APPENDIX B.
Utilization and Case Study Data Collection

The utilization analysis in the disparity study examines the percentage of contract dollars going to minority- and women-owned firms on GDOT contracts awarded from January 1, 2009 through June 2011. Federally-funded and state-funded construction and engineering-related contracts were the focus of the research. The analysis counted DBE-certified as well as non-certified firms when calculating utilization of minority- and women-owned firms, and also examined utilization of firms not owned by minorities and women (“majority-owned firms”). Therefore, BBC sought sources of GDOT contract data that would consistently include prime contractors and subcontractors regardless of DBE certification status. (DBE utilization reports alone were not sufficient for this analysis as non-DBE subcontractors are not recorded.)

Beginning with contracts awarded in 2009, GDOT required that all subcontractors be identified and registered with GDOT. GDOT also requires subconsultants working on engineering-related contracts to be identified and registered. Because these GDOT contract data sources identify subcontractors without regard to DBE certification status, for both federally- and state-funded contracts, they were well-suited for the utilization data analysis.

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

A. Utilization data for construction contracts;

B. Utilization data for engineering-related contracts;

C. Contract case study data; and

D. GDOT review.

A. Utilization Data for Construction Contracts

Data request. BBC requested that GDOT provide contract information from the TRNSPORT database system and the TPRO project management system for construction contracts awarded by GDOT and by local agencies during the study period.

GDOT provided the following information for construction contracts awarded during the January 1, 2009 through June 30, 2011 study period:

- Contract ID;
- TRNSPORT Project ID;
- TPRO Project ID;
- Contract letting number;
- Contract award date;
- TPRO project description;
- Name of GDOT project manager;
- Name of prime contractor awarded the work;
- Vendor ID of prime contractor awarded the work;
- Original contract award amount;
- Amended contract award amount;
- Name of subcontractors awarded the work;
- Vendor IDs of subcontractors awarded the work;
- DBE status of subcontractors awarded the work;
- County of location where contract work was performed;
- GDOT District where contract work was performed;
- Funding source of contract;
- For GDOT-let contracts, the GDOT-estimated subcontract amount for each subcontract associated with each prime construction contract; and
- For locally-let construction contracts, the name and contact information of the local agencies that administered the contract. (GDOT was only able to provide limited information on locally-let construction contracts that were not found in the TRNSPORT database).

**Contract data.** GDOT provided the prime and subcontract data BBC requested from the TRNSPORT database and the TPRO project management system. GDOT collects and enters subcontract data into TRNSPORT as of the prime contract award; subcontract agreements not in place at the time of award are not required to be entered into TRNSPORT. BBC analyzed first-tier subcontract award data provided in TRNSPORT and requested further review by GDOT district staff to collect subcontract data not entered into the TRNSPORT system.

For locally-let construction contracts with information in the TRNSPORT database, GDOT district personnel reviewed the provided contract data and provided additional prime contract and subcontract information as available. In addition, local agencies and prime contractors were contacted for certain locally-let construction contracts with data in the TRNSPORT system.
To perform the availability analysis in the disparity study, BBC requires information on general type of work involved in each GDOT prime contract and subcontract. BBC coded types of work for GDOT construction prime contracts based upon project descriptions provided in GDOT databases, interviews with contractors about their primary line of business, information about firms in Dun & Bradstreet and review by GDOT staff. BBC coded types of work involved for subcontracts based upon the primary line of business of the subcontractor (from interviews with firms and D&B data). Because Dun & Bradstreet was used as one information source on firm specialization, and D&B has developed 8-digit codes describing specific subindustries, BBC used the D&B industry classification system as a basis for assigning general types of work. GDOT staff reviewed BBC’s classifications.

**Firm data.** GDOT provided contact and other information on firms utilized as prime contractors and subcontractors on GDOT construction contracts during the study period. These data were sourced from the TRNSPORT system and the BizTrak system used by the GDOT EEO office. These data included race, gender, and ethnicity of the owners of DBE-certified businesses. GDOT provided the following information about utilized firms:

- Firm name;
- Vendor ID;
- Address and phone number;
- Firm email address;
- MBE/WBE/DBE information; and
- DBE certification status.

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

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

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1 For construction, general work types are highway and street construction; bridges and elevated highway construction; concrete work; grading, excavation, drainage and land prep; electrical and lighting; fences, guardrails and signs; painting, striping and marking; grassing and erosion control; water, sewer and utility lines; trucking and hauling; asphalt, concrete and other paving materials; other construction materials; and other construction.
MBE/WBE status. For the purposes of the study, BBC relied on race/ethnicity definitions used in the Federal DBE Program:

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

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

- Current Georgia State BizNet UCP Directory;
- Past BizNet UCP directories;
- Locally-compiled directories (City of Atlanta, City of Savannah, DeKalb County, and others);
- GDOT TRNSPORT and BizTrak databases;
- Telephone interviews with firm owners and managers;
- GDOT staff review; and
- Information from Dun & Bradstreet and other sources.

B. Utilization Data for Engineering-related Contracts

As with analysis of GDOT construction contracts, BBC examined data on GDOT federally- and state-funded engineering-related contracts to determine the percentage of contract dollars going to minority- and women-owned firms. Because GDOT does not generally provide funds for local agency engineering-related contracts, the analysis focused on GDOT-awarded contracts.

Data request. BBC requested that GDOT provide contract information from the CMIS database system and the TPRO project management system for engineering-related contracts. As with BBC’s analysis of construction contracts, the study period for engineering-related contracts was January 1, 2009 through June 30, 2011. For this time period, BBC attempted to examine each contract award and each task order, including task orders issued on previously-awarded contracts.
GDOT provided the following information for each engineering-related contract:

- Contract ID;
- Project ID;
- Contract executed date;
- TPRO project description;
- Name of prime consultant;
- CMIS Consultant ID of prime consultant;
- TRNSPORT Vendor ID of prime consultant (of those firms also found in the TRNSPORT database);
- Original contract award amount;
- Amount invoiced by prime consultant;
- Name of consultant awarded the work;
- CMIS Consultant IDs of subconsultants awarded the work;
- DBE status of subconsultants awarded the work;
- Location (county) covered by the work;
- GDOT district for the work;
- Funding source of contract; and
- If available in CMIS, subconsultant invoice amounts for each subcontract associated with each prime consulting contract. (CMIS did not include these data for task order consulting contracts, so BBC compiled this subcontract information from hard-copy records.)
**Contract data.** BBC analyzed first-tier subcontract invoice data provided by GDOT for engineering-related professional services contracts. GDOT provided prime and subcontract data from the CMIS database and the TPRO project management system. For task-order contracts, subcontract dollar amounts are not entered into CMIS; BBC compiled subcontract dollar amounts using invoice data.

BBC identified type of work involved in a prime contract primarily from the codes included in the project number GDOT assigned to each engineering-related contract. BBC identified type of work involved in a subcontract based upon the primary line of work performed by the firm (from interviews with the firm, Dun & Bradstreet information and other sources). As in coding construction contracts, BBC utilized the Dun & Bradstreet coding system for professional services work to identify work types.\(^2\) GDOT reviewed preliminary subindustry coding.

**Firm data.** GDOT maintains contact and other information for firms involved as prime consultants and subconsultants on its engineering-related contracts (in the CMIS system and in the BizTrak system used by the GDOT EEO office). GDOT provided the following information about utilized firms:

- Firm name;
- CMIS Consultant ID and TRNSPORT Vendor ID (if available);
- Address and phone number;
- Firm email address;
- Approved area classes; and
- DBE certification status.

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

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

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\(^2\) For engineering-related contracts, general work types were engineering; traffic control systems; construction management; transportation planning; environmental services; surveying and mapping; environmental and materials testing; and other engineering-related services.
**MBE/WBE status.** For engineering-related professional services firms, BBC relied on race/ethnicity definitions and prioritized certification sources in the same fashion as described above for construction contractors. BBC relied on several sources of information to determine the ownership status for firms, including:

- Current Georgia State BizNet UCP Directory;
- Past BizNet UCP directories;
- Locally-compiled directories (City of Atlanta, City of Savannah, DeKalb County, and others);
- GDOT TRNSPORT and BizTrak databases;
- Telephone interviews with firm owners and managers;
- GDOT staff review; and
- Information from Dun & Bradstreet and other sources.

**C. Contract Case Study Data**

BBC analyzed bids and proposals for construction and engineering-related professional services contracts that GDOT awarded during the study period. GDOT provided bid, proposal, and other information to the BBC study team.

**Construction bid data.** GDOT maintains electronic data for bid tabulations for the construction contracts it awards. BBC analyzed bid data for each of the 730 contract lettings for which the electronic data were available within the study period.

**Engineering-related professional services.** For engineering-related contracts, the study team collected available proposal information for 40 requests for qualifications (RFQs) during the study period, and BBC analyzed proposal data for all 40 RFQs. The RFQ information collected by the BBC study team represented all available proposal information for RFQs during the study period.

**D. GDOT Review**

There were several stages of GDOT staff review of BBC’s utilization data during the study process. The BBC study team met several times with staff at GDOT headquarters to review the data collection process, control totals and other summary results. Headquarters staff also reviewed contract and firm-level information. At key junctures in the process, GDOT district staff assisted by reviewing contract information and providing additional data on prime contracts and subcontracts.

BBC incorporated feedback from GDOT staff in the final contract and firm data used in the disparity study.

In sum, the disparity study compiled and analyzed the most comprehensive set of data on GDOT prime contracts and subcontracts assembled to date.