@mtc.ca.gov](mailto:info@mtc.ca.gov)  
WEB [www.mtc.ca.gov](http://www.mtc.ca.gov)

## *Memorandum*

TO: BAIFA

DATE: September 16, 2015

FR: Executive Director

W. I. 6840

RE: Express Lane Program Quarterly Report – 2<sup>nd</sup> Quarter 2015

MTC will begin issuing Express Lane program reports on a quarterly basis at the September 2015 BAIFA meeting. The quarterly report summarizes major developments, project schedules and risks and compares forecast costs to the Express Lane Program Expenditure Plan approved by BAIFA in June 2015. The first report, attached, covers the second quarter of 2015, April 1 to June 30.

Below is a brief summary of developments occurring since June 30, 2015. These developments will be reflected in the next quarterly report.

- Construction activities started in August on the I-680 Contra Costa Southern Segment express lane. Activities consisted mainly of installing temporary construction signage and safety barriers, initial surveying and cutting of the median barrier in preparation for construction of sign structure foundations. The work included intermittent nightly lane closures on the highway.
- Staff elected to re-advertise the construction contract for the communications network (Backhaul) after receiving two bids in July. Both bids, covering work in the I-680 and I-880 corridors, were substantially higher than the engineer's estimate. Based on industry outreach conducted in August, staff is rescoping the Invitation for Bids to increase competition by modifying the minimum qualifications, reduce contractor risk by removing the I-880 work for which the schedule is uncertain, and clarify the specifications. Staff anticipates awarding the Backhaul contract in December 2015. While staff is reviewing options to minimize the impact to the opening date for I-680 Contra Costa Southern Segment express lane, early indications are that it may push the opening date into 2017.
- In July, Caltrans provided a revised schedule for the I-880 median barrier replacement project. The updated schedule requires BAIFA to push back the start of construction on I-880; staff is assessing the likely impacts on the opening date for the I-880 express lane.

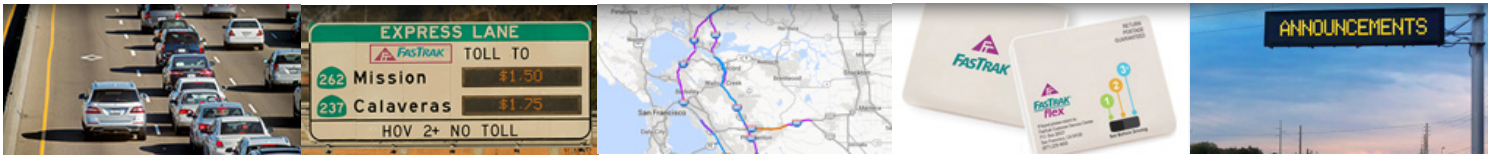
  
\_\_\_\_\_  
Steve Heminger

SH: lk

J:\COMMITTEE\BAIFA\2015\09\_September 2015\2b\_Quarterly Progress Report\_Klein.docx



# BAY AREA EXPRESS LANES



## MTC Express Lanes Quarterly Report 2nd Quarter 2015

Submitted: September 23, 2015

**BAIFA**  
BAY AREA INFRASTRUCTURE  
FINANCING AUTHORITY



METROPOLITAN  
TRANSPORTATION  
COMMISSION

# TABLE OF CONTENTS

I.	Program Highlights .....	1
II.	Program Overview.....	2
III.	Program Schedule Summary.....	5
IV.	Program Cost Summary.....	6
V.	Project Summary Sheets.....	9

## Appendices



# I. PROGRAM HIGHLIGHTS

The purpose of this report is to summarize the progress of delivering Metropolitan Transportation Commission (MTC) Express Lanes. The report covers the second quarter of 2015, April 1 to June 30.

The California Transportation Commission (CTC) approved the MTC's application to implement and operate its 270-mile express lane network on October 27, 2011. Soon thereafter, work began to environmentally clear the first phase of express lane conversion projects and produce a Concept of Operations describing how the express lanes will operate. Currently, there are several projects at varying stages of development with the first project scheduled to open in 2016.

Project Development & Construction	2nd Quarter 2015 Highlights	Current Activities
I-880 Alameda (ALA-880) San Leandro to Milpitas <i>Hegenberger Road/Lewelling Boulevard to Dixon Landing Road</i>	<ul style="list-style-type: none"> <li>Preliminary engineering circulated at Caltrans for review and comment in May.</li> <li>100% structure foundation design submitted to Caltrans for inclusion in the Department's Median Barrier Replacement Contract in June.</li> </ul>	<ul style="list-style-type: none"> <li>Finalizing the environmental studies for environmental clearance.</li> <li>Responding to Caltrans comments and preparing final preliminary engineering for approval.</li> <li>Preparing 65% civil, lane-side toll system and backhaul design submittals for Caltrans review.</li> </ul>
I-680 Contra Costa Southern Segment (CC-680 South) Walnut Creek to San Ramon <i>Livorna Road/Rudgear Road to Alcosta Boulevard</i>	<ul style="list-style-type: none"> <li>Final civil design completed in April.</li> <li>95% backhaul design submitted in May.</li> <li>95% lane-side toll system design submitted to Caltrans in June.</li> <li>Civil construction contract awarded in June.</li> </ul>	<ul style="list-style-type: none"> <li>Construction scheduled to begin in August.</li> <li>Final lane-side toll system design to be submitted in August, approval anticipated in September.</li> <li>Final backhaul design to be submitted in July, approval anticipated in September.</li> </ul>
I-680 Contra Costa Northern Segment Southbound Conversion (CC-680 North) Benicia to Walnut Creek <i>Marina Vista Boulevard to Rudgear Road/SR 242</i>	<ul style="list-style-type: none"> <li>Lane access configuration agreed upon with Caltrans and the Contra Costa Transportation Authority.</li> <li>Coordinated design to create facilities that work alone upon the Southern Segment opening and together when the Northern Segment opens several years later.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental studies are progressing.</li> <li>Advanced preliminary design has been initiated with agreement on the access configuration.</li> </ul>
I-80 Solano West (SOL-80 West) Fairfield <i>Red Top Road to Air Base Parkway</i> and I-80 Solano East (SOL-80 East) Fairfield to Vacaville <i>Air Base Parkway to I-505</i>		<ul style="list-style-type: none"> <li>Draft environmental document to be released in July.</li> <li>Public forum hearing scheduled for August.</li> <li>Preparation of the final environmental document.</li> <li>Preliminary civil design ongoing.</li> </ul>
Centralized Toll System	<ul style="list-style-type: none"> <li>Draft toll system host and software design approved in June.</li> </ul>	

## II. PROGRAM OVERVIEW

## A. Program Description

MTC and partner agencies are implementing a regional network of express lanes called Bay Area Express Lanes. Upon completion, Bay Area Express Lanes will comprise 550 miles of express lanes operated by MTC, the Valley Transportation Authority (VTA), the Alameda County Transportation Commission (Alameda CTC), and the Sunol Smart Corridors Joint Powers Authority (Sunol JPA) as shown on the map of the Bay Area Express Lane Network.

Primary objectives for Bay Area Express Lanes include:

- Create a seamless network of HOV lanes to encourage carpools, vanpools and express buses;
- Make the best use of HOV lane capacity;
- Provide reliable travel times for solo drivers; and
- Better manage all lanes to keep traffic moving.

MTC's portion of the Bay Area Express Lanes, referred to as MTC Express Lanes, will include 270 miles of express lanes – 150 miles of converted high occupancy vehicle (HOV) lanes and 120 miles of new lanes – on I-80 in Alameda, Contra Costa and Solano Counties, I-880 in Alameda County, I-680 in Contra Costa and Solano counties, and the westbound approaches to the Bay Bridge, San Mateo Bridge and Dumbarton Bridge.

Appendix B includes an overview of how express lanes work.

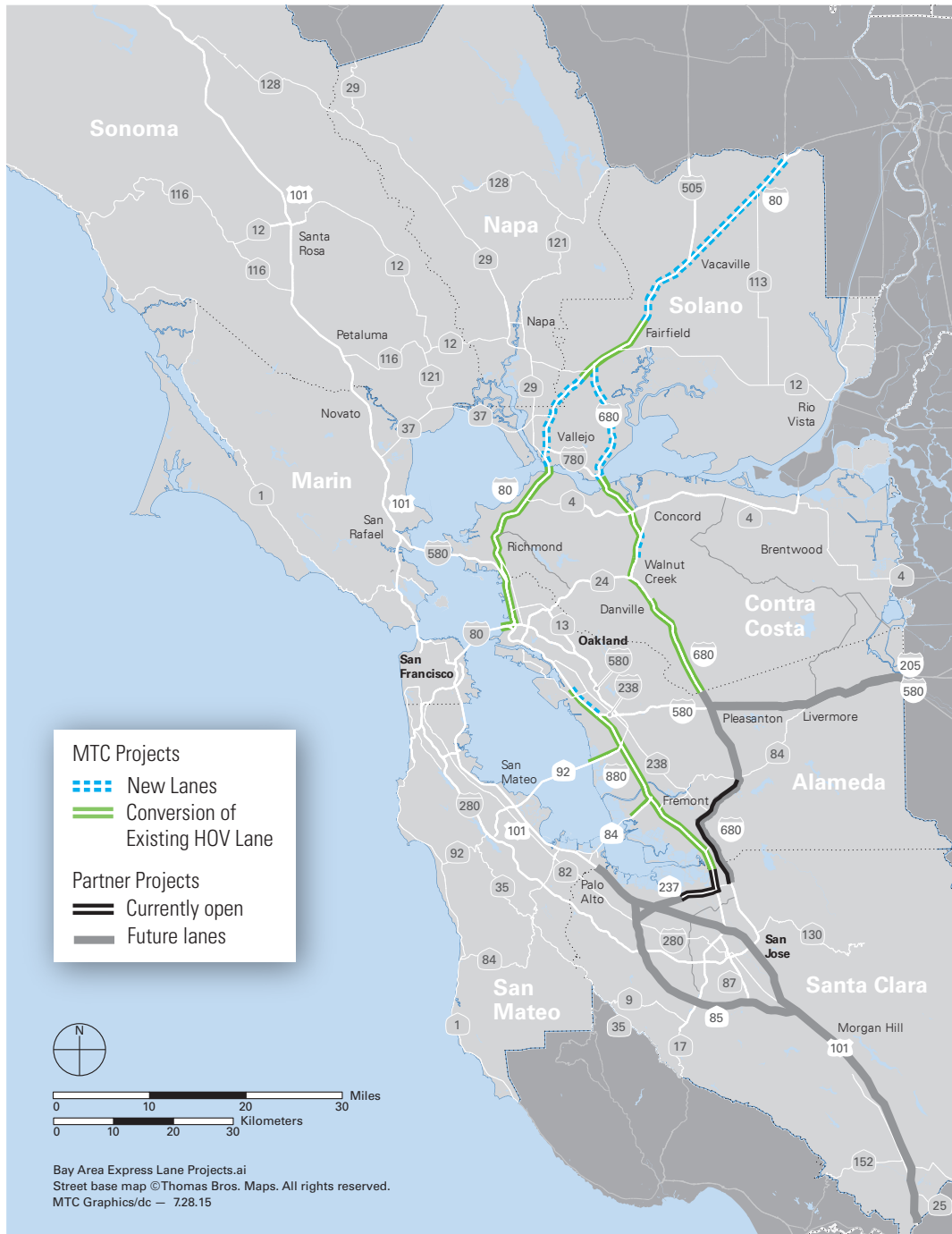


### Map of Bay Area Express Lane Network

## B. Operating Authority

MTC and the Bay Area Toll Authority (BATA) have formed a joint powers authority to develop and operate MTC Express Lanes. The joint powers authority, known as the Bay Area Infrastructure Financing Authority (BAIFA), is composed primarily of representatives of the three counties where the express lanes are located: Alameda, Contra Costa and Solano. BAIFA is responsible for policy and operational decisions such as toll rates, project phasing and use of revenue.

With adoption of Plan Bay Area in 2013, MTC agreed to study the benefits and impacts of changing general purpose lanes to express lanes to inform implementation of the network. The map below highlights MTC's portion of Bay Area Express Lanes and shows where lanes will be converted from HOV lanes and where new lanes will be added.



Map of Bay Area Express Lanes (MTC lanes highlighted)



## D. MTC Express Lane Project Funding

The approved funding strategy is to use existing funding to open as much of MTC's 270-mile network as possible while seeking opportunities to get additional projects "shelf-ready" should additional funding become available for construction. This strategy includes phasing some gap closure projects concurrently with the implementation of adjacent conversion projects.

The table below lists the projects that comprise MTC Express Lanes according to current funding status.

County	Route	Project	Geographical Limits	Environmental	Design	Construction
NEAR TERM CONVERSIONS						
ALA	880	I-880 Alameda	San Leandro to Milpitas <i>Hegenberger Rd./Lewelling Blvd. to Dixon Landing Rd.</i>	●	●	●
CC	680	I-680 Contra Costa Southern Segment	Walnut Creek to San Ramon <i>Livorna Rd./Rudgear Rd. to Alcosta Blvd.</i>	●	●	●
CC	680	I-680 Contra Costa Northern Segment - Southbound Conversion	Benicia to Walnut Creek <i>Marina Vista Blvd. to Rudgear RD./SR 242</i>	●	●	●
SOL	80	I-80 Solano West	Fairfield <i>Red Top Rd. to Air Base Pkwy.</i>	●	●	○
GAP CLOSURE OPPORTUNITY PROJECTS						
CC	680	I-680 Northern Segment Southbound Conversion	Martinez to Walnut Creek <i>Benicia Bridge to Rudgear Road</i>	●	●	●
CC	680	I-680 North Northbound Extension	Walnut Creek to Concord North Main Street to SR 242	○	○	○
SOL	80	I-80 Solano East	Fairfield to Vacaville Air Base Parkway to I-505	●	●	○
FUTURE CONVERSIONS						
ALA/ CC	80	I-80 and Westbound Bridge Approaches	Cummings Skyway to Bay Bridge San Mateo Bridge Westbound Approach Dumbarton Bridge Westbound Approach	◐	○	○
CC	680	I-680 Northern Segment - Northbound Conversion	Walnut Creek to Benicia <i>North Main St. to the Benicia Bridge</i>	◐	○	○

### KEY

● Funded ◐ Partially Funded ○ Unfunded

ALA = Alameda, CC = Contra Costa, SOL = Solano

### III. PROGRAM SCHEDULE SUMMARY

The schedule summary below reflects the “open to traffic” dates of the baseline schedule, and the current completion forecast for the projects that are fully funded.

Project	Scheduled Opening	Confidence Level	Detail Page
I-880 Alameda (ALA-880) San Leandro to Milpitas <i>Hegenberger Rd./Lewelling Blvd. to Dixon Landing Rd.</i>	Spring 2019	●	13
I-680 Contra Costa Southern Segment (CC-680 South) Walnut Creek to San Ramon, <i>Livorna Rd./Rudgear Rd. to Alcosta Blvd.</i>	Fall 2016	●	15
I-680 Contra Costa Northern Segment - Southbound Conversion (CC-680 North) Benicia to Walnut Creek <i>Marina Vista Blvd. to Rudgear RD./SR 242</i>	Fall 2018	●	17

#### KEY

- Minimal risk to schedule.
- Identified potential project risks that could significantly impact scheduled opening.
- Known project impacts with forthcoming changes to scheduled opening.

## IV. PROGRAM COST SUMMARY

### A. Conversions and Gap Closure Opportunity Projects

The cost summary below shows: the costs of each express lane [corridor or segment] including planning, design and construction of the civil infrastructure, and installation and integration of the backhaul communications and toll system; and programwide costs for funded projects, including planning and design, and implementation of centralized elements of the backhaul network and toll system. The cost forecast includes the full estimated cost to complete MTC Express Lanes. The approved expenditure plan fully funds the first three projects listed below, the environmental and design phases for the I-80 projects in Solano County, and the environmental phase for the SR 92 and SR 84 projects.

County	Route	Project <sup>(1)</sup>	Geographical Limits	Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete <sup>(3)</sup>
<i>Costs shown in thousands of escalated dollars</i>								
NEAR TERM CONVERSIONS								
ALA	880	I-880 Alameda	San Leandro to Milpitas Hegenberger Rd./Lewelling Blvd. to Dixon Landing Rd.	77,779		77,779	4,394	8%
CC	680	I-680 Contra Costa Southern Segment	Walnut Creek to San Ramon Livorna Rd./Rudgear Rd. to Alcosta Blvd.	48,939		48,939	9,197	20%
CC	680	I-680 Contra Costa Northern Segment - Southbound Conversion	Martinez to Walnut Creek Marina Vista Blvd. to Rudgear Rd.	36,099	3,812	32,288	243	5%
SOL	80	I-80 Solano West	Fairfield Red Top Rd. to Air Base Pkwy.	43,941	6,504	2,852	108	8%
Centralized Toll System				36,207		36,207	2,511	15%
Program Planning, Coordination & Management				28,437		28,437	15,392	35%
Program Contingency				50,000		40,000		
Capitalized Start-up O&M				16,000		16,000		
GAP CLOSURE OPPORTUNITY PROJECTS								
CC	680	I-680 Northern Segment Southbound Conversion <sup>(2)</sup>	Martinez to Walnut Creek Marina Vista Blvd. to Rudgear Road	19,000		19,000		0%
CC	680	I-680 North Northbound Extension	Walnut Creek to Concord North Main Street to SR 242	57,287				0%
SOL	80	I-80 Solano East	Fairfield to Vacaville Air Base Parkway to I-505	135,484	8,696	16,114		8%
FUTURE CONVERSIONS								
ALA/ CC	80 92 84	I-80 and Westbound Bridge Approaches	Cummings Skyway to Bay Bridge San Mateo Bridge Westbound Approach Dumbarton Bridge Westbound Approach	110,884	5,000	692		1%
CC	680	I-680 Northern Segment - Northbound Conversion	Walnut Creek to Martinez North Main St. to Marina Vista Blvd.	14,575	1,511			5%
<b>Total</b>				<b>674,632</b>	<b>25,522</b>	<b>318,309</b>	<b>31,845</b>	<b>11%</b>

<sup>(1)</sup> Other Gap Closure and Extension projects not shown: ALA-880 extension northbound from Lewelling to Hegenberger; SOL-80 gap closure from Carquinez Bridge to Red Top Road; SOL-80 extension east of I-505; SOL-680 gap closure.

<sup>(2)</sup> Cost shown is BAIFA's contribution toward shortfall. Total project cost is \$85 million. Other funds include Measure J (\$37 million), Regional Measure 2 (\$13 million), State Transportation Improvement Program (STIP) (\$16 million).

<sup>(3)</sup> Physical percent completes shown are based on the achievement of major milestones, whether those milestones were completed using BAIFA funds or other funds. Projects that have completed milestones using other funds include I-680 Contra Costa Northern Segment, I-80 Solano West and I-80 Solano East.

## B. Change Management

The change management process implemented on the MTC Express Lanes Program provides for a mechanism to capture the changes in the program that have an impact on the approved baselines and attempts to make the change management process an integral part of the planning, design and delivery processes. All the changes to the program are recorded in the change log and distributed to the team on a bi-weekly basis.

The major changes to the MTC Express Lanes Program recorded through the change management process during the 2nd quarter of 2015 are as follows:

- Change ID 0015: A contract change order was executed to increase budget for Transcore by \$100,000 in order to provide support services for toll systems planning and to provide input to the design team for developing the 65% civil design plans on the I-680 Contra Costa Northern Segment. The scope of work to provide these services was not included in the original contract. Funds for this change were drawn from the approved contract contingency.
- Change ID 0016: A task order amendment for \$890,000 was executed to the Toll System Manager contract (Atkins) for additional design support services in conjunction with the backhaul Invitation for Bid. Funds for this change were drawn from the approved contract contingency.
- Change ID 0018: Due to space constraints at the Caltrans District 4 building, a programwide change was approved to move the toll operations center into the new regional operations center in the MTC building currently under construction at Beale Street. It is anticipated that the toll operations center will be ready by May 2016. The backup location for the MTC Express Lanes toll operations center will be hosted at Caltrans District in the Traveler Information Center.

## C. Risk Management Plan

Risk management for MTC's Express Lanes Program is a straight forward process of identifying and mitigating risks to minimize potential adverse impacts on the program's costs and schedule. Risk is managed at both the program and contract level and responsibility is assigned to the level best positioned to manage the identified risk.

The program contingency is compared and tracked on a monthly basis with a risk-assessed contingency derived from the program risk register. The figure below shows the change in the mean risk-assessed contingency as the identified risks are mitigated and/or reduced as the project progresses. As of June 30, 2015, the mean risk-assessed contingency stands at \$46.5 million against the \$40 million in approved program contingency.

The top contributors to this risk-assessed contingency along with the planned/ongoing mitigations are as follows:

### I-880 Alameda

- Delays to completion of the civil contract on the I-880 corridor due to sequencing conflicts with I-880 median barrier work or other contractors may result in schedule slip which could lead to cost escalation and delays in opening. This risk will be mitigated by staging these contracts to reduce the delay to the extent possible and the needs/requirements for each contract will be thoroughly coordinated.
- The costs to construct and implement the I-880 corridor may significantly exceed the available contingency identified to cover such costs. The current estimate at completion is approximately \$25 million above the budget. Mitigations are underway and the program team is working on completing the preliminary engineering cost estimate

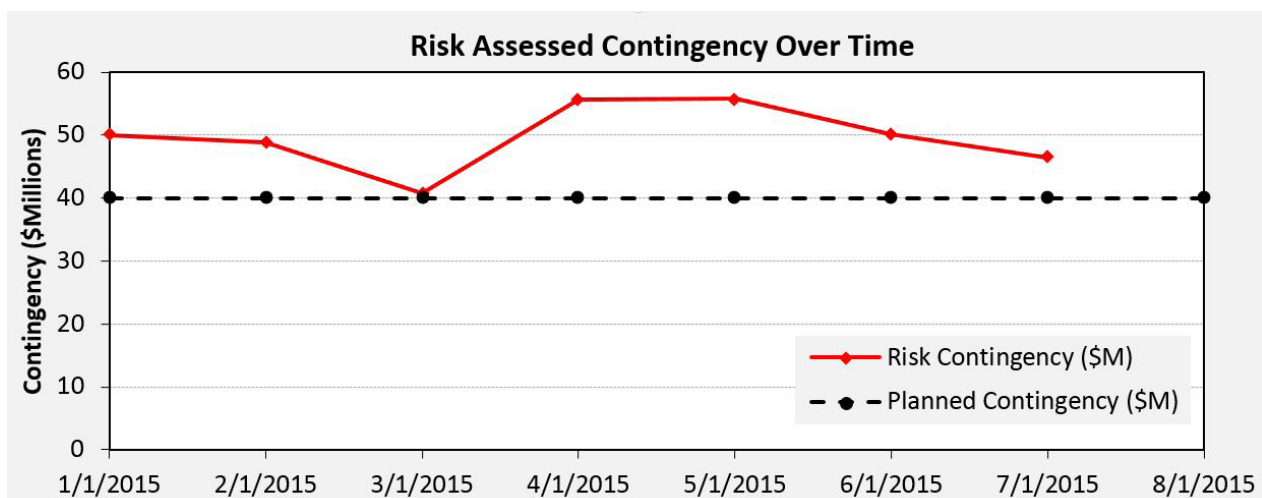
and the final median barrier design estimate, and will then determine ways to cut costs.

### I-680 Contra Costa Southern Segment

- Delays in starting the backhaul construction contract for the I-680 corridor will impact both civil and lane-side toll system integration contractors. The project team is coordinating closely on the schedule and is prepared to assess options for sequencing work should there be further delays in the backhaul contract.

### Programwide

- Costs may escalate at higher than projected levels resulting in increased costs for design or construction.
- Delays arising on the critical and near-critical paths would result in an unanticipated increase in costs for MTC Express Lanes Program delivery and the current budget contingency may have not accounted for all schedule related cost impacts. The program team is quantifying cost impacts of risks at program/corridor/contract levels and tracking against program contingency.
- Recommendations of regional policy change from the managed lanes implementation plan (e.g., change in HOV occupancy or hours policy) may cause changes to design or operational policy and may impact scheduled opening dates. In addition, changes could result in increased costs for analysis, toll system design, signage or operations. The program team is monitoring decisions on I-580 hours of operation and exploring potential impacts to MTC's Express Lanes.



## PROJECT SUMMARY SHEETS

# Centralized Toll System & Program Management, Planning and Regional Coordination

## Total Estimated Cost

\$36.2 million for the Centralized Toll System  
\$28.4 for Program Planning, Coordination & Management

## Schedule

Centralized Toll System will be ready with opening of the CC-680 South Project in the Fall of 2016.

Program Planning Coordination & Management is ongoing through the opening of the funded projects.

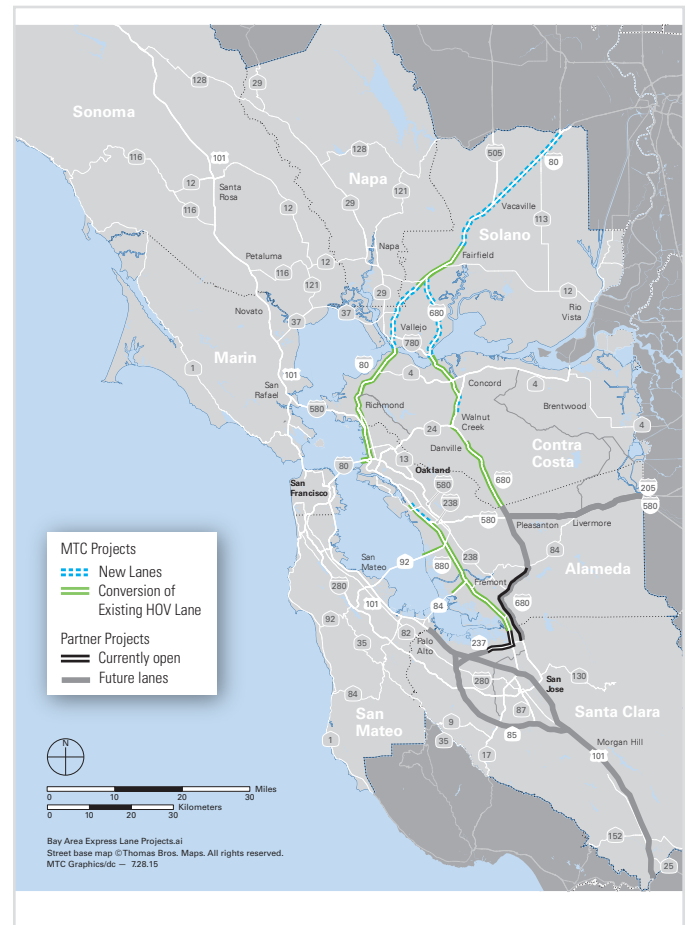
## Project Description

This work involves designing and implementing the centralized toll system and backhaul communications network elements. The centralized toll system includes the hardware and software for dynamic toll setting and trip building, integration with the FasTrak® Regional Customer Service Center, and toll system spare parts. The centralized backhaul system includes communications hubs, leased line services and fiber that complete the network between the toll system host at the Benicia Bridge toll plaza and the toll operations center at 375 Beale Street.

Additional work involves tasks that apply to the entire MTC Express Lanes Program such as: managing the expenditure plan, cost, schedule and risk; developing the express lane business rules and toll ordinance; conducting customer education and outreach; building out the toll operations center and developing operating procedures; planning for future express lanes; and coordinating with partner agencies to offer a seamless experience for drivers.

## Project Highlights and Progress

- BAIFA approved the Express Lane Program Expenditure Plan in June.
- Draft toll system host and software design approved in June.



## Current Project Activities

- Toll system host and software design will be complete Summer 2015.
- A procurement for toll operations staffing will be issued in Fall 2015.
- Plans are underway for build out of express lanes elements of the 375 Beale Operations Center.
- Development of operating procedures is underway.
- Research is underway to inform staff recommendations for a toll ordinance and violations policies to be adopted in 2016.

## I-880 Alameda (ALA-880) – San Leandro to Milpitas

### Hegenberger Road/Lewelling Boulevard to Dixon Landing Road

#### Total Estimated Cost

\$77.8 million

#### Scheduled Open Date

Spring 2019

#### Project Description

The project converts the existing I-880 HOV lanes that run from Marina Boulevard to Dixon Landing Road in the southbound direction and from Dixon Landing Road to Lewelling Boulevard in the northbound direction to an express lane, as well as the future HOV lane that will run southbound from Hegenberger Road to Marina Boulevard.

The conversion involves lane striping and installing sign gantries, signs, FasTrak® toll tag readers, traffic monitoring video cameras and California Highway Patrol observation areas. It will result in 51 express lane miles between Oakland and Milpitas.

#### Project Highlights and Progress

- Preliminary engineering circulated at Caltrans for review and comment in May.
- 100% structure foundation design submitted to Caltrans for inclusion in the Department's Median Barrier Replacement Contract in June.

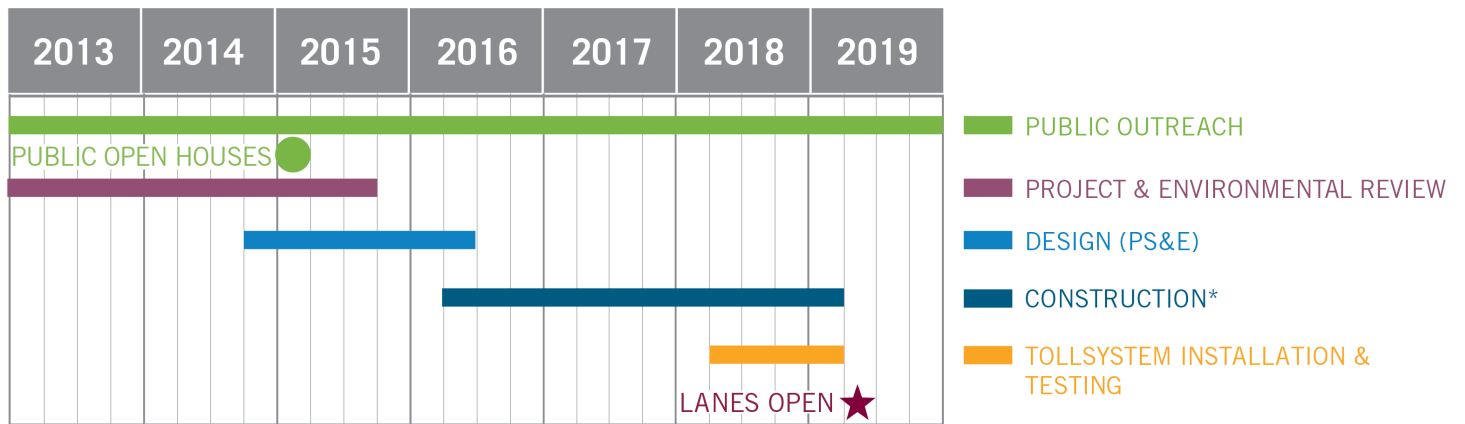
#### Current Project Activities

- Finalizing the environmental studies for environmental clearance.
- Responding to Caltrans comments and preparing final preliminary engineering for approval.
- Preparing 65% civil design submittal for Caltrans review.
- Preparing 65% toll system design submittal for Caltrans review.
- Preparing 65% backhaul design submittal for Caltrans review.





## Project Schedule by Phase



\*Includes I-880 median barrier improvements.

## Project Cost

Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete
77,779		77,779	4,394	8%

Costs shown in thousands of escalated dollars.

The total cost for this project includes planning, design, construction, utilities, backhaul communications and toll system integration.

## I-680 Contra Costa Southern Segment (CC-680 South) – Walnut Creek to San Ramon

Livorna Road/Rudgear Road to Alcosta Boulevard

### Total Estimated Cost

\$48.9 million

### Scheduled Open Date

Fall 2016

### Project Description

The project converts existing HOV lanes to express lanes on I-680 from Rudgear Road to Alcosta Boulevard in the southbound direction and from Alcosta Boulevard to Livorna Road in the northbound direction. It will result in 23 express lane miles through San Ramon, Danville, Alamo and southern Walnut Creek. No widening or additional lanes will be added to the freeway.

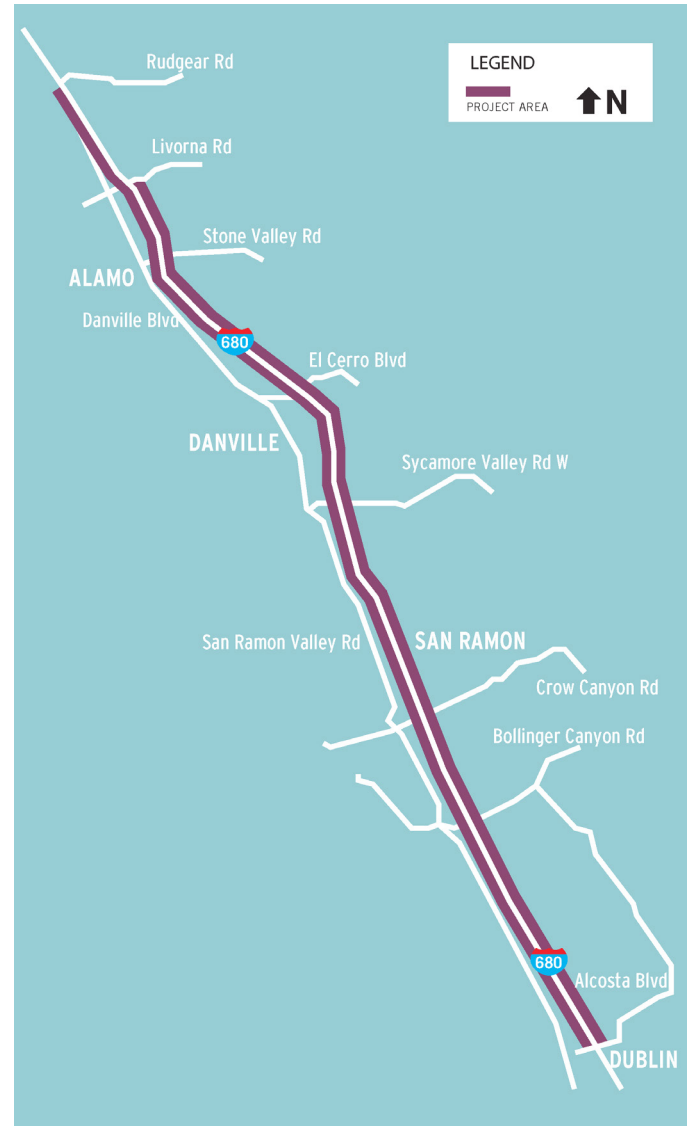
This conversion project includes striping lanes and installing sign gantries, signs, FasTrak® toll tag readers, and traffic monitoring video cameras. In addition, the project installs equipment and observation areas to help the California Highway Patrol enforce proper use of the lanes. The express lanes will allow continuous access like the existing carpool lanes.

### Project Highlights and Progress

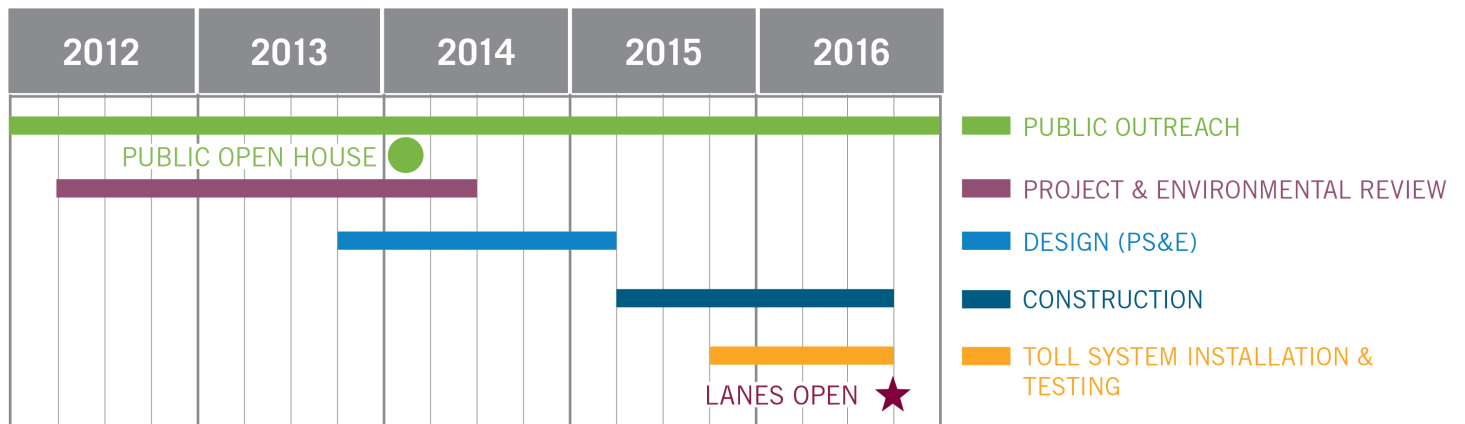
- Environmental document approved in August.
- Final preliminary engineering approved in August.
- Final design completed in April.
- 95% backhaul design submitted in May.
- 95% lane-side toll system design submitted to Caltrans in June.

### Current Project Activities

- Advertisement and award to be completed in July.
- Construction scheduled to begin in August.
- Final lane-side toll system design to be submitted in August, approval anticipated in September.
- Final backhaul design to be submitted in July, approval anticipated in September.



## Project Schedule by Phase



## Project Cost

Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete
48,939		48,939	9,197	20%

*Costs shown in thousands of escalated dollars.*

The total cost for this project includes planning, design, construction, utilities, backhaul communications and toll system integration.

## I-680 Northern Segment Southbound Conversion (CC-680 North) – Martinez to Walnut Creek

### Benicia Bridge to Rudgear Road

#### Total Estimated Cost

\$36.1 million (\$32.3 million to be funded by BAIFA)

#### Scheduled Open Date

End of 2018

#### Project Description

The project will convert 11 miles of the existing HOV lane on southbound I-680 from just south of Marina Vista Avenue in Martinez to North Main Street in Walnut Creek into an express lane. It also includes express lane elements for the I-680 Southbound HOV Completion Project. Once complete, I-680 will have a continuous southbound express lane from Martinez to the Alameda County line.

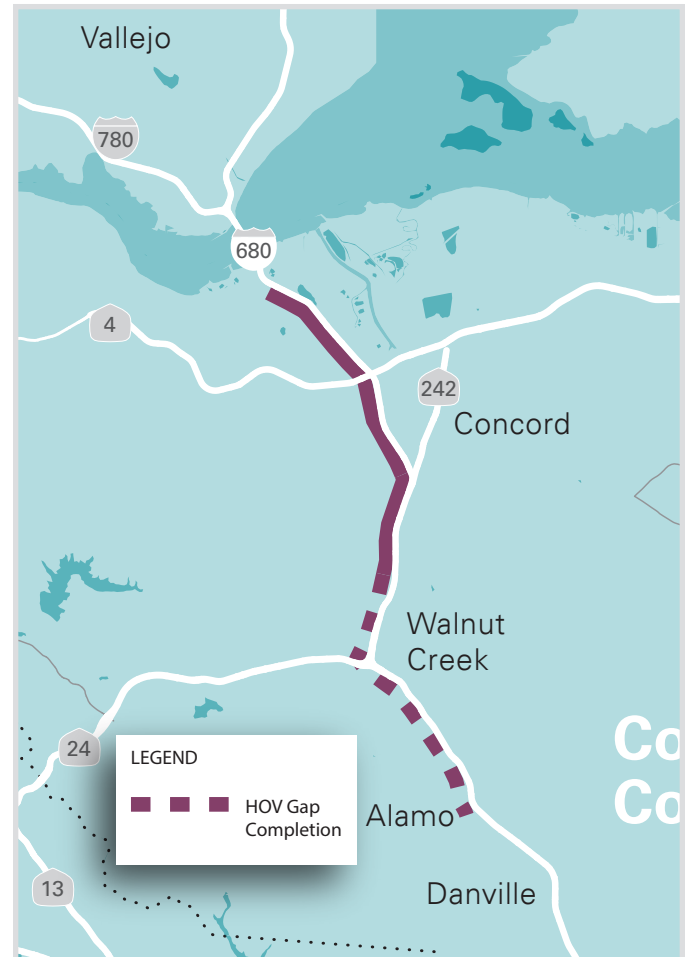
Civil construction will be delivered by the Contra Costa Transportation Authority (CCTA). MTC will install toll and communications equipment and will operate the express lanes.

#### Project Highlights and Progress

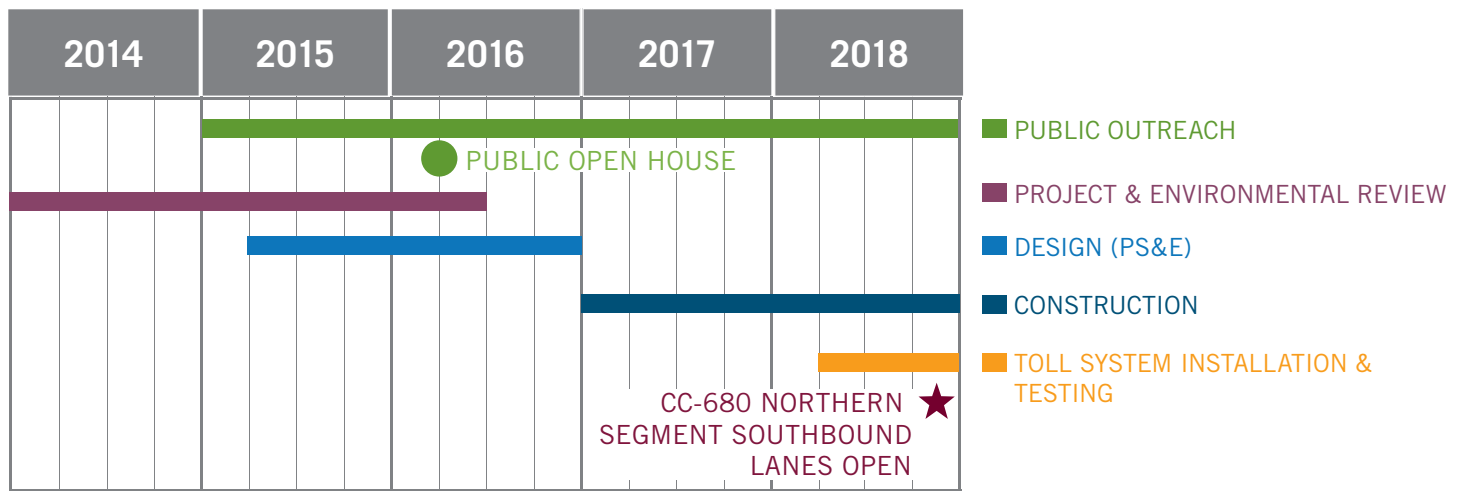
- Project scoping approved on September 11, 2014.
- Lane access configuration agreed upon with Caltrans and CCTA on May 28, 2015.
- Coordinated design to create facilities that work alone upon the southern segment opening and together when the northern segment opens several years later.

#### Current Project Activities

- Environmental studies are progressing.
- Advanced preliminary engineering has been initiated with agreement on the access configuration.



## Project Schedule by Phase



## Project Cost

Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete
36,099	3,812	32,288	243	5%

Costs shown in thousands of escalated dollars.

The total cost for this project includes planning, design, construction, utilities, backhaul communications and toll system integration.

## I-80 Solano West (SOL-80 West) – Fairfield

### Red Top Road to Air Base Parkway

#### Total Estimated Cost

\$43.9 million

#### Scheduled Open Date

TBD

#### Project Description

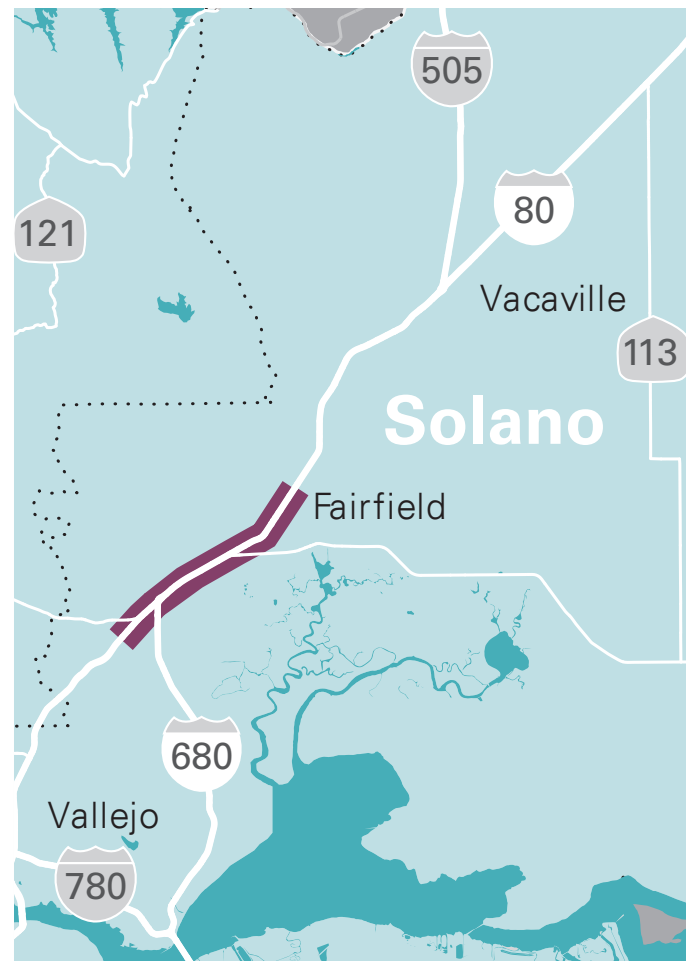
This project will convert the existing eastbound and westbound HOV lanes to express lanes between Red Top Road and Air Base Parkway in Fairfield, resulting in 18 miles of express lanes. Conversion work includes striping lanes and installing sign gantries, signs, FasTrak® toll tag readers, and traffic-monitoring video cameras.

The Solano Transportation Authority (STA) is the lead agency for environmental clearance and civil design.

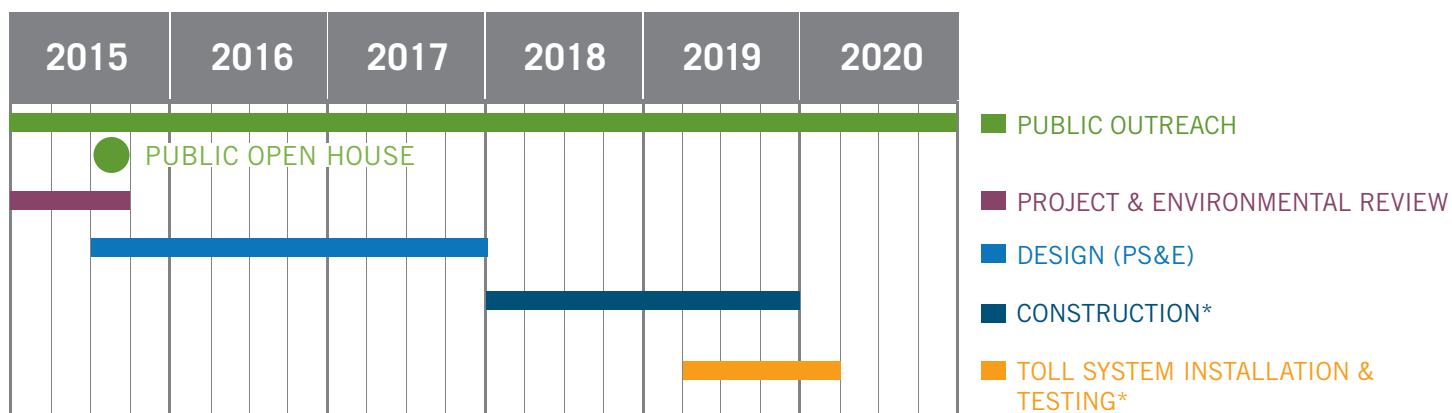
Civil construction will be delivered by STA. MTC will install toll and communications equipment and will operate the express lanes.

#### Current Project Activities

- Draft environmental document to be released in July.
- Public open forum hearing scheduled for August.
- Preparation of the final environmental document.
- Preliminary civil design.



## Project Schedule by Phase



\* Funding for these activities is not yet secured.

## Project Cost

Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete
43,941	6,504	2,852	108	8%

Costs shown in thousands of escalated dollars.

The total cost for this project includes planning, design, construction, utilities, backhaul communications and toll system integration.

## I-80 Solano East (SOL-80 East) – Fairfield to Vacaville

### Air Base Parkway to I-505

#### Total Estimated Cost

\$135.5 million

#### Scheduled Open Date

TBD

#### Project Description

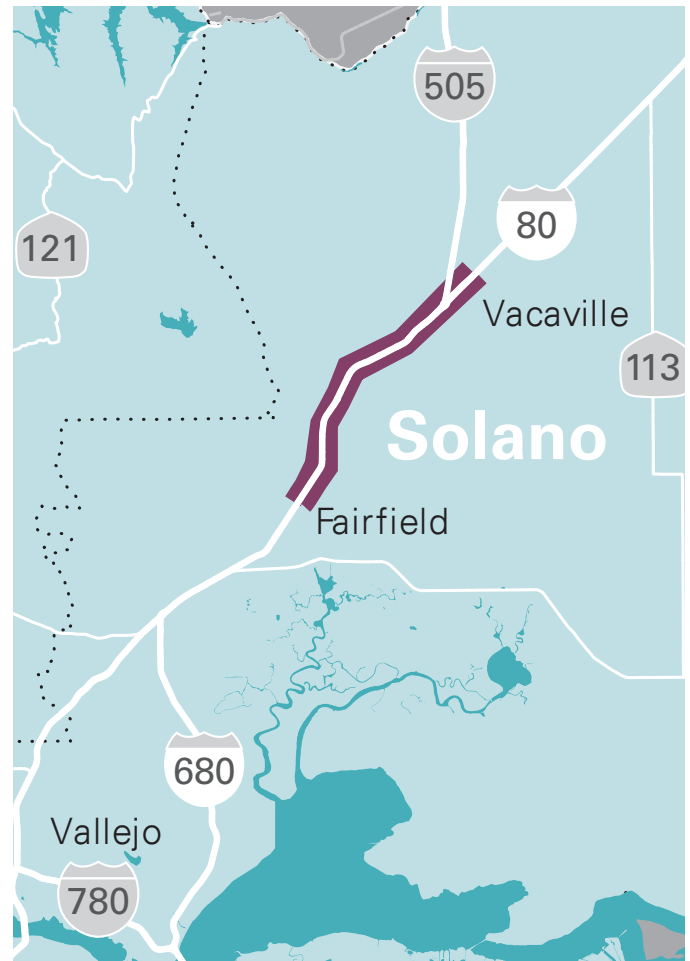
This project will construct new eastbound and westbound express lanes from Air Base Parkway to I-505, for 18 miles of new express lanes. The highway will be widened and express lane striping, signage and equipment will be installed.

The Solano Transportation Authority (STA) is the lead agency for environmental clearance and civil design.

Civil construction will be delivered by STA. MTC will install toll and communications equipment and will operate the express lanes.

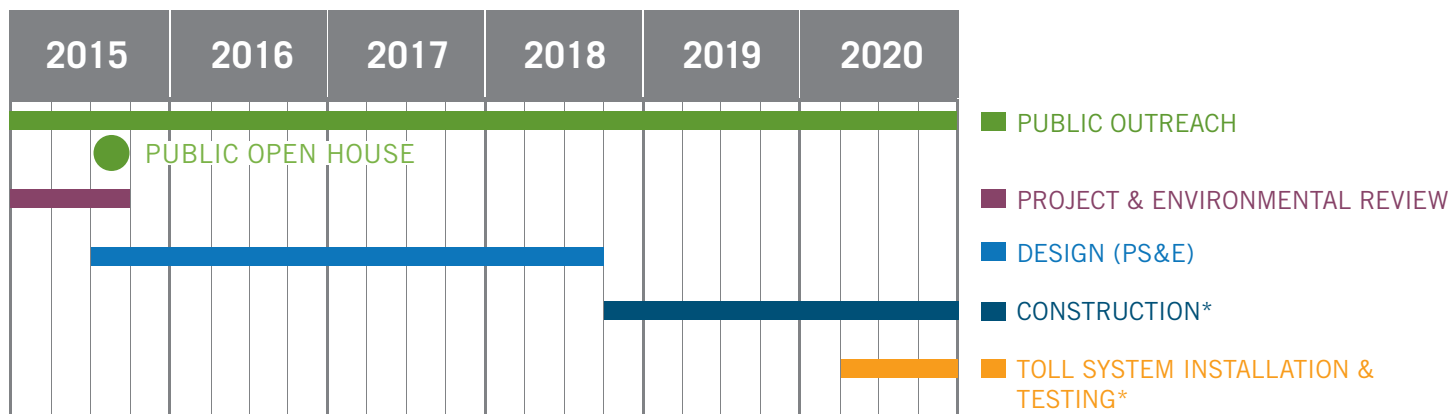
#### Current Project Activities

- Draft environmental document to be released in July.
- Public open forum hearing scheduled for August.
- Preparation of the final environmental document.
- Preliminary civil design.





## Project Schedule by Phase



\* Funding for these activities is not yet secured.

## Project Cost

Cost Forecast	Regional Measure 2 (allocated)	BATA Express Lane Funds	Expended to Date	Physical % Complete
135,484	8,696	16,114	0	8%

Costs shown in thousands of escalated dollars.

The total cost for this project includes planning, design, construction, utilities, backhaul communications and toll system integration.

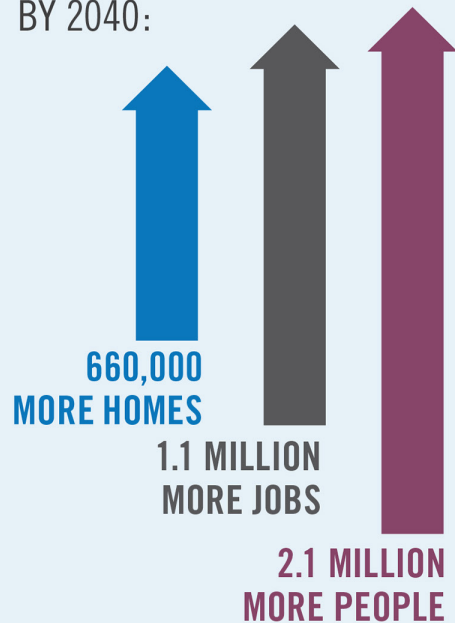
## APPENDICES

## A. Why Express Lanes?

While regional growth will continue, transportation funding and land are simply not available to build enough new transportation capacity to keep up. Bay Area Express Lanes maximize use of our highways by A) filling any empty space in existing HOV

lanes, B) improving operations in existing HOV lanes through better carpool enforcement and strategies to prevent lane slowdowns, and C) filling gaps in the HOV lane system to encourage more carpooling.

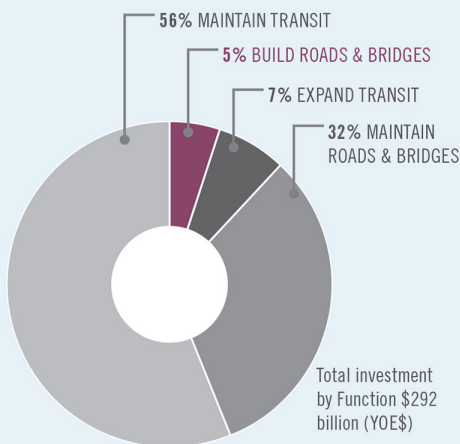
### REGIONAL GROWTH BY 2040:



Data Source: Plan Bay Area (2013).  
Oakland: Metropolitan Transportation Commission. 30.

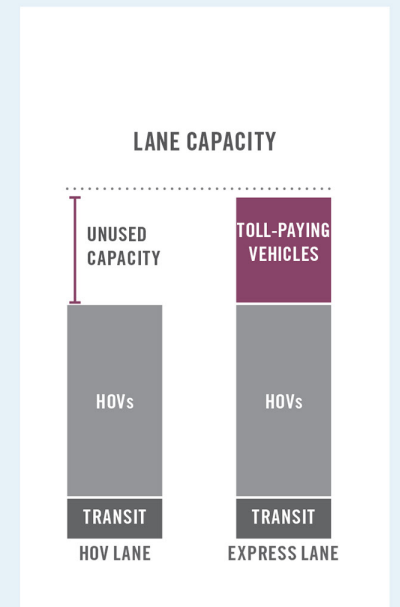
### REGIONAL INVESTMENT BY 2040:

ONLY 5% OF THE REGION'S  
TRANSPORTATION DOLLARS WILL BE  
USED TO BUILD NEW ROADS.



Data Source: Plan Bay Area (2013).  
Oakland: Metropolitan Transportation Commission. 66.

### HOW EXPRESS LANES HELP:



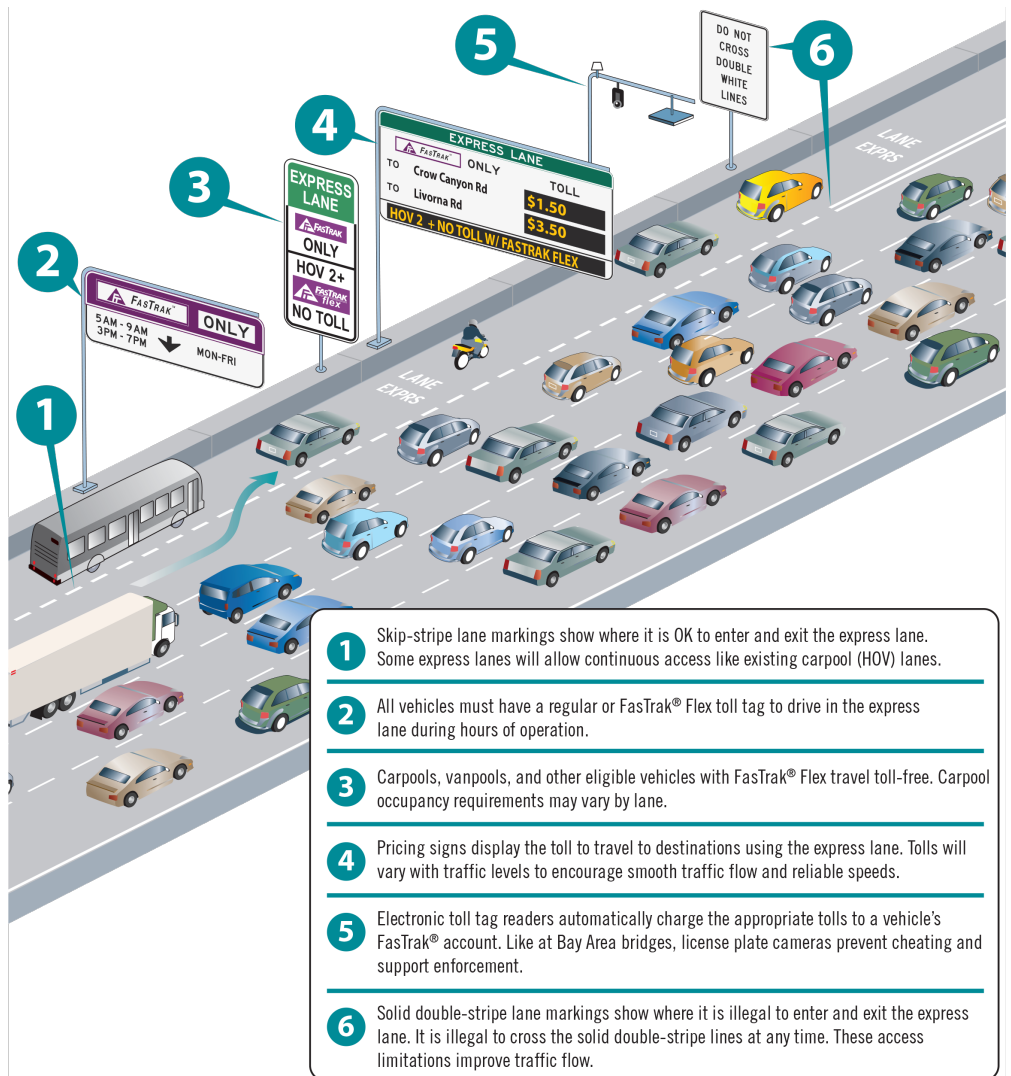
## B. How Express Lanes Work

MTC Express Lanes will be free to carpoolers, vanpoolers, motorcycles, eligible clean air vehicles, and transit buses. Solo drivers can choose to pay tolls to use the lanes. Tolls for solo drivers will be collected electronically via FasTrak®, as on Bay Area toll bridges. Overhead electronic pricing signs will display the current toll rates, which will increase as traffic congestion increases and decrease as traffic congestion decreases.

A qualifying toll-free vehicle will need a FasTrak® Flex toll tag properly mounted in the vehicle, and set in the toll-free position. A FasTrak® Flex tag has a switch that can be set to one of three positions indicating that the vehicle has one (1), two (2), or three or more (3+) occupants. When set on 2 or 3+, the tolling equipment knows not to charge that vehicle a toll. When set on 1, tolls will be charged.

The figure to the right gives an overview of how the express lanes signage will direct drivers and explains how the lanes are to be used.

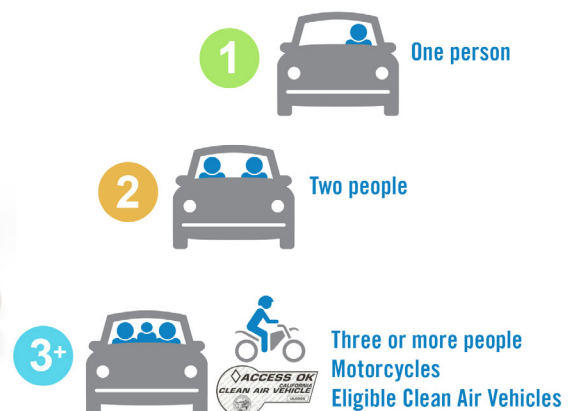
MTC Express Lanes will mostly have “open,” or “continuous” access configurations, meaning drivers will enter and exit the express lanes similar to how they enter and exit the HOV lanes today. Where necessary, due to operational or safety issues, sections of MTC Express Lanes will have



limited access, meaning that entry and exit to/from an express lane is allowed only at certain locations. Where access is limited, special signage and lane striping will indicate entry and exit locations.

### FasTrak® Flex

Carpools, vanpools, transit vehicles, eligible clean air vehicles and motorcycles with FasTrak® Flex travel toll-free. Before driving, move the switch to show the number of people in the vehicle. Carpool occupancy requirements may vary by express lane. Solo drivers can use regular FasTrak or FasTrak® Flex set in the “1” position.



## C. System Technology and Elements

MTC Express Lanes are implemented by overlaying communications equipment on new and existing freeway infrastructure. Express lanes implementation requires four discrete elements that are integrated through design, construction and operations, including:

### Civil Infrastructure (Highway Modifications)

For lane conversions, the civil infrastructure consists of sign structures, sign panels, lane striping, and conduit work for power and communications. For gap closure and extension projects, the civil infrastructure includes the work necessary to widen the highway to include additional lanes, as well as the signage and communications equipment required for conversions.

The civil contractor will put in place the foundations and structures upon which the toll systems contractor will install their equipment. In addition, the civil contractor will construct the infrastructure necessary to connect the toll system power and communications connections.

### Toll Systems

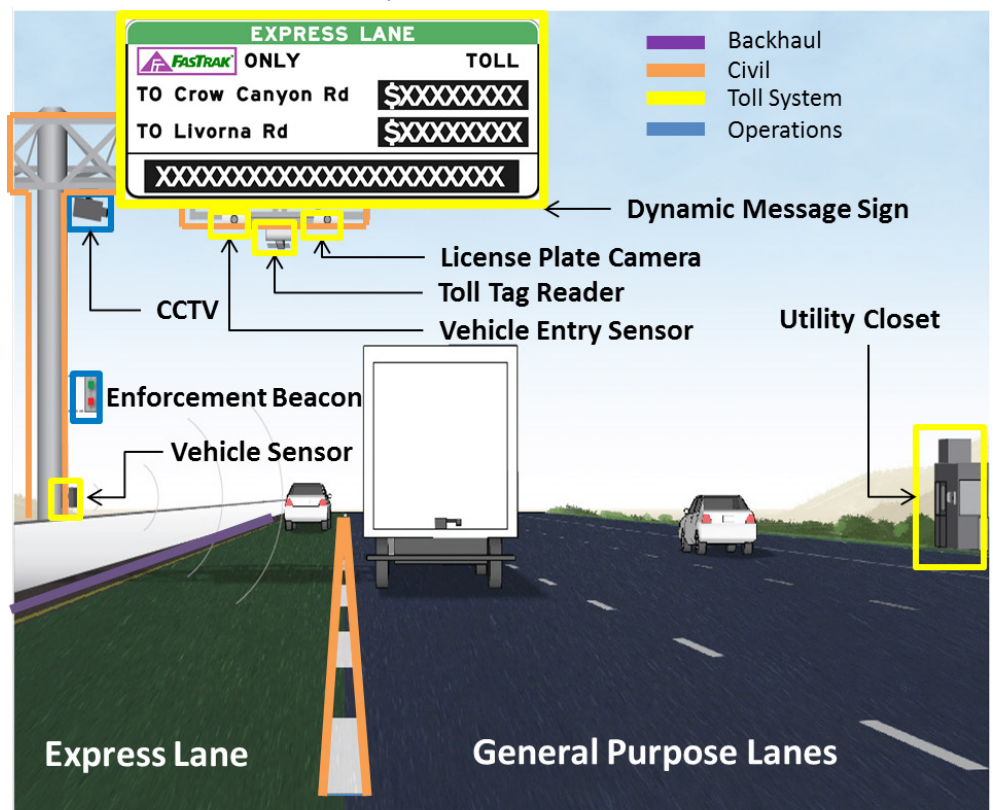
The toll system consists of two components, the in-lane systems and the back-end "host" system. The lane systems consist of all the equipment on the highway needed to operate the toll system including toll tag readers, cameras and vehicle detection. The host system serves as the brain of the toll system, which collects and processes all the data from the highway and sends it to the regional customer service center for billing.

### Backhaul Communications Network

The backhaul network is the communication line that will connect the express lane corridors with the toll host system, operations center and regional customer service center. The backhaul contractor will install new conduit and communications fiber as well as utilize existing Caltrans, BART and other existing infrastructure to build the network. The backhaul network is being designed with the expectation that it will become part of a broader regional communications network.

### Operations

The operations element consists of everything that is needed to successfully operate the express lanes including: an operations center, the regional customer service center, enforcement, public outreach, performance monitoring and on-going maintenance. An express lanes toll operations center will be established in the Regional Agency Headquarters building in San Francisco where operators will actively monitor the condition of the lanes and coordinate with Caltrans and the California Highway Patrol to ensure that the lanes operate efficiently.



For illustrative purposes only

## Legislation Details (With Text)

---

**File #:** 15-0847      **Version:** 1      **Name:**

**Type:** Resolution      **Status:** Consent

**File created:** 8/27/2015      **In control:** Bay Area Infrastructure Financing Authority

**On agenda:** 9/23/2015      **Final action:**

**Title:** BAIFA Resolution No. 11 - Small Business Enterprise (SBE) Construction Project Program

**Sponsors:**

**Indexes:**

**Code sections:**

**Attachments:** [2c\\_BAIFA\\_Reso-11\\_SBE Construction Project Program.pdf](#)

Date	Ver.	Action By	Action	Result
------	------	-----------	--------	--------

**Subject:**  
BAIFA Resolution No. 11 - Small Business Enterprise (SBE) Construction Project Program

**Presenter:**  
Denise Rodrigues

**Recommended Action:**  
Authority Approval



Bay Area Infrastructure Financing Authority  
101 8th St., Oakland, CA 94607  
TEL 510.817.5700  
EMAIL [info@mtc.ca.gov](mailto:info@mtc.ca.gov)  
WEB [www.mtc.ca.gov](http://www.mtc.ca.gov)

## ***Memorandum***

TO: BAIFA

DATE: September 16, 2015

FR: Executive Director

W. I. 6840

RE: BAIFA Resolution No. 11 – Small Business Enterprise (SBE) Construction Project Program

This memo requests the Authority approve BAIFA Resolution No. 11, Construction Project Small Business Enterprise (SBE) Program.

### **Background**

In an effort to increase competition on BAIFA construction projects, promote SBE firm participation on BAIFA construction contracts, and increase SBE construction contracting opportunities with BAIFA, staff has developed a proposed Construction Project SBE Program (“Program”).

There are a variety of programs giving certain types of contractor preference utilized by public agencies in the Bay Area. The types of programs and preferences vary greatly throughout the region and are applied based on requirements for size (SBE programs), ownership (Disadvantaged Business Enterprise (DBE) programs), or location (Local Business Enterprise (LBE) programs).

Since BAIFA is a regional agency and a portion of BAIFA’s projects are toll-funded through the BATA Toll Bridge Program Operating and Capital Budget, it was determined that a SBE Program was most appropriate for BAIFA as the program is intended to:

1. Increase the number of certified SBEs competing for BAIFA’s construction projects and increase overall competition on these projects, potentially allowing for the completion of projects at a lower overall cost;
2. Ensure that only firms (prime or subcontractor) that are certified by the State of California as SBEs per the requirements listed at <http://www.dgs.ca.gov/pd/Programs/OSDS/SBEligibilityBenefits.aspx> (see Attachment A) are eligible for the bid preference allowed under the Program; and
3. Help remove barriers to the participation of SBEs in BAIFA’s construction contracts.

### **DBE and SBE Outreach**

Staff works with other transportation partner agencies as the Business Outreach Committee (BOC) to implement race-neutral measures to increase SBE and DBE participation in contracting. The BOC provides business outreach, networking events with prime contractors and agency procurement officers, a quarterly newsletter that includes upcoming procurement opportunities, and direct referral of SBEs and DBEs to prime contractors.

Recent events hosted by the BOC and BAIFA were the “Meet the Buyers” event on March 25<sup>th</sup>, and the “Why Get Certified” webinar in July 2015. Staff also participated in the Caltrans District 4 Quarterly Professional Liaison and Cal-Mentor Program meeting and networking events on May 5<sup>th</sup> and July 23<sup>rd</sup>, and in the Northern California Construction Management



Association of America (CMAA) Owners' Night on July 15<sup>th</sup>. The most recent newsletters and flyers for the outreach events staff planned and participated in are included in Attachment B.

### **DBE and SBE Monitoring**

Staff has implemented contract compliance software that will facilitate monitoring and reporting of SBE/DBE utilization for all agency contracts regardless of fund type. The software will facilitate automated workflows to reduce the manual paper processing currently in place. In addition to the current practice of noting SBE/DBE status on Authority memoranda, staff will include SBE/DBE utilization information in all Authority memoranda requesting contract approval or additional funding for contract amendments after the compliance software is fully implemented. This will allow the board to be better informed of SBE/DBE participation on all agency contracts.

### **SBE Program**

The Program, attached as Attachment C, includes:

- Designation of a SBE Liaison Officer (SBELO), who will be Mamie Lai of MTC staff;
- A requirement for State of California Department of General Services (DGS) SBE certification;
- A SBE preference of 5% in the form of a bid discount, when the lowest responsible bidder meeting specifications is a certified SBE and is performing 40% of the work **or** a SBE preference of 5% when a non-SBE prime contractor subcontracts with a SBE firm or firms for 40% of the work;
- A requirement that SBE subcontractors not be removed or replaced, unless prior written concurrence of SBE substitution is provided by the SBELO; and
- A compliance component that requires monitoring and refinement of these initiatives.

Staff reviewed the Santa Clara Valley Transportation Authority (VTA), the City of Oakland, and San Francisco Bay Area Rapid Transit (BART) SBE programs to assist in the development of this Program.

### **Recommendation**

Staff recommends that the Authority approve BAIFA Resolution No. 11, Construction Project Small Business Enterprise (SBE) Program.

  
\_\_\_\_\_  
Steve Heminger

### **Attachments**

J:\COMMITTEE\BAIFA\2015\09\_September 2015\2c\_SBE BAIFA Memo.docx



# Attachment A



## Procurement Division

[Programs & Services \(http://www.dgs.ca.gov/pd/Programs.aspx\)](http://www.dgs.ca.gov/pd/Programs.aspx) > [Office of Small Business & Disabled Veteran Business Enterprise Services \(OSDS\) \(http://www.dgs.ca.gov/pd/Programs/OSDS.aspx\)](http://www.dgs.ca.gov/pd/Programs/OSDS.aspx) > [Small Business Certification Eligibility Requirements & Benefits \(http://www.dgs.ca.gov/pd/Programs/OSDS/SBEligibilityBenefits.aspx\)](http://www.dgs.ca.gov/pd/Programs/OSDS/SBEligibilityBenefits.aspx)

## Small Business Eligibility Requirements

In order for a small business to be eligible for certification, the small business must meet the following requirements:

- Be independently owned and operated;
- Not dominant in field of operation;
- Principal office located in California;
- Owners (officers, if a corporation) domiciled in California; and,
- Including affiliates, be either,
  - A business with 100 or fewer employees; an average annual gross receipts of \$14 million or less, over the last three tax years;
  - A manufacturer\* with 100 or fewer employees; or,
  - A microbusiness. A small business will automatically be designated as a microbusiness, if gross annual receipts are less than \$3,500,000; or the small business is a manufacturer with 25 or fewer employees.

\* For Small Business Certification purposes, a manufacturer is a business that is both of the following:

1. Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
2. Classified between Codes 31 to 339999, inclusive, of the North American Industrial Classification System (NAICS) Manual, published by the United States Census Bureau, 2007 edition.

---

## Small Business Certification Benefits

---

Upon meeting the Small Business Certification eligibility requirements, certified small business (SBs) and microbusinesses (MBs) are entitled to the following benefits:

- A five percent (5%) bid preference on applicable State solicitations;
- As a certified small business/microbusiness, you are eligible for the State's Small Business Participation Program. This program sets a goal for the use of small businesses in at least 25% of the State's overall annual contract dollars;
- Under the Prompt Payment Act, the State must pay a certified SB / MB higher interest penalties for late payment of an undisputed invoice. Prompt payment penalties for construction firms are addressed separately under Public Contract Code, Section 10261.5);
- State agencies may use a streamlined process, known as the SB/DVBE Option, by contracting directly with a California certified small business/microbusiness for goods, services, information technology and Public Works projects. The solicitation must be valued at more than \$5,000 and the State agency must obtain price quotes from at least two California certified small business/microbusiness;

Effective January 1, 2010, the maximum thresholds are:

Goods, Services, or Information Technology - \$249,999.99

Public Works - \$250,000

Effective January 12, 2012, the maximum thresholds are:

Goods, Services, or Information Technology - \$249,999.99

Public Works - \$281,000 (Effective 1/30/14: BL 14-01)

- The DGS-PD charges State and local agencies an administrative fee, when contracting with a California Multiple Award Schedules

## Attachment A

(CMAS) vendor. As an incentive, the fee is waived, if the CMAS vendor is a certified small business/microbusiness;

- As an incentive, a non-small business prime contractor, who uses certified small business/microbusiness subcontractors for at least 25% of its net bid price, is eligible for a bid preference of five percent (5%) of the lowest responsible bid, when competing against another non-small business; and, When applying bidder preferences, in which non-small business bidders may be eligible, certified small business/microbusiness bidders have precedence over non-small business bidders.

NOTE: Small business/microbusiness bids cannot be displaced by non-small business/microbusiness bids, when applying any applicable lawful preferences.

If you have any questions regarding the Small Business Certification eligibility requirements and benefits, please contact OSDS Help at (916) 375-4940 or by [email \(mailto:OSDSHelp@dgs.ca.gov\)](mailto:OSDSHelp@dgs.ca.gov).

---

### What's New

- [How to do Business with the State Webinars ... \(/pd/NewsEvents.aspx#1079\)](/pd/NewsEvents.aspx#1079)
- [Release of Cloud Computing Special Provisions for ... \(/pd/NewsEvents.aspx#1040\)](/pd/NewsEvents.aspx#1040)
- [Small Business & DVBE Outreach Events 2015 ... \(/pd/NewsEvents.aspx#856\)](/pd/NewsEvents.aspx#856)

[View All news and events items \(/pd/NewsEvents.aspx\)](/pd/NewsEvents.aspx)

---

### PD Quick Links

- [Notice of Rulemaking \(/pd/Programs/OSDS/NoticeofRulemaking.aspx\)](/pd/Programs/OSDS/NoticeofRulemaking.aspx)
- [SB/DVBE Legislation & Executive Orders \(/pd/Programs/OSDS/legislation.aspx\)](/pd/Programs/OSDS/legislation.aspx)
- [Broadcast Bulletins \(/pd/Resources/BroadcastBulletins.aspx\)](/pd/Resources/BroadcastBulletins.aspx)
- [Communications & Outreach \(/pd/Programs/OSDS/CommunicationsOutreach.aspx\)](/pd/Programs/OSDS/CommunicationsOutreach.aspx)
- [RESD Small Business and DVBE Outreach Program \(/resd/RESDSBDVBEOutreach.aspx\)](/resd/RESDSBDVBEOutreach.aspx)
- [SB/DVBE Reports \(/pd/Programs/OSDS/ContractReporting.aspx\)](/pd/Programs/OSDS/ContractReporting.aspx)
- [eProcurement \(/pd/Programs/eprocure.aspx\)](/pd/Programs/eprocure.aspx)
- [Prompt Payment \(/pd/Programs/OSDS/PromptPayment.aspx\)](/pd/Programs/OSDS/PromptPayment.aspx)
- [DVBE Substitution Instructions and Form \(http://www.documents.dgs.ca.gov/pd/delegations/pac011910\\_DVBE.pdf\)](http://www.documents.dgs.ca.gov/pd/delegations/pac011910_DVBE.pdf)
- [How to Establish Disabled Veteran Business Enterprise \(DVBE\) Equipment Ownership for \*\*New Certifications\*\* \(http://www.documents.dgs.ca.gov/pd/smallbus/DVBE\\_Equipment\\_Ownership\\_Requirements-New.pdf\)](http://www.documents.dgs.ca.gov/pd/smallbus/DVBE_Equipment_Ownership_Requirements-New.pdf)
- [How to Establish Disabled Veteran Business Enterprise \(DVBE\) Equipment Ownership for \*\*Renewal Certifications\*\* \(http://www.documents.dgs.ca.gov/pd/smallbus/DVBE\\_Equipment\\_Ownership\\_Requirements-Renewal.pdf\)](http://www.documents.dgs.ca.gov/pd/smallbus/DVBE_Equipment_Ownership_Requirements-Renewal.pdf)

---

[Accessibility](#)

[Conditions of Use](#)

[Privacy Policy](#)

[Disclaimer](#)

[Download Free Readers](#)

[Report a Web problem](#)

Copyright © 2014 State of California



# NEW DATE: FEBRUARY 24, 2015

Enhancing the growth potential of small business

**What:** Caltrans District 4 Jt. Professional Liaison — Calmentor Program Quarterly Meeting

**When:** February 24, 2015, 1:00 p.m. to 3:00 p.m.

**Where:** Caltrans District 4 Office, 111 Grand Avenue, 15th Floor, Park View Room, Oakland.

## Meeting Agenda

- ⇒ Caltrans Look Ahead
- ⇒ Local Public Agency Updates
- ⇒ Presentation on California High Speed Rail Project
- ⇒ Protégé Firm 5-Minute Marketing Pitches
- ⇒ Formal Networking Session with Senior Public Transportation Agency Managers, Mentor Firms & Protégé Firms

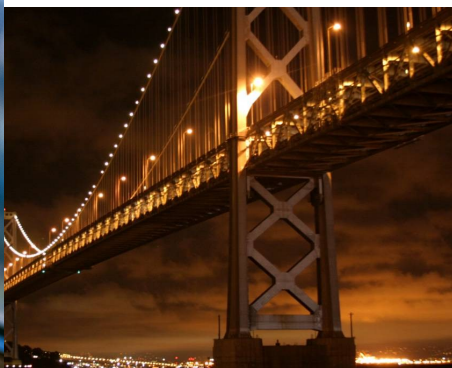
---

*The Joint Professional Liaison—Calmentor Program Quarterly Meeting facilitates networking opportunities with senior public transportation agency managers.*

---

**Register online today:**

<http://goo.gl/forms/HyKe4gi1Xf>





**CALTRANS DISTRICT 4 OFFICE  
JOINT PROFESSIONAL LIAISON-CALMENTOR PROGRAM  
QUARTERLY MEETING**

## AGENDA

Thursday, February 24, 2015

1:00 p.m. - 3:00 p.m.

Park View Room, 15<sup>th</sup> Floor, 15-700

111 Grand Avenue, Oakland, California

Item	Topics	Presenter(s)
1	<b>Welcome and Introductions</b> (5 min.) <ul style="list-style-type: none"> <li>• Introductions &amp; Executive Staff Welcome</li> </ul>	Bijan Sartipi, Caltrans District 4 Director
2	<b>Approvals</b> (2 min.) <ul style="list-style-type: none"> <li>• Approval of the 10/30/14 meeting minutes</li> </ul>	Ali M. Banani, Office Chief, Consultant Services Unit, Caltrans District 4
3	<b>District 4/Statewide Reports and Updates</b> (8 min.) <ul style="list-style-type: none"> <li>• Caltrans A&amp;E Procurement Look Ahead</li> <li>• Governor's Budget Highlights</li> </ul>	Ali M. Banani, Office Chief, Consultant Services Unit, Caltrans District 4
4	<b>California High-Speed Rail Project</b> (40 min.) <ul style="list-style-type: none"> <li>• Presentation – 25 min.</li> <li>• Participant Questions – 15 min.</li> </ul>	Karen Massie, Information Officer, California High-Speed Rail Authority  Ricci Graham, Information Officer, Northern California High-Speed Rail Authority
5	<b>Calmentor Steering Committee Update</b> (10 min.) <ul style="list-style-type: none"> <li>• Committee Report</li> <li>• Pledge Forms</li> </ul>	Jim Dickey, Cinquini & Passarino, Chair, District 4 Calmentor Steering Committee
6	<b>Public Agency Partner Reports</b> (10 min.)	Liz Brazil, DBE Program Manager, Santa Clara VTA  Luz Campos, Purchasing Technician, MTC
7	<b>Protégé Firms: Give Us Your Best Pitch!</b> (45 min.) <ul style="list-style-type: none"> <li>• Albion Environmental, Inc.</li> <li>• Alfred Civil Engineering</li> <li>• HSI Engineering, Inc.</li> <li>• Lantex Landscape Architecture, Inc.</li> <li>• Surf to Snow Environmental Resource Management</li> </ul>	<b>Public Agency Partner Review Panel</b> Liz Brazil, DBE Program Manager, Santa Clara VTA  Luz Campos, Purchasing Technician, MTC  Romy F. Fuentes, Branch Chief, Consultant Services Unit, Caltrans District 4
8	<b>Adjourn Meeting</b>  Next Meeting: Annual Awards Luncheon & Public Agency Manager Networking Sessions – Cinco de Mayo, Tuesday, May 5, 2015, 12 noon – 3:00 p.m.	Romy F. Fuentes, Branch Chief, Consultant Services Unit, Caltrans District 4



**Calmentor**

Professional Liaison

# SAVE THE DATE: MAY 5, 2015

Enhancing the growth potential of small business

## 2015 Annual Caltrans District 4 Calmentor Program Awards and Business Networking Event

**Registration: 11:00 a.m. - 11:30 a.m., 1st Floor Lobby, Caltrans District 4 Office**

**Keynote & Awards Presentation: 11:30 a.m. - 12:15 p.m.**

Please join Caltrans District 4 Director Bijan Sartipi, Caltrans project managers, and regional and local public transportation managers from the nine Bay Area Counties to celebrate small business success!

### 2015 Annual Mentor Firm Recognition Awards

Silver Award presented to Harris & Associates, Inc.

Bronze Award presented to PSOMAS Engineering, Inc.

### Quarterly Protégé Firm Graduation Recognition

Adanta, Inc., CBL Professional Services, and Designlab 252

**Hosted Networking Lunch: 12:30 p.m. - 1:30 p.m.**

**Meet & Greet Public Agency Managers: 1:30 p.m. - 3:30 p.m.**

Following lunch, meeting participants are invited to attend small group networking sessions with senior state, regional and local public agency transportation infrastructure managers including Caltrans, MTC, VTA, ACTC and others!

**Registration is on a first come, first serve basis. Space is limited.**

**Register online today: <http://goo.gl/forms/PD33IUVVHD>**

**Event Location: Caltrans District 4 Office, 111 Grand Avenue, Oakland, California**



### Event Sponsors



**ARCADIS**



**Ghirardelli  
ASSOCIATES**



**CMPROS**

**THE HANNA GROUP**

**PSOMAS**



**Vali Cooper & Associates, Inc.**





Professional Liaison

## 2015 Annual Caltrans District 4 Calmentor Program Awards & Business Networking Event

Tuesday, May 5, 2015

### Official Program

#### Welcome & Acknowledgements

Jim Dickey, Principal, Cinquini & Passarino, Inc.  
Caltrans District 4 Calmentor Program Steering Committee Chairperson

#### Keynote Address

Bijan Sartipi, District 4 Director  
California Department of Transportation

#### 2015 Transportation Infrastructure Small Business Advocate Award Presentations

The Honorable Edmund G. Brown, Governor of California  
The Honorable Gavin Newsom, Lt. Governor of California

#### Caltrans District 4 Calmentor Program Protégé Firm Graduations

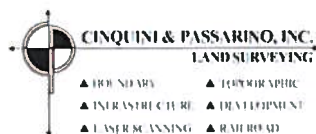
Adanta, Inc.  
CBL Professional Services  
Designlab 252

#### Caltrans District 4 Calmentor Program Mentor Firm Awards

Harris & Associates, Inc.—Silver Award  
Psomas—Bronze Award

#### Calmentor Program Luncheon & Business Networking Sessions

##### Event Sponsors



## Business Outreach Committee (BOC) Contracting Newsletter #27, Spring 2015

*The goal of the BOC is to assist small and disadvantaged companies in doing business with Bay Area transportation agencies.*

### UPCOMING CONTRACTING OPPORTUNITIES (SELECTED AGENCIES):

#### GOLDEN GATE BRIDGE, HIGHWAY & TRANSPORTATION DISTRICT (GGBHTD)

Solicitation Letter: Purchase and Installation of a Wireless Infrastructure Upgrade	Due Date*: May 2015	Est.\$: 90K
Third Party Administrator for Public Liability and Fleet Claims Investigation and Adjustment Services	Due Date*: May 2015	Est.\$: 350K
Toll Plaza Administration Building Improvements	Due Date*: May 2015	Est.\$: 500K
San Rafael Improvements Employee Parking Lot	Due Date*: TBD	Est.\$: 1.5M
Larkspur Ferry Terminal Sewer and Fuel Systems Rehabilitation	Due Date*: TBD	Est.\$: 800K
Bus Stop Shelter & Signage Improvements	Due Date*: TBD	Est.\$: 500K
South Approach and Pier Security Improvements	Due Date*: TBD	Est.\$: 4M
Sausalito Ferry Terminal Gangway and Pier Improvements, Construction	Due Date*: TBD	Est.\$: 10M
San Francisco Ferry Terminal Gangway and Pier Improvements, Construction	Due Date*: TBD	Est.\$: 20M

#### METROPOLITAN TRANSPORTATION COMMISSION (MTC)

Business Process Identification and Documentation Project	Due Date*: May 8, 2015	Est. \$: TBD
Compensation Study	Due Date*: May 13, 2015	Est. \$: TBD
Program for Arterial System Synchronization (PASS)	Due Date*: May 15, 2015	Est. \$: TBD
SHRP2 Implementation Assistance and Technical Guidance and Support	Due Date*: May 22, 2015	Est. \$: TBD
511 System Integrator, Data Management & Dissemination, and Interactive Voice Response (IVR) Phone System	Issue Date*: TBD	Est. \$: TBD
Bay Area Infrastructure Financing Authority (BAIFA) I-680 Express Lanes Civil Construction Project	Issue Date*: TBD	Est. \$: TBD
Maintenance, Diagnostic and Repair Services of Traffic Operations System (TOS) Devices	Issue Date*: TBD	Est. \$: TBD
Transit Oriented Workforce Housing Assessment	Issue Date*: TBD	Est. \$: TBD
Express Lanes Backhaul Communications Network	Issue Date*: TBD	Est. \$: TBD

#### SAN FRANCISCO BAY FERRY (WETA)

San Francisco Bay Ferry Ridership Database	Issue Date*: May 2015	Est. \$: TBD
On-Call Planning, Engineering, and Professional Services	Issue Date*: May/June 2015	Est. \$: TBD
Vallejo Ferry Terminal Dredging (IFB)	Issue Date*: June 2015	Est. \$: TBD
Ferry Vessel Peralta Major Refit Phase 2	Issue Date*: July 2015	Est. \$: TBD
Central Bay Maintenance Facility	Issue Date*: Aug 2015	Est. \$: TBD
Vallejo Ferry Terminal Maintenance Dredging (RFP)	Issue Date*: Summer 2015	Est. \$: TBD
Harbor Bay Ferry Terminal Piling Replacement	Issue Date*: Sept 2015	Est. \$: TBD
Ferry Vessel Taurus Minor Refit	Issue Date*: Sept 2015	Est. \$: TBD
Ferry Vessels Gemini Class Emissions Reduction Systems Rehab	Issue Date*: Sept 2015	Est. \$: TBD
Ferry Vessel Replacement and New Ferry Vessels	Issue Date*: Fall 2015	Est. \$: TBD

#### SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)

CCTV Surveillance Equipment	Issue Date*: May 2015	Est. \$: TBD
Montague Expressway & South Milpitas Blvd. Improvements	Issue Date*: June 2015	Est. \$: TBD
GFCI Switchgear Testing & Repair	Issue Date*: Aug 2015	Est. \$: TBD
VTA Communications Backbone	Issue Date*: Aug 2015	Est. \$: TBD
Pavement Manager	Issue Date*: Sept 2015	Est. \$: TBD



## UPCOMING EVENTS



The Business Outreach Committee (BOC) will be hosting a

### "How to Get Certified" Webinar

More information to follow.

A date and corresponding link will be available to all interested firms as soon as possible.



## **WHERE TO FIND CONTRACTING OPPORTUNITIES:**

<b>AC TRANSIT:</b> <a href="http://www.actransit.org/purchasing/">http://www.actransit.org/purchasing/</a>	<b>NCTPA:</b> <a href="http://www.nctpa.net/procurement-opportunities">http://www.nctpa.net/procurement-opportunities</a>
<b>ALAMEDA CTC:</b> <a href="http://www.alamedactc.org/app_page_s/view/3999">http://www.alamedactc.org/app_page_s/view/3999</a>	<b>SAMTRANS/CALTRAIN:</b> <a href="http://procurement.samtrans.com">http://procurement.samtrans.com</a>
<b>BART:</b> <a href="http://www.bart.gov/about/business/procurement/">http://www.bart.gov/about/business/procurement/</a>	<b>SFMTA:</b> <a href="http://sfgsa.org/index.aspx?page=4767">http://sfgsa.org/index.aspx?page=4767</a>
<b>COUNTY CONNECTION:</b> <a href="http://countyconnection.com/about/business-advertising/procurements/">http://countyconnection.com/about/business-advertising/procurements/</a>	<b>SOLTRANS:</b> <a href="http://www.soltransride.com/procurement">http://www.soltransride.com/procurement</a>
<b>RIO VISTA:</b> <a href="http://riovistacity.com">http://riovistacity.com</a>	<b>TJPA:</b> <a href="http://transbaycenter.org/tjpa/doin-g-business-with-the-tjpa">http://transbaycenter.org/tjpa/doin-g-business-with-the-tjpa</a>
<b>GGBHTD:</b> <a href="http://www.goldengate.org/contracts/">http://www.goldengate.org/contracts/</a>	<b>VTa:</b> <a href="http://www.vta.org/procurement/solicitations/">http://www.vta.org/procurement/solicitations/</a>
<b>MARIN TRANSIT:</b> <a href="http://www.marintransit.org/purchasing.html">http://www.marintransit.org/purchasing.html</a>	<b>WETA:</b> <a href="https://watertransit.org/contract_opportunities.aspx">https://watertransit.org/contract_opportunities.aspx</a>
<b>MTC:</b> <a href="http://procurements.mtc.ca.gov">http://procurements.mtc.ca.gov</a>	<b>WESTCAT:</b> <a href="http://www.westcat.org">http://www.westcat.org</a>

The BOC wants your help to make sure this newsletter brings you the information you want. Send suggestions and topics to improve newsletter content to:

Kristina Martinez, County Connection

[kmartinez@cccta.org](mailto:kmartinez@cccta.org)

## AGENCY CONTACTS

**AC Transit:** Phillip McCants  
Contracts Compliance Officer  
(510) 577-8815 or [pmccants@actransit.org](mailto:pmccants@actransit.org)

**Alameda CTC:** Seung Cho  
Contracting, Administration, and Fiscal  
Resource Manager  
(510) 208-7472 or [scho@alamedactc.org](mailto:scho@alamedactc.org)

**BART:** Ron Granada  
Senior Civil Rights Officer  
(510) 464-6103 or [RGranad@bart.gov](mailto:RGranad@bart.gov)

**County Connection:** Kristina Martinez  
Civil Rights Administrator  
(925) 680-2031 or  
[vassallo@countyconnection.com](mailto:vassallo@countyconnection.com)

**GGBHTD:** Aretmise Davenport  
DBE Program Analyst  
(415) 257-4581 or  
[adavenport@goldengate.org](mailto:adavenport@goldengate.org)

**Marin Transit:** Amy Van Doren  
Director of Policy & Legislative Programs  
(415) 226-0859 or  
[avandoren@marintransit.org](mailto:avandoren@marintransit.org)

**MTC:** Denise Rodrigues  
Contract Compliance Manager  
(510) 817-5897 or [drodri@mtc.ca.gov](mailto:drodri@mtc.ca.gov)

**NCTPA:** Antonio Onorato  
Manager of Finance, Grants, and  
Administration  
(707) 259-8779 or [aonorato@nctpa.net](mailto:aonorato@nctpa.net)

**SamTrans/Caltrain:** Elke Campbell  
(650) 508-7939 or  
[campbelle@samtrans.com](mailto:campbelle@samtrans.com)

**SFMTA:** Sheila Evans Peguese  
Contract Compliance Officer  
(415) 701-4436 or [sheila.evans-peguese@sfmta.com](mailto:sheila.evans-peguese@sfmta.com)

**SolTrans:** Gary Albright, Program Analyst II,  
(707) 736-6986 or  
[gary@soltransride.com](mailto:gary@soltransride.com)

**TJPA:** Eddie Phillips  
Contract Compliance Officer  
(415) 597-4041 or  
[EPhillips@TransbayCenter.org](mailto:EPhillips@TransbayCenter.org)

**VTa:** Liz Brazil  
DBE Program Manager  
(408) 321-5874 or [liz.brazil@vta.org](mailto:liz.brazil@vta.org)

**WETA:** Lauren Gularte  
Admin/Policy Analyst, (415) 364-3188 or  
[gularte@watertransit.org](mailto:gularte@watertransit.org)

**WestCAT:** Laura Calica  
DBE Liaison Officer  
(510) 724-3331 Ext. 113 or  
[laura@westcat.org](mailto:laura@westcat.org)





**YOU ARE INVITED  
TO THE BUSINESS OUTREACH COMMITTEE (BOC)  
MEET THE BUYERS  
PROCUREMENT FORUM**

**Wednesday, March 25, 2015**

**1:30 p.m. to 3:30 p.m.**

**at the Metropolitan Transportation Commission (MTC),  
101 8<sup>th</sup> Street, Oakland, California**

**(Conveniently located next to the Lake Merritt BART Station, see attached directions)**

This event will provide the opportunity for Small, Local and Disadvantaged businesses to introduce their products and services and receive information from participating San Francisco Bay Area Transit and Transportation Agencies and the following Contractors:

**Stacy and  
Witbeck**

ROBERT A.  
**BOTHMAN**  
CONSTRUCTION **B**



***MCK Services, Inc.***

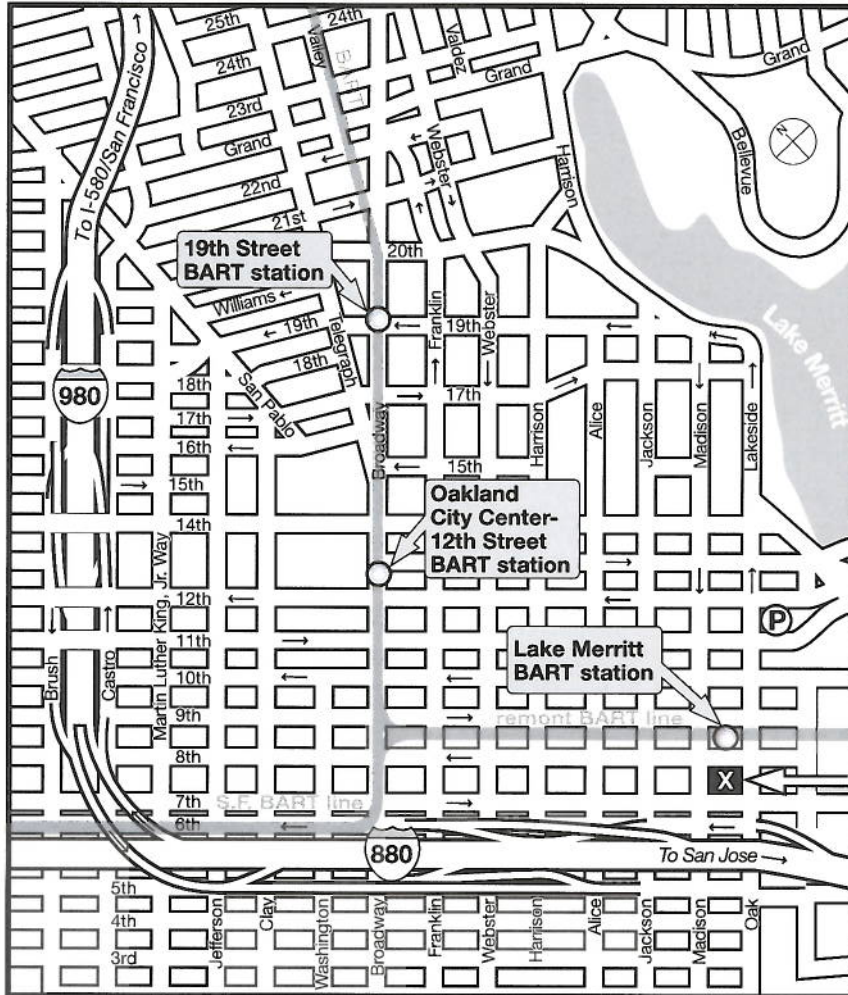
***Asphalt Paving/Resurfacing/Rehabilitation***

**Don't miss your opportunity to show your products to prospective buyers. Please complete and bring copies of the attached Business Profile Form to distribute to the buyers.**

RSVP is **not** required

# Metropolitan Transportation Commission

Joseph P. Bort MetroCenter  
101 Eighth Street, 3rd Floor  
Oakland, CA 94607



- **BART**  
Lake Merritt station
- **AC Transit**  
11 from Piedmont or Montclair; 59 or 59A from Montclair; 62 from East or West Oakland; 88 from Berkeley.
- **Amtrak**  
C.L. Dellums Station (2nd and Alice Streets)
- **Auto**  
From the San Francisco Bay Bridge, take I-580 East, exit onto I-980 West, merge onto I-880 South, take the Jackson St. exit and go straight on 5th, left on Oak and left on 8th.  
  
Travelling south on I-980, merge onto I-880 South, take the Jackson St. exit and go straight on 5th, left on Oak and left on 8th.  
  
Travelling north on the Nimitz Freeway (I-880), take the Oak St. exit.
- **Parking**  
Oakland Museum – 11th and Oak (underground parking, entrance on Oak between 11th and 12th). Metered parking is available on streets in the MetroCenter vicinity. Parking lot behind the MetroCenter is for BART patrons only.
- **From the Oakland Airport**  
AIR BART shuttle from Oakland Airport to BART is near baggage claim, but outside terminal. Cost is \$3 (no change given). Take BART to Lake Merritt station.

For detailed transit directions, visit: [www.511.org](http://www.511.org)

## Business Profile Form

Please complete this form and attach a business card, line card, brochure, and/or other marketing materials that describe your company's products and/or services and bring it with you to the Meet the Buyers Event to help inform Bay Area agencies and contractors about your business.

Name of Company: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

My firm is a: ☐ Manufacturer ☐ Retailer ☐ Wholesaler

Check all that apply: ☐ DBE ☐ SBE ☐ WBE ☐ MBE ☐ LBE

Certified By (list all applicable certifying agencies):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Describe the major type(s) of product(s) or services your firm provides:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Suggestion: Make several copies of completed form and distribute to buyers.**





## **Business Outreach Committee (BOC) Contracting Newsletter #28, Summer 2015**

*The goal of the BOC is to assist small and disadvantaged companies in doing business with Bay Area transportation agencies.*

### **UPCOMING CONTRACTING OPPORTUNITIES (SELECTED AGENCIES):**

#### **ALAMEDA-CONTRA COSTA TRANSIT DISTRICT (AC TRANSIT)**

Division 2 Transit Building Roof Replacement Construction	Issue Date*: July 2015	Est.\$: TBD
Division 6 Roof Replacement Construction	Issue Date*: July 2015	Est.\$: TBD
Division 3 Bid Package 1 – Fueling & Soils Remediation	Issue Date*: Aug 2015	Est.\$: TBD
Facilities Rehab, Construction, Division 3	Issue Date*: Aug 2015	Est.\$: TBD
Division 2 Storm Drain Construction	Issue Date*: Sept 2015	Est.\$: TBD
General Office Weatherization Construction	Issue Date*: Sept 2015	Est.\$: TBD
Bus Rapid Transit Bid Package 3	Issue Date*: Oct 2015	Est.\$: TBD

#### **ALAMEDA COUNTY TRANSPORTATION COMMISSION (ACTC)**

I-680 Northbound HOV/Express Lane Project	Issue Date*: July 2015	Est. \$: TBD
East Bay Greenway Maintenance: 75th Ave to 85th Ave, Oakland	Issue Date*: July 2015	Est. \$: TBD
Overall Monitoring Services	Issue Date*: Summer 2015	Est. \$: TBD

#### **GOLDEN GATE BRIDGE, HIGHWAY & TRANSPORTATION DISTRICT (GGBHTD)**

Golden Gate Bridge Physical Suicide Deterrent System & Wind Retrofit	Issue Date*: Summer 2015	Est.\$: 62M
Toll Plaza Administration Building Roof and HVAC Renovations	Issue Date*: Winter 2015	Est.\$: 1.75M
San Rafael Employee Parking Lot Improvements	Issue Date*: TBD	Est.\$: 1.5M
Bus Stop Shelter & Signage Improvements	Issue Date*: TBD	Est.\$: 500K
South Approach and Pier Security Improvements	Issue Date*: TBD	Est.\$: 4M
Sausalito Ferry Terminal Gangway & Pier Improvements, Construction	Issue Date*: TBD	Est.\$: 10M
San Francisco Ferry Terminal Gangway & Pier Improvements, Construction	Issue Date*: TBD	Est.\$: 20M

#### **METROPOLITAN TRANSPORTATION COMMISSION (MTC)**

375 Beale Street Mover Services RFP	Issue Date*: July 2015	Est. \$: TBD
Bridgeyard Building Seismic Retrofit	Issue Date*: TBD	Est. \$: TBD
I-880 Integrated Corridor Management (ICM)	Issue Date*: TBD	Est. \$: TBD
Transit Oriented Workforce Housing Assessment	Issue Date*: TBD	Est. \$: TBD

#### **SAN FRANCISCO BAY FERRY (WETA)**

Vessel Quarter Life Refurbishment (M/V Vallejo), RFP	Issue Date*: Aug 2015	Est. \$: TBD
Harbor Bay Ferry Terminal Piling Replacement, IFB	Issue Date*: Aug 2015	Est. \$: TBD
Vessel Midlife Refurbishment Phase 2 ( M/V Peralta), RFP	Issue Date*: Aug 2015	Est. \$: TBD
Selective Catalyst Reduction (SCR) System Overhaul – 4 Vessels, RFP	Issue Date*: Aug 2015	Est. \$: TBD
Vessel Major Component Overhaul (M/V Intintoli), RFP	Issue Date*: Aug 2015	Est. \$: TBD
Vessel Construction Management Services (M/V Vallejo replacement, Richmond vessel), RFQ	Issue Date*: Aug 2015	Est. \$: TBD
Central Bay Operations & Maintenance Facility Construction, RFP	Issue Date*: Summer 2015	Est. \$: TBD
San Francisco Bay Ferry Ridership Database, RFP	Issue Date*: Summer 2015	Est. \$: TBD

#### **SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)**

Bus Stop Pavement/Duckout Improvements	Issue Date*: Sept 2015	Est. \$: TBD
Capitol Expressway Pedestrian Connection to Eastridge	Issue Date*: Oct 2015	Est. \$: TBD
Pavement Management - North Yard	Issue Date*: Oct 2015	Est. \$: TBD
Younger Half-Grand and LRT Crossovers & Switches	Issue Date*: Nov 2015	Est. \$: TBD
Tasman Drive Sanitary Sewer	Issue Date*: Nov 2015	Est. \$: TBD
GFCI Switchgear Testing & Repair	Issue Date*: Nov 2015	Est. \$: TBD
Santa Clara Pedestrian Underpass Extension	Issue Date*: Dec 2015	Est. \$: TBD

**ALL DATES SUBJECT TO CHANGE. PLEASE VISIT AGENCY WEBSITES FOR MORE INFORMATION.**

## UPCOMING EVENTS



### **"MEET THE PRIMES"**

Friday, October 2<sup>nd</sup>, 2015

Napa County Transportation & Planning Agency (NCTPA)  
625 Burnell Street, Napa, CA 94559



The Business Outreach will be hosting its annual "Meet the Primes" event. Businesses are encouraged to attend to connect with prime contractors and learn about upcoming projects and opportunities.

*More information, including how to register for this event, will follow.*

### **WHERE TO FIND CONTRACTING OPPORTUNITIES:**

AC TRANSIT: <a href="http://www.actransit.org/purchasing/">http://www.actransit.org/purchasing/</a>	NCTPA: <a href="http://www.nctpa.net/procurement-opportunities">http://www.nctpa.net/procurement-opportunities</a>
ALAMEDA CTC: <a href="http://www.alamedactc.org/app_page_s/view/3999">http://www.alamedactc.org/app_page_s/view/3999</a>	SAMTRANS/CALTRAIN: <a href="http://procurement.samtrans.com">http://procurement.samtrans.com</a>
BART: <a href="http://www.bart.gov/about/business/procurement/">http://www.bart.gov/about/business/procurement/</a>	SFMTA: <a href="http://sfgsa.org/index.aspx?page=4767">http://sfgsa.org/index.aspx?page=4767</a>
COUNTY CONNECTION: <a href="http://countyconnection.com/about/business-advertising/procurements/">http://countyconnection.com/about/business-advertising/procurements/</a>	SOLTRANS: <a href="http://www.soltransride.com/procurement">http://www.soltransride.com/procurement</a>
RIO VISTA: <a href="http://riovistacity.com">http://riovistacity.com</a>	TJPA: <a href="http://transbaycenter.org/tjpa/doin-business-with-the-tjpa">http://transbaycenter.org/tjpa/doin-business-with-the-tjpa</a>
GGBHTD: <a href="http://www.goldengate.org/contracts/">http://www.goldengate.org/contracts/</a>	VTa: <a href="http://www.vta.org/procurement/solicitations/">http://www.vta.org/procurement/solicitations/</a>
MARIN TRANSIT: <a href="http://www.marintransit.org/purchasing.html">http://www.marintransit.org/purchasing.html</a>	WETA: <a href="https://watertransit.org/contract_opportunities.aspx">https://watertransit.org/contract_opportunities.aspx</a>
MTC: <a href="http://procurements.mtc.ca.gov">http://procurements.mtc.ca.gov</a>	WESTCAT: <a href="http://www.westcat.org">http://www.westcat.org</a>

**The BOC wants your help to make sure this newsletter brings you the information you want. Send suggestions and topics to improve newsletter content to:**

**Kristina Martinez, County Connection**

**[kmartinez@countyconnection.com](mailto:kmartinez@countyconnection.com)**

## **AGENCY CONTACTS**

**AC Transit:** Phillip McCants  
Contracts Compliance Officer  
(510) 577-8815 or [pmccants@actransit.org](mailto:pmccants@actransit.org)

**Alameda CTC:** Seung Cho  
Contracting, Administration, and Fiscal  
Resource Manager  
(510) 208-7472 or [scho@alamedactc.org](mailto:scho@alamedactc.org)

**BART:** Ron Granada  
Senior Civil Rights Officer  
(510) 464-6103 or [RGranad@bart.gov](mailto:RGranad@bart.gov)

**County Connection:** Kristina Martinez  
Civil Rights Administrator  
(925) 680-2031 or  
[vassallo@countyconnection.com](mailto:vassallo@countyconnection.com)

**GGBHTD:** Aretmise Davenport  
DBE Program Analyst  
(415) 257-4581 or  
[adavenport@goldengate.org](mailto:adavenport@goldengate.org)

**Marin Transit:** Amy Van Doren  
Director of Policy & Legislative Programs  
(415) 226-0859 or  
[avandoren@marintransit.org](mailto:avandoren@marintransit.org)

**MTC:** Denise Rodrigues  
Contract Compliance Manager  
(510) 817-5897 or [drodri@mtc.ca.gov](mailto:drodri@mtc.ca.gov)

**NCTPA:** Antonio Onorato  
Manager of Finance, Grants, and  
Administration  
(707) 259-8779 or [aonorato@nctpa.net](mailto:aonorato@nctpa.net)

**SamTrans/Caltrain:** Elke Campbell  
DBE Officer  
(650) 508-7939 or  
[campbelle@samtrans.com](mailto:campbelle@samtrans.com)

**SFMTA:** Sheila Evans Peguese  
Contract Compliance Officer  
(415) 701-4436 or  
[sheila.evans-pequese@sfmta.com](mailto:sheila.evans-pequese@sfmta.com)

**SolTrans:** Gary Albright, Program Analyst II,  
(707) 736-6986 or  
[gary@soltransride.com](mailto:gary@soltransride.com)

**TJPA:** Eddie Phillips  
Contract Compliance Officer  
(415) 597-4041 or  
[EPhillips@TransbayCenter.org](mailto:EPhillips@TransbayCenter.org)

**VTa:** Liz Brazil  
DBE Program Manager  
(408) 321-5874 or [liz.brazil@vta.org](mailto:liz.brazil@vta.org)

**WETA:** Lauren Gularte  
Admin/Policy Analyst, (415) 364-3188 or  
[gularte@watertransit.org](mailto:gularte@watertransit.org)

**WestCAT:** Laura Calica  
DBE Liaison Officer  
(510) 724-3331 Ext. 113 or  
[laura@westcat.org](mailto:laura@westcat.org)

# SAVE THE DATE: JULY 23, 2015

Enhancing the growth potential of small business

**What:** Caltrans District 4 Jt. Professional Liaison — Calmentor Program Quarterly Meeting

**When:** July 23, 2015, 1:00 p.m. to 3:00 p.m.

**Where:** Caltrans District 4 Office, 111 Grand Avenue, 15th Floor, Park View Room, Oakland.

## Meeting Agenda

- ⇒ Caltrans District 4 Look Ahead:
  1. On-Call Hydraulic Engineering District Wide Contract
  2. On-Call Environmental Support Services- South Region
  3. On-Call Environmental Support Services – East Region
- ⇒ DPAC: Contracting Rules and Regulations Update
- ⇒ Local Public Agency Partner Updates
- ⇒ Firm 5-Minute Marketing Pitches
- ⇒ Informal Networking Session with Senior Public Transportation Agency Managers, Mentor Firms & Protégé Firms

---

*The Joint Professional Liaison—Calmentor Program Quarterly Meeting facilitates networking opportunities with senior public transportation agency managers.*

---

**Register online today: <http://goo.gl/forms/mUhFLQyZXx>**







## OWNERS' NIGHT

### *Capital Program Updates*

#### Confirmed Owners *as of June 20th*

CALTRANS  
CALTRAIN  
Contra Costa Transportation Authority  
County of Alameda General Services  
Metropolitan Transportation Commission  
San Francisco Public Utilities Commission  
San Francisco Public Works  
State of CA - Dept. of Water Resources

#### Join us to learn about:

- Upcoming projects
- Opportunities for construction, engineering and professional services
- Small business opportunities

#### Gold Sponsors



#### OWNERS' NIGHT

Wednesday  
July 15, 2015  
5:30 - 8:00 pm

5:30 - 8:00 pm  
Networking, Exhibits,  
Light Buffet Dinner

#### Location:

Union Square Marriott  
480 Sutter Street (at Powell)  
San Francisco, CA

*Valet Parking available  
BART / MUNI—Powell St. Station*

#### Cost:

\$65/person CMAA Members  
\$85/person Non-Members

After July 10  
\$105/person Non-members

**Pre Registration Required  
Guarantee Admission**

On-line registration /  
pay by credit card at  
[www.cmaanorcal.org](http://www.cmaanorcal.org)

CMAA Northern California Chapter  
Construction Management Association of America  
[www.cmaanorcal.org](http://www.cmaanorcal.org)

Date: September 23, 2015  
W.I.: 6840  
Referred by: BAIFA

ABSTRACT

BAIFA Resolution No. 11

This resolution adopts a Construction Project Small Business Enterprise (SBE) Program (“Program”) to assist SBE firms in participating in BAIFA’s contracts for locally funded formal construction projects. The Program is intended to provide economic opportunity for the residents and businesses, and stimulate economic development in the San Francisco Bay region.

Discussion of this action is contained in the Executive Director’s Memorandum to the Authority, dated September 16, 2015.



Date: September 23, 2015  
W.I.: 6840  
Referred by: BAIFA

BAY AREA INFRASTRUCTURE FINANCING AUTHORITY  
RESOLUTION NO. 11

WHEREAS, the Metropolitan Transportation Commission (“MTC”) and the Bay Area Toll Authority (“BATA”) have executed a joint exercise of powers agreement dated as of August 1, 2006, as amended, September 28, 2011 and March 27, 2013 (“the Agreement”), which creates and establishes the Bay Area Infrastructure Financing Authority (“BAIFA”); and

WHEREAS, BAIFA issues and oversees construction contracts from time to time in connection with the Bay Area express lanes; and

WHEREAS, BAIFA wishes to assist Small Business Enterprise (SBE) firms in participating in BAIFA’s construction contracts, to provide economic opportunity for the residents and businesses, and stimulate economic development in the San Francisco Bay region; and

WHEREAS, providing assistance to SBE firms could increase competition for such contracts potentially allowing BAIFA to complete projects at a lower overall cost; and

WHEREAS, BAIFA has developed a Construction Project SBE Program (“Program”) for its construction projects to assist SBE firms in participating in BAIFA’s construction contracts, and

WHEREAS, the Program allows for a bid preference to be applied to locally funded construction projects when the requirements for participation are met; and

WHEREAS, the Program describes the monitoring and oversight requirements to ensure that SBE participation is achieved; now, therefore, be it further

RESOLVED, that BAIFA hereby adopts the Program described in Attachment A; and be it

RESOLVED, that the Executive Director is hereby authorized to revise Attachment A as may be required from time to time due to changes in law, regulation or procedures relating to the Program and to take such actions as may be necessary or appropriate to implement the Program; and be it further

RESOLVED, that this Resolution shall take effect from and after its adoption.

BAY AREA INFRASTRUCTRE FINANCING  
AUTHORITY

---

Dave Cortese, Chair

The above resolution was entered into by the  
Bay Area Infrastructure Financing Authority  
at a regular meeting of the Authority held in  
Oakland, California, on September 23, 2015.

Date: September 23, 2015  
W.I.: 6840  
Referred by: BAIFA

Attachment A  
BAIFA Resolution No. 11



**Bay Area Infrastructure  
Financing Authority**

**Construction Project  
Small Business Enterprise  
(SBE) Program**

## Table of Contents

<b>OBJECTIVES/POLICY STATEMENT .....</b>	<b>1</b>
<b>SUBPART A – GENERAL REQUIREMENTS.....</b>	<b>2</b>
A.1 Objectives .....	2
A.2 Applicability .....	2
A.3 Definitions.....	2
<b>SUBPART B - ADMINISTRATIVE REQUIREMENTS.....</b>	<b>5</b>
B.1 Program Updates.....	5
B.2 SBELO and Program Implementation .....	5
B.3 Certification Standards and SBE Directory .....	5
B.4 Record Keeping Requirements .....	6
B.5 Public Outreach.....	6
<b>SUBPART C – BID PREFERENCE AND SBE PARTICIPATION.....</b>	<b>7</b>
C.1 Bid Preference.....	7
C.2 Maintaining Participation.....	7
C.3 Substitution of Listed Subcontractors .....	7
C.4 Joint Venture Agreements.....	8
C.5 Counting SBE Participation.....	9
<b>SUBPART D – COMPLIANCE AND ENFORCEMENT.....</b>	<b>10</b>
D.1 Monitoring .....	10
D.2 SBE Utilization Report .....	10
D.3 Program Enforcement .....	11

## **OBJECTIVES/POLICY STATEMENT**

In order to provide economic opportunity for the residents and businesses, and stimulate economic development in the San Francisco Bay Area Region, the Bay Area Infrastructure Financing Authority (BAIFA) has established a Construction Project Small Business Enterprise (SBE) Program (“Program”) for its construction contracts to assist SBE firms in participating in BAIFA’s construction contracts. This Program is aimed at using the power of the public purse to stimulate economic development.

The objectives of the Program include:

1. To increase the number of certified SBEs participating in non-federally funded construction contracts;
2. To increase overall competition on non-federally-funded construction contracts potentially allowing for the completion of projects at a lower overall cost;
3. To create a level playing field on which SBEs can compete fairly on non-federally funded construction contracts;
4. To confirm that only firms (prime or subcontractor) certified by the State of California as SBEs per the requirements listed at <http://www.dgs.ca.gov/pd/Programs/OSDS/SBEEligibilityBenefits.aspx> are eligible for the bid preference allowed under the Program; and
5. To help remove barriers to the participation of SBEs in non-federally funded construction contracts.

Mamie Lai, Director of Administrative Services Section (ADS), has been designated as the SBE Liaison Officer (SBELO). In that capacity, Mamie Lai is responsible for implementing all aspects of the Program.

## **SUBPART A – GENERAL REQUIREMENTS**

### **A.1 Objectives**

The objectives are found in the policy statement on the first page of this Program.

### **A.2 Applicability**

BAIFA is a recipient of local funds. As a condition of this assistance, and in compliance with Proposition 209, BAIFA shall implement this Program without consideration of race, sex, or ethnicity. This Program sets forth the policies and procedures to be implemented by BAIFA to confirm that all small businesses have the maximum opportunity to participate in BAIFA non-federally funded construction contracts.

When a non-federally funded construction contract is awarded to a Contractor based on the bid preference described in C.1 of this Program, the Contractor must adhere to all the requirements included in this Program.

This Program applies solely to non-federally funded construction contracts with a budget in excess of \$25,000. This Program does not apply to construction contracts with a budget of \$25,000 or less or to contracts with federal funding.

### **A.3 Definitions**

BAIFA adopts the following definitions listed below for this Program:

1st Tier Subcontractor – A subcontractor to a Contractor.

ADS – Administrative Services Section.

BAIFA – Bay Area Infrastructure Financing Authority.

Bid – The offer of the bidder for the construction project when completed and submitted in response to an IFB on the prescribed bid form.

Bid Preference – The application of a percentage discount to the total amount of a bid submitted by a Bidder for a Contract solely for the purpose of bid comparisons when determining the lowest and best bid, or lowest responsible bid. The use of a bid preference for bid comparison does not alter the total amount of the bid submitted by a bidder or the contract executed based on a bid.

Business Suppliers – An individual or business entity that makes available a certain commodity for meeting demand or for purchase at a given price.

Commercially Useful Function (CUF) – A SBE performs a commercially useful function when it is responsible for the execution of the work of the contract and is carrying out its

responsibilities by actually performing, managing, and supervising the work involved. A SBE does not perform a CUF if it does not perform or exercise responsibility for at least 60 percent of the total cost of its contract than would be expected on the basis of normal industry practice for the type of work involved. If, in BAIFA's judgment, the SBE does not perform a CUF in the transaction, no bid preference will be awarded.

Community Based Organization (CBO) – A non-government agency created to provide training, employment or community assistance.

Contractor/Vendor – The individual, partnership, corporation, joint venture or other legal entity entering into a contractual agreement with BAIFA.

Invitation for Bid (IFB) – Invitation for Bid issued by BAIFA for construction services.

Manufacturer – A firm that operates or maintains a factory or establishment that produces on the premises the materials or supplies purchased.

Monitoring – The system established to measure compliance with the Program.

Post Award – The meeting held between BAIFA and Contractors after the award of a construction project and before the issuance of a notice to proceed. Post award meetings occur at the request of either BAIFA or Contractor.

Program – The BAIFA Construction Project SBE Program.

Public works contract – As further defined in California Public Contract Code Section 22002, public works generally includes such work as construction, reconstruction, erection, alteration, renovation, improvement, and repair including painting and repainting of publicly-owned property. It does not include maintenance work such as routine or recurring work for protection or preservation, minor painting, or landscape maintenance.

Small Business Enterprise (SBE) – Firms certified by the State of California as SBEs per the requirements listed at

<http://www.dgs.ca.gov/pd/Programs/OSDS/SBEligibilityBenefits.aspx>.

SBE Directory – The list of firms certified by the State of California which is used by BAIFA and its Contractors to identify SBE potential contractors and subcontractors and suppliers. The SBE directory can be accessed at the website link at <http://www.bidsync.com/DPXBisCASB>.

SBELO – Small Business Enterprise Liaison Officer.

Subcontractor - The individual, partnership, corporation or other legal entity that contracts to perform part of or all of the obligations of another's contract.

Subrecipient – Any agency that receives funds from BAIFA via statute, an interagency, cooperative or funding agreement.



Web-based Diversity Tracking System - The diversity software provided by BAIFA to Contractors accessible from any internet browser on any platform or operating system.

## **SUBPART B - ADMINISTRATIVE REQUIREMENTS**

### **B.1 Program Updates**

The SBELO or designee will provide the BAIFA with updates representing significant changes in the Program.

### **B.2 SBELO and Program Implementation**

BAIFA has designated the following individual as its SBE Liaison Officer (SBELO):

Mamie Lai, Director of Administrative Services Section  
Metropolitan Transportation Commission  
101 8<sup>th</sup> Street, Oakland, CA 94607  
Phone: (510) 817-5860, Email: [mlai@mtc.ca.gov](mailto:mlai@mtc.ca.gov)

In that capacity, the SBELO is responsible for implementing all aspects of the Program and ensuring that BAIFA complies with all provisions of the Program. The SBELO has direct, independent access to the Executive Director concerning Program matters.

The SBELO is responsible for developing, implementing and monitoring the SBE program, in coordination with other appropriate officials. The SBELO has staff to assist in the administration of the Program. The duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required.
2. Reviews third party contracts and purchase requisitions for compliance with the Program.
3. Works with ADS staff to determine if a Contractor has achieved the requirements for the bid preference.
4. Confirms that bid notices and Invitation for Bid are available to SBEs in a timely manner.
5. Identifies contracts and procurements so that SBE preferences are included in construction projects.
6. Analyzes BAIFA's progress toward SBE attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Advise the Executive Director and/or BAIFA Commissioners on SBE matters and achievement.
9. Provides outreach to SBEs and community based organizations to advise them of opportunities and technical assistance to SBEs to assist in bid preparation and obtaining bonding and insurance.

### **B.3 Certification Standards and SBE Directory**

BAIFA does not administer a SBE certification program. Only firms (prime or subcontractor) that are certified by the State of California as SBEs per the requirements

listed at <http://www.dgs.ca.gov/pd/Programs/OSDS/SBEligibilityBenefits.aspx> are eligible for the bid preference allowed under the Program.

The State of California SBE Directory can be accessed at <http://www.bidsync.com/DPXBisCASB>.

#### **B.4 Record Keeping Requirements**

When a non-federally funded construction contract is awarded to a Contractor based on the bid preference listed in Subpart C, Section C.1 of this Program, ADS will monitor the contract as per Subpart D, to confirm that the Contractors are in compliance with the requirements of the Program. ADS staff will report SBE participation to the BAIFA via reports generated from the web-based diversity tracking system.

BAIFA will require Contractors to maintain records and documents of payments to all subcontractors (SBEs and non-SBEs) for four years following the completion of the contract. BAIFA will perform interim reviews of contract payments to SBEs. Payments to SBE subcontractors will be reviewed to verify that the actual amount paid to SBE subcontractors equals or exceeds the dollar amounts stated in the schedule of SBE participation included in the contract.

#### **B.5 Public Outreach**

BAIFA will participate in outreach events with other San Francisco Bay Area transportation agencies and community based organizations to leverage its efforts to assist SBE firms. BAIFA will also participate in Caltrans' CalMentor Protégé Program for small business development.

## **SUBPART C – BID PREFERENCE AND SBE PARTICIPATION**

### **C.1 Bid Preference**

BAIFA will allow a bid preference applied as a percentage discount to the total amount of a bid submitted by a Bidder for a contract solely for the purpose of bid comparisons when determining the lowest and best bid, or lowest responsible bid. The use of a bid preference for bid comparison does not alter the total amount of the bid submitted by a bidder or the contract executed based on a bid. The bid preference will be applied to all locally-funded construction contracts with a budget in excess of \$25,000, based on the level of participation proposed prior to the award of a contract. Bid preferences will be applied as follows after BAIFA verifies responsiveness requirements have been met:

- A discount of five percent (5%) to the total amount bid, when the bidder meeting specifications is a certified SBE and is performing at least forty percent (40%) of the work, **or**
- A discount of five percent (5%) to the total amount bid, when the bidder is a non-SBE prime Contractor that commits to subcontract with SBE firms for at least forty percent (40%) of the work in its bid submittal.

ADS staff will monitor BAIFA's Program to confirm that the Contractors are in compliance with the requirements the Program. The report of SBE awards, commitments and payments will be generated from the web-based diversity tracking system.

### **C.2 Maintaining Participation**

Once a project begins, it is important to achieve and maintain the participation that allowed the bid preference. Prime Contractors must maintain the SBE percentages indicated in the bid documents at the time of bid submittal throughout the term of the contract.

If BAIFA modifies the original scope of work, the Contractor must make reasonable efforts to maintain the SBE participation for the bid preference. In the event of change orders, ADS staff may use their discretion to allow adjustments to SBE percentages for the change order portion of the work. Upon request, BAIFA staff will help firms to determine methods of maintaining percentages.

Should the prime Contractor fail to maintain the SBE participation listed at the time of bid submittal, BAIFA reserves the right to enforce Contractors' compliance with this Program through one or more of the remedies included in Section D.3 of this Program.

### **C.3 Substitution of Listed Subcontractors**

Substitution of listed subcontractors shall be in accordance with Public Contracts Code Section 4107. In addition, the SBELO must concur in any decision to permit substitution of a SBE subcontractor(s) when the award was made on the basis of the bid preference listed in Section C.1 above.

## **C.4 Joint Venture Agreements**

A business that is bidding or competing for BAIFA contracts may associate with a certified SBE business to compete for contracts as a joint venture. A joint venture should be between two entities with the same discipline or license as required by BAIFA. Joint ventures receive a bid preference depending upon the SBE percentage of participation as set forth in Section C.1 of Subpart C, Bid Preference and SBE Participation. The parties must agree to enter into the relationship for at least the term of the project.

### Basic Elements of the Joint Venture Agreement

A Joint Venture must submit a Joint Venture Management Plan and/or a Joint Venture Agreement in their bid. Each agreement or management plan must include, but is not limited to the following:

- Detailed explanation of the financial contribution of each partner;
- List of the personnel and equipment used by each partner;
- Detailed breakdown of the responsibilities of each partner;
- Explanation of how the profits and losses will be distributed;
- Description of the bonding capacity of each partner; and
- Management or incentive fees available for any one of the partners (if any).

### Commercially Useful Functions (CUF) Performed by Joint Venture Partners

Each JV partner must perform a “commercially useful function” as that term is defined herein. A SBE that relies on the resources and personnel of a non-SBE firm will not be deemed to perform a CUF.

### Joint Venture License Requirements

Each joint venture partner must possess licenses appropriate for the discipline for which a bid is being submitted. If a joint venture is bidding on a single trade project, at the time of bid submittal, each of the joint venture partners must hold a Joint Venture License and possess the requisite specialty license for that trade bid.

### Delineation of Joint Venture Work

The SBE partner must clearly define the portion of the work to be performed during the project. This work must be of the similar type of work the SBE partner performs in the normal course of its business. The Joint Venture Participation Form must specify the project bid items to be performed by each individual joint venture partner. Lump sum joint venture participation is not acceptable.

### Responsibilities of the SBE Joint Venture Partners

The SBE partner must share in the ownership, control, management responsibilities, risks, and profits of the joint venture in proportion with level of participation in the project; the SBE partner must perform work that is commensurate with its experience. The SBE partner

must use its own employees and equipment to perform its portion of the project. Only the portion of the total dollar value of the contract equal to the distinct, clearly-defined portion of the work of the contract that the SBE performs with its own forces will be counted toward SBE participation

#### Application of Bid Discounts for Joint Venture Agreements

To be eligible for a bid discount, at the time of bid submittal, each joint venture partner must each have the license that is appropriate for the project as required in the contract document of the contract award authority. Unless permission is granted by the SBELO or designee for good cause shown, based on sudden and unexpected necessity, the following actions are not permitted: i) the non-SBE partner performing work for the SBE partner; ii) leasing of equipment or property by the SBE partner from the non-SBE partner; and iii) the hiring of the non-SBE partner's employees by the SBE partner.

#### Other Joint Venture Conditions

The SBELO or a designee must first approve the SBE Joint Venture Agreement/Management Plan before the joint venture is eligible for a bid preference. Any changes must also receive the prior approval of the SBELO or designee. In addition to any other information required by conditions specified herein, each SBE joint venture must provide upon request, cancelled checks and any other financial records to BAIFA.

### **C.5 Counting SBE Participation**

SBEs may perform as Contractors, or 1st tier subcontractors. Only the value of the work to be performed by the SBE, including materials and supplies, will be counted toward SBE participation.

A SBE must perform a commercially useful function, i.e., must be responsible for the execution of a distinct element of the work and must carry out its responsibility by actually performing, managing and supervising the work. If a SBE 1<sup>st</sup> Tier Subcontractor does not perform or exercise responsibility for at least sixty percent (60%) of the total cost of its contract with its own work force, or if the SBE subcontracts a greater portion of work of a contract than would be expected on the basis of normal industry practice, then it will be presumed that the SBE is not performing a CUF.

Credit for a SBE vendor of materials or supplies is limited to sixty percent (60%) of the amount to be paid to the vendor for the materials or supplies unless the vendor manufactures or substantially alters the goods. Credit for SBE brokers is limited to only the fees and commissions portion of the amount paid. All other firms receive 100% credit, less work subcontracted by the SBE to non-SBE firms.

During the term of a contract, work performed by SBE firms whose certification has expired will continue to be counted toward the SBE participation.

## **SUBPART D – COMPLIANCE AND ENFORCEMENT**

### **D.1 Monitoring**

When a contract is awarded to a Contractor based on the bid preference listed in Subpart C, Section C.1 of this Program, ADS will monitor the contract as per Subpart D, to confirm that the Contractors are in compliance with the requirements of the Program. ADS staff will report SBE participation to the appropriate BAIFA via reports generated from the web-based diversity tracking system.

BAIFA will require Contractors to maintain records and documents of payments to all subcontractors (SBEs and non-SBEs) for four years following the performance of the contract. BAIFA will perform interim reviews of contract payments to SBEs. Payments to SBE subcontractors will be reviewed to verify that the actual amount paid to SBE subcontractors equals or exceeds the dollar amounts stated in the schedule of SBE participation included in the contract.

Subrecipients may be required to submit verification of the SBE Program adopted for non-federal funds allocated construction projects and provide annual reports of SBE utilization on construction projects achieved under the adopted program.

BAIFA has implemented the following monitoring mechanisms to monitor Contractor compliance with Program requirements:

1. The SBELO or designee will verify that work committed to SBEs at contract award is actually performed by the SBEs.
2. The SBELO or designee will keep a running tally of actual payments to SBE firms for work committed to them at the time of contract award with the use of BAIFA's web-based diversity tracking system.

For public works projects valued over \$1,000.00, the State's Labor Code requires Contractors to pay their employees in accordance with general prevailing wages. The prime Contractor and all subcontractors including truckers and owner/operators are required to submit certified payroll records in accordance with Labor Code section 1776 upon request from BAIFA. Failure to submit certified payroll records could result in withholding of progress payment(s).

Upon request, Contractors will provide BAIFA with executed copies of its subcontractor agreements to verify dollar amounts stated for all SBEs.

### **D.2 SBE Utilization Report**

Contractors are required to submit monthly SBE Utilization Reports electronically to BAIFA ADS. These monthly reports shall be submitted electronically and the Contractor will document the dollar value of payments to SBE firms and the percentage of the contract completed. BAIFA will monitor the contract for compliance with SBE requirements.

This system is web-based, accessible from any computer via the internet. Each Contractor and subcontractor will receive an email providing them with Log On identification, and a temporary password and instructions on how to use the system. Training will also be provided upon request. Contractor will include this requirement in all of its subcontracts and purchase orders when required to provide or verify SBE utilization documentation.

If the SBE Utilization Reports indicate potential problems, such as a failure to comply with the contract SBE participation, the Contractor shall meet with the BAIFA SBELO or designee to address any deficiencies and discuss appropriate corrective actions. When the Contract completion reaches 50% and the SBE participation completed is less than 50%, a detailed report of the reasons why must be submitted to BAIFA stating a plan to reach the SBE participation by Contract completion.

Prior to final payment, Contractor will be required to submit a final SBE Utilization Report by selecting the "Final Audit" reporting designation within the web-based diversity tracking system. In addition to payments to the SBEs, the final report must include payments to and other information about all other businesses, including non-SBE subcontractors, suppliers of materials and others.

### **D.3 Program Enforcement**

BAIFA has available several remedies to enforce compliance of the Program requirements contained in its contracts, including, but not limited to, the following:

1. Breach of contract action, pursuant to the terms of the IFB and contract.
2. Assessment of a penalty of up to one and one half times the amount that should have been awarded to SBE(s).
3. Termination of Contractor's performance of work under the contract.
4. Any other remedy available to BAIFA in the contract or the relevant IFB.