Caltrans Statewide Small Business Council – Meeting Record

San Joaquin Council of Governments, 555 E. Weber Ave., Stockton, CA 95202

July 19, 2013, 8:30 a.m. to 12:30 p.m.

Action/Task	Who is responsible/ presented	By when	Status
A. Meeting called to order at 8:35 a.m. by René Halverson, Assistant Director, OBEO and Council Chair.			
B. Action Items to Date	René Halverson		
Carry over from the July 2012 SBC meeting: • Provide data tracking DBE utilization performance of primes and subs, specifically, professional service (A&E) contracts.	Ramon Carlos	9/20/13	**COMPLETED** – first report distributed at this SBC meeting; reports to be provided at each SBC meeting.
Carry over from the November 2012 SBC meeting: • How many SBs have used set asides in California and across the U.S.? Outcomes?	Ramon Carlos	7/19/13	**COMPLETED** – Mr. Carlos reported 10 states have been surveyed regarding this matter; 8 have responded; only one is working with FHWA to develop a program.
Carry over from the January 2013 SBC meeting: • Coordinate events to bring Specialty Contractors and DBEs together with the primes.	Julian Camacho	9/20/13	**SUSPENDED** – there has been no action on this matter.
Carryover from the March 2013 SBC meeting: • During pre-bid conference, notify participants the DBE goal can be reached through purchase of contract specific commodities or consultant services from DBE vendors.	Ramon Carlos and Mario Solis to coordinate	8/15/13	**COMPLETED** – Mr. Solis reported during the Commodities Committee meeting, DPAC will be providing details on what they are doing in regards to outreach, information distribution. This information will be made available to the Chair of the committee, Council Member Chris Chavez. Links to procurement documents which include supplier language in reference to contract goals were provided to Council Member Lee Cunningham in May and Council Member Chris Chavez in August, which addresses this issue.
Action Items from the May 2013 SBC meeting:			
ACTION ITEM #1: Research and determine the most appropriate course of action in regards to the council's request to develop policy and guidelines to require Caltrans use domestic, not foreign, engineers on A&E contracts.	René Halverson	9/20/13	**COMPLETED** – Chair Halverson consulted with the Caltrans legal team to address this issue. Per the legal team's counsel, we are unable to set policy or include language in Caltrans contracts requiring vendors/ contractors/consultants performing work for Caltrans to only hire U.S. citizens, because not only could this potentially place restricts on the competitive bidding process, but it would also violate U.S. anti-discrimination laws.

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ACTION ITEM #2: Send council members the link to the audit conducted by the Office of the Inspector General of the FHWA DBE Program.	Carole Ching	6/18/13	**COMPLETED** – link provided by Lance Yokota, FHWA emailed to Council Members.
ACTION ITEM #3: Send council members the full report used by Chair Halverson in her presentation about the DBE Participation Committee.	Carole Ching	6/18/13	**COMPLETED** – full report sent to Council Members.
ACTION ITEM #4: Send council members the OCTA Facebook link.	Carole Ching	6/13/13	**COMPLETED** – link emailed to Council Members.
ACTION ITEM #5: Provide council members with roster and contact information of Caltrans District Small Business Liaisons (DSBL) to provide as a resource to SBs.	Carole Ching	6/18/13	**COMPLETED** – list sent to Council Members.
ACTION ITEMS from the July 2013 SBC meeting:			
ACTION ITEM #1: Send the Supportive Services contract (including the scope of work) to Council Members.	Ramon Carlos	8/20/13	**COMPLETED** – contract information emailed to council members.
ACTION ITEM #2: Provide a report that determines whether the closed A&E contracts met, exceeded, or did not meet their contract goal.	Ramon Carlos	9/20/13	**ASSIGNED** – goal information will be provided to the Committee Chairs for the September SBC meeting.
ACTION ITEM #3: Investigate DBE status of Sierra Group (A&E firm).	Ramon Carlos	9/20/13	**ASSIGNED** – update will be provided at the September meeting.
ACTION ITEM #4: Provide Caltrans identification badges for council members.	René Halverson to coordinate with Carole Ching	9/20/13	**ASSIGNED** – report status of this request to council members during the September meeting.
ACTION ITEM #5: Provide link to new ADA guidance to council members.	Vincent Mammano or Lance Yokota to send link to Carole Ching	8/5/13	**COMPLETED** – link to the new ADA guidance emailed to council members and DSBLs.
ACTION ITEM #6: Provide council members with the PowerPoint presentation on how to submit a viable proposal for On-the-Job Training/Supportive Services and National Summer Transportation Institute.	Sherri Gastinell to send digital document to Carole Ching	8/7/13	**COMPLETED** – documents sent to council members.
ACTION ITEM #7: Post the RFP for Caltrans/FHWA Grants (On-the-Job Training/Supportive Services and National Summer Transportation Institute) on the Caltrans web site.	Sherri Gastinell	9/20/13	**ASSIGNED** – to be posted when the RFP is released.
ACTION ITEM #8: Send draft of updated procurement fair manual to council members before the November 15 SBC meeting.	Ramon Carlos	11/15/13	**ASSIGNED** – progress report will be provided during the September meeting.

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Agenda review and remarks

- Chair Halverson thanked our hosts, the San Joaquin Council of Governments.
- Supportive Services contracts awarded at the end of June – same contractor to handle northern and southern California regions in two separate contracts. Council members requested to review the contracts, in particular the scope of work. Supportive services contract for the central valley will be advertised after the next award is received from FHWA, probably August or September.
- Chair Halverson reminded council members to check the Caltrans event calendar online.
- Change in order of agenda items requested – presentation by SJCOG will be given before the Caltrans/FHWA Grants presentation.

ACTION ITEM #1: Send the Supportive Services contract (including the scope of work) to Council Members.

Action Item review (from prior meetings) – refer to page 1 of this meeting record for current status of action items as reported by Chair Halverson.

Discussion re: action items

1. Set aside – responses to questions
   a. Focus on construction, not professional services.
   b. Set asides for SB and DVBE. Director Dougherty added Caltrans has a commitment to utilize SB, DBE and DVBE in minor B contracts, and noted if a contract uses only state funds it is not a set aside. Director Dougherty clarified DBE and DVBE are utilized, but Caltrans not limited to only using DBE and DVBE.
   c. Vincent Mammano stated in order to have a federal set aside for SB, there must be a SB plan. However, California law does not allow restrictions. Director Dougherty pointed out the goal of 25% SB has already been exceeded.
   d. Suggestion by Council Member Johnathan Hou to look at the program District 8 has developed for A&E which encourages SB to participate.
2. Report printed in landscape format provided by OBEO regarding DBE utilization in construction and A&E – Ramon Carlos
   a. Businesses owned by women are in bold type and highlighted in grey.
   b. Headings highlighted in yellow are DBEs.
   c. A&E goal met – 31% of $70 million total.
   d. Requested Mr. Carlos' team determine whether the closed A&E contracts met, exceeded, or did not meet their contract goal.
3. Report printed in portrait format – Chair Halverson
   a. Information reported to FHWA.
   b. Contracts committed at award.
   c. Question arose regarding Sierra Group's DBE status – per Council Member Johnathan Hou, it may have been bought out by a major firm.
   d. Noted only one African American firm is listed; received contract for $11,000; agreed this issue must be addressed.
   e. Unbundling contracts – Director Dougherty noted unbundling has resulted in opening up more opportunities to construction and A&E for DBE firms

ACTION ITEM #2: Provide a report that determines whether the closed A&E contracts met, exceeded, or did not meet their contract goal.

ACTION ITEM #3: Investigate DBE status of Sierra Group (A&E firm).

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C. Highlights from the Director's Office – Director Malcolm Dougherty

1. Appreciation expressed to District 10 and the San Joaquin Council of Governments for hosting the council.
2. Announcement: Mike Miles, District 7 Director, is retiring; Carrie Bowen, District 10 Director, will be Acting District 7 Director for the next three to four months or until that position is filled; Amarjeet Benipal will be Acting District 10 Director while Ms. Bowen is away.
3. July 13 fuel tanker truck accident in District 7
   a. No fatalities; main damage to the top of the tunnel, which supports I-5 running above; have been shoring up the tunnel to support that section of I-5.
   b. Detour opened to accommodate the indefinite shut down of the damaged connector.
   c. Funding will be coming from the trucking company to address the damage; federal funding also expected to repair.
4. Bay Bridge update
   a. Retrofit plan, design and fabrication is being done.
   b. An expert peer review panel from the National Academy of Engineers is involved in this process; they recommend Caltrans not delay the bridge opening, because the new bridge is substantially safer than the old bridge.
   c. However, the public perspective, safety is the main issue, which is why Caltrans is still vetting all options carefully.
   d. The new bridge opening has been scheduled for December.
   e. Liability – bolts were from the contractor; fabrication was under contract with that contractor; there are questions about materials and structural procedures; however, there is a shared responsibility for all parties involved, because Caltrans was responsible for oversight of the contract, which can be viewed online.
   f. Should there be an earthquake incident before the projected opening – Caltrans is considering an interim fix recommended by the panel to allow for an earlier opening of the bridge. However, it would still be necessary to allow four days to transition traffic to the new bridge, which entails closing the bridge to build toll stations, proper public notification of the closure and opening, and so forth to make the new bridge fully operational.
5. Re: HSR procurement goal of 30% SB for alignment of Highway 99 – Director Dougherty responded Caltrans will be providing in-house staff to perform its design commitments; construction work to be contracted; working with HSR to achieve their SB goal. Council Member Eddy Lau stated HSR expects Caltrans to also achieve this goal. Director Dougherty suggested a meeting to talk with HSR about this matter; Mr. Lau volunteered to facilitate the meeting. Mr. Mammano stated the source of funding will affect what Caltrans can or cannot do: if there are federal dollars involved with this project, Caltrans will not be able to do anything about meeting the HSR goal, which Mr. Lau agreed; Director Dougherty stated no FHWA funds were involved with this aspect of the project, however, the construction work to be contracted will be subject to the 30% goal.
6. Buy America re: utility companies – Buy America clauses apply to all contracts; utility companies found themselves to be out of compliance because the materials they use are not domestic, therefore they could not sign contracts, resulting in an indefinite stall. FHWA has provided a set of guidelines and determined a period between now and the end of the year for utility companies to change their business models in order to comply. This stall has impacted construction projects worth billions of dollars. Council Member Jesus Vargas asked if the FTA phase-in would be affected; Mr. Mammano will look into that. Mr. Mammano acknowledged Victor Mendez, FHWA, for his flexibility in handling the challenges facing the utility companies.
7. DBE supportive service contracts were qualification based.
8. Badges – Council Member Rodrigo Garcia requested badges be issued to council members to ensure they qualify for travel related state rates.
9. Fostering SB plan – request to review the letter submitted to FHWA; Chair Halverson noted the purpose of the DBE Participation Committee, which was discussed during the May SBC meeting, was to follow through with this plan. Mr. Mammano stated changes to the plan can be reported to FHWA at any time; Director Dougherty confirmed updates will be shared with the council.

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ACTION ITEM #4: Provide Caltrans identification badges for council members.			
D. FHWA updates – Vincent Mammano 1. Buy America (BA) a. Mr. Mammano provided a table analogy to explain the basics of Buy America and how it has changed the policy in contracts: if federal dollars are used, everything used to construct that table must follow BA policies. b. Utility companies are not aware of the BA requirements, which the council should consider helping them understand. c. As mentioned by Director Dougherty, utility companies have until the end of this year to comply. d. BA applies to materials, not labor. 2. DBE requirements – if a project has federal funding, it will have DBE requirements; final rule will be available by the end of this year. 3. ADA – new guidance will be available as related to construction; webinars will be made available to explain the changes made. Link will be provided to OBEO. Mr. Yokota mentioned the ADA changes will require more curb cuts, which could potentially be a contract opportunity for DBEs. 4. Mr. Mammano commented on the changes he has observed since coming to the SBC meetings over the past five years: noted the first half of the meeting was devoted to data sharing through reports presented and the general tone in which requests were being made by members. He applauded those present, adding this should ultimately affect the DBE program for the better. 5. Status of response to the report from the Office of Inspector General – nothing to report at this time; Mr. Yokota has been meeting with Chair Halverson's team to address findings.			
ACTION ITEM #5: Provide link to new ADA guidance to council members.			
E. DGS Report – Angel Carrera 1. Currently conducting visits to departments that did not achieve SB and DVBE goals for contracts $5 million plus. a. Threshold of 20% or less for SB, 2% or less for DVBE. b. Meetings have been on a temporary hold in order to debrief the new Secretary of the Transportation Agency. c. SARA nominations – recognition of state agencies and internal departments of those agencies for SB and DVBE utilization; the council is eligible to nominate candidates. Nominations are due on September 6, 2013; suggest the council work with Alicia Sequeira, Statewide Small Business Coordinator, OBEO, to make nominations. This is an opportunity to celebrate the things state agencies are doing well.			
F. San Joaquin Council of Governments (SJCOG) – Steve Dial, Deputy Director and Chief Financial Officer, SJCOG 1. SJCOG is an independent agency – created as a division of San Joaquin County Planning Department in 1968 to serve as the local clearinghouse for intergovernmental review of federal programs. 2. In 1970, SJCOG established under its own Joint Powers Agreement by member agencies, including: a. San Joaquin County cities of Escalon, Lodi, Manteca, Ripon, Stockton, and Tracy; Lathrop joined in 1990. b. Metropolitan Planning Organization c. Regional Transportation Planning Agency d. Airport Land Use Commission			

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e. Representative of Regional Planning
f. San Joaquin County Local Transportation Authority
g. Administrators of Measure K, the half-cent sales tax for transportation
h. Census Data Center
i. County Congestion Management Agency
j. Implementation agency for the San Joaquin County Multispecies Habitat Conservation Plan
k. Operator of Commute Connection
l. Freeway Service Patrol on I-205, I-5, and SR 99

3. Responsibilities – according to the SJCOG web site[1], the mission is "to partner with local governments, the private sector, and community groups as the forum, facilitator, and administrator of regional programs, and to advocate for regional and inter-regional issues in the development of a comprehensive strategy to achieve resolutions." Specific roles of SJCOG include:
   a. Airports
   b. Census data and statistics
   c. Collaborative decision-making – SJCOG brings together the community through forums, retreats, legislative trips, and public meetings to "tackle priority issues for the region."
   d. Commute connection – commuter matching and employer outreach services promoting carpooling, bicycling, van-pooling and public transit.
   e. Freeway service patrol
   f. Funding – funding decisions to design and build transportation projects throughout the region.
   g. Habitat – habitat and open space conservation.
   h. Measure K administration
   i. Regional transportation
4. Board of Directors – includes County Supervisors, City Council members, City Council staff
5. Operating budget - $8 million, of which FHWA accounts for $1.1 million (14% of total budget)
   a. Largest funded programs are Congestion Mitigation and Air Quality improvement program (CMAQ), Highway Bridge Program, and Regional Transit Systems Plan (RTSP). SJCOG has a project selection process for CMAQ and RTSP funds; Highway Bridge funds go directly to member agencies.
   b. RTSP – city and county road re-surfacing and rehabilitation.
6. Re: federal funding
   a. Continues to decline; transportation infrastructure continues to degrade.
   b. Prop 1B funds are coming to an end leading to what many see as a transportation fiscal cliff; as a result, they are very interested in talks maintaining the role of federal government in maintenance of the transportation infrastructure.
   c. Current projects in San Joaquin County do not have federal funding; all local sales tax and state bond funds. To match state funds, San Joaquin County is building all of the state highway projects that are in its 30-year expenditure plan right now. Once these are completed, with no new state or federal sauces, there will be no more state highway construction in this county for decades.

[1] SJCOG web site: www.sjcog.org

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7. DBE – SJCOG does about $3 million a year in consulting work; every RFP includes DBE compliance language, whether race neutral or race conscious, all proposers must address the requirements in the RFP.
8. Public Participation Plan – involves all members of the community in the planning process; every major project has a specific public involvement plan prepared in order to provide residents opportunities for meaningful participation and to ensure full and fair participation by all affected communities.
9. Title VI program – public participation and environmental impact are very seriously considered.
10. SJCOG is playing a large role in the high amount of construction occurring in this region for the next five years.
11. FHWA and FTA – different goals for each; SJCOG consistently achieves percentage goals in the high teens to low 20s; success is due to SJCOG's serious commitment to this and contractors' willingness to comply.
12. Prompt payment policy – included in all contracts; no complaints from contractors; less than a week turnaround time for payment; part of SJCOG's operating procedure.

G. District Director updates

1. **District 10** – Carrie Bowen, District Director
   a. District 10 Office of Small Business – taking the lead to assemble a Stockton Regional Public Agency Consortium (Stockton Regional PAC); seventeen public and private entities have agreed to participate; intent is to work together to coordinate and schedule small business events to educate the SB community and help SBs build their customer base. Event scheduled for 10/9/13; save the date flyers to be sent out soon.
   b. Central Region Calmentor Fall Mixer, 10/1/13, 5:00 to 7:00 p.m.
   c. The district currently has over $755 million in construction on 44 projects.
   d. At the CTC meetings in May and June, over $150 million in projects were voted in the district; allocations included funding from Prop 1B. Some of the larger projects include:
      01. SR 4 Crosstown Freeway Extension, $98,820,000 – will extend the Crosstown Freeway on and off ramps from its current terminus at Fresno Avenue. southwesterly to Navy Drive in the City of Stockton.
      02. Merced to Le Grand Double Track, Segment 1, $40,750,000 – will construct a second rail track from Merced to Le Grand.
      03. Lathrop Road Grade Separation with UPRR, $5,000,000 – will construct a four-lane pass over the railroad on Lathrop Road from 7th St. to McKinley Avenue in Lathrop.
      04. Weber Avenue Beautification, Phase II, $2,610,000 – will complete the Weber Avenue Streetscape Improvement Project, improving pedestrian safety with new sidewalks, corner bulb-outs, installing landscape medians, street amenities (benches, trash receptacles, bicycle racks, street lights), between Stanislaus Street and the Union Pacific Railroad tracks at the Cabral/ACE Station in the City of Stockton.
      05. Mokelumne River Bridge near Rio Vista, $2,587,000 – will replace the concrete bridge deck and joint seals.
   e. Prop 1B – total of $301 million; notable projects include two projects which were chosen because they are already underway; the new round of funding will ensure these projects stay on schedule:
      01. Merced Council of Governments, $4.7 million – to purchase 30 Dial A Ride buses and 8 Gillig buses.
      02. City of Turlock, $1 million – to purchase a CNG Slow fill compressor, construct Phase II of the Transit Transfer Center, and replace an electronic fare box system.

2. **District 4** – Bijan Sartipi, District Director

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a. Current construction workload – as of July 5, 155 active projects valued at $4.99 billion. b. Fiscal year 2013/2014 contracts for delivery will not be as large due to environmental process and funding constraints. c. As of July 17, District 4 has three projects for $54.3 million in advertisement; one project with bids opened awaiting award; five projects awarded; twelve projects ready to list, but not yet allocated by the CTC worth $74.4 million; eight projects in HQ Office Engineer ready to list at $206 million. d. As of June 6, there are twenty Director's Orders valued at $54.6 million, of which 48% is SBE, and 22% not yet awarded (62% of that awarded is SBE); fifteen different contractors, of which nine are SBEs. e. Minor B – seven contracts all of which have been awarded to SBEs at $1.1 million; in the coming fiscal year, the district plans to have twelve projects valued at $1.3 million. f. Non-Minor B – three contracts were awarded to SBEs under the simplified process at $745,000; in the coming fiscal year, the district plans to have another three non-Minor B projects valued at $520,000. g. A&E – twenty-nine active federally funded contracts valued at $88.9 million, of which 14.48% are non-UDBE, 12.78% are UDBE, and 14.21% are DBE. In addition, there are twelve non-federally funded contracts for $131.4 million, of which 7.73% has been awarded to DVBEs and 27.58% awarded to SBEs. h. Calmentor program – as of July 17, since the beginning of the program, there have been 32 Mentor Firms, 112 Protégé Firms, which totals 144 firms in the program; number of protégé graduates = 41 to date.			
3. District 8 – David Knudsen, Manager, District 8, Equal Employment and Business Opportunity for Bassem Muallem, District Director a. The district continues to make small business a priority. b. Mandatory Pre-Bid Meeting this July – for the Joint Port of Entry project on I-15, $34 million; very successful; attended by five primes and sixty individuals. c. Small Business Expo, June – co-hosted with Riverside County Transportation Commission (RCTC0, City of Riverside, and Riverside Transit Authority (RTA); panel discussions followed by a "meet and greet" with small business vendors and other government entities. d. DBE certification workshop, June – partnered with OBEO staff for this workshop held at the District Office. e. Southern California Region Small Business Council – collaborative effort between Districts 8, 7 and 12; first meeting to be held on 9/18/13 at the District 8 Office. f. *Doing Business with Caltrans* workshop, 8/22/13, at the District Office.			
4. District 6 – Lori Guinan, Deputy District Director for Shari Ehlert Bender, District Director a. Bonding workshop, 2/8/13 – partnered with U.S. Department of Transportation and the City of Fresno; well attended. b. *Register Your Business with the State of California* online workshop, 2/21/13 – partnered with DGS and SCORE; assisted businesses to become certified; team included Ms. Guinan, Michael Aguillio, Wayne Gross, and Kelly Mertlik. c. *How to Receive Bids and Awards with the State of California* workshop, 3/14/13 – again partnered with DGS and SCORE; PowerPoint presentation giving marketing tips and how to make use of being certified. d. Bakersfield Small Business Expo, 4/11/13 – partnered with the California Public Utilities Commission (CPUC) and PG&E; business matchmaking opportunities and certification workshops. e. Central Region Calmentor mixer, 4/16/13 f. *Line Cards and How to Get on a Team* A&E workshop, 4/16/13 g. "How to Get Contracts and Awards with the State of California" workshop, 5/2/13 – partnered with DGS and SCORE; PowerPoint presentation. h. At the June meeting of the CTC, over $17,835,000 in projects were voted in the district; includes bridge replacement, traffic signal installation, construction of			

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industrial streets, widening freeway lanes, undercrossings, bridge rehabilitation, and so forth.			
5. **District 11** – Ignacio Vazquez, Organizational Effectiveness for Laurie Berman, District Director a. As of July 16, purchases for the San Diego Procurement Fair held earlier this year total $357,421. b. Closures – main lanes on southbound I-15 will be closed from Saturday, 7/27/13, 7:00 p.m. to Monday, 7/29/13, 4:00 a.m. to install drainage; alternate routes will be available. All lanes on I-805 will be closed between State Route 54 and State Route 905 beginning 8/18/13, 2:00 p.m. to 8/19/13, 5:00 a.m. to allow crews to demolish the Palomar Street bridge in order to construct a new direct access ramp, park and ride, and transit station, and provide access to the new carpool lanes being constructed on I-805. c. Small Business Unit (SBU) "In Reach" program – purpose is to educate the employees on what the unit does, encourage them to use a SB anytime they get a contract. They have already met with Right of Way, Maintenance, Local Assistance, Construction, Warehouse, and Environmental; will be meeting with Planning next. d. SB utilization - for the period 7/1/12 to 6/30/13: state funded contracts – SB, $9.8 million (goal of 25%, achieved 60.2%), DVBE, $750,000 (goal 5%, achieved 4.6%). Federally funded contracts – DBE, $1.9 million (goal of 12.5%, achieved 6%). e. Upcoming projects 01. I-8 at Dogwood Road overcrossing – revising the interchange; estimated cost of $20 million to $40 million; proposed advertise date is September 2013. 02. SR-76 and Mission Road – constructing a 4-lane highway; estimated cost of $100 million to $120 million; proposed advertise date is August 2013. f. Minor B update – for fiscal year 2012/2013, there were 19 Minor B contracts awarded for a total of $2.3 million, of which $2.2 million has been awarded to SB contractors for a total SB utilization rate of 94.7%. g. Upcoming SB events 01. SBU to attend *Meet the Buyers Matchmaking Event*, 7/26/13, hosted by the Small Business Development Center. 02. SBU to host an exhibitor table at the 8th Annual California Construction Expo, Long Beach, 8/22/13, hosted by DGS. 03. SBU to host a DBE certification workshop presented by OBEO staff, 10/30/13, District 11 Office. In response to the relatively low DBE certification rate among African American contractors, the SBU will do targeted outreach to increase that group's participation in the workshop. h. Corridor updates 01. I-805 South Corridor – construction on the HOV from E. Naples to SR-54 is ongoing, expected to be complete by November 2013. 02. I-805 North Design Build – construction has begun; to date, the goal of 8% UDBE has been met, which totals just over $6 million to UDBEs.			
H. May 17, 2013 Meeting Record approval – René Halverson			
1. No changes. 2. Motion to approve the meeting record, Council Member Johnathan Hou; seconded by Council Member Diana LaCome. 3. The ayes have it; the meeting record of May 17, 2013 is approved.			
I. Caltrans/FHWA Grants – Sherri Gastinell, OBEO (refer to report distributed in meeting packets) 1. Currently waiting for FHWA to issue Requests for Proposals (RFP). 2. Northern CA Teamsters Apprentice Training & Education Trust Fund grantee – focus on commercial truck driving licensing. 3. City of Long Beach, Pacific Gateway grantee – focus on electricians and ironwork; funds were remainder from ARRA. 4. Target Excellence, Yuba Community College District, Woodland Campus – focus on junior high students; this was a very successful program.			

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5. CSU Los Angeles and CSU Long Beach MESA – in the process of wrapping up their program. 6. Timeline for RFPs – call for proposals expected soon; Ms. Gastinell's unit is developing a PowerPoint presentation to prepare potential applicants on how to submit a viable proposal; members requested the PowerPoint presentation be sent to them. a. Applicants have an average of three weeks to submit proposals; typically, ten proposals are received each year for the summer institute. b. Ms. Gastinell's unit has two weeks to review proposals, which are submitted to FHWA. c. FHWA has two weeks to submit proposals to the Department of Transportation. 7. Director Dougherty noted funding for these grants is from the federal government; historically, response has been very poor. a. Ms. Gastinell pointed out the proposal must meet the criteria of the grant, which is a challenge for many applicants. b. Mr. Yokota stated applicants from California are competing with other applicants across the country, so the amount to be distributed is variable. 8. Re: CSU Los Angeles proposal – Council Member Rodrigo Garcia asked why that organization's proposal for $100,000 was initially approved, but taken back. Ms. Gastinell stated the money that would have been distributed to CSU Los Angeles were older funds, which had to be removed when FHWA did their audit. Mr. Mammano added if funds are not used within a year, they are no longer available. Ms. Gastinell mentioned the key contact for the CSU Los Angeles grant was made aware of the situation. 9. Eligibility requirements –Summer institute requires an affiliation with a university or community college; the supportive services grants do not. Projects must be transportation related. 10. Re: Mandela Institute – in the past, this institute had received grants, however, they have chosen not to apply. 11. Suggested the RFP be posted on the Caltrans web site, perhaps the Look Ahead Report.			
ACTION ITEM #6: Provide council members with the PowerPoint presentation on how to submit a viable proposal for On-the-Job Training/Supportive Services and National Summer Transportation Institute.			
ACTION ITEM #7: Post the RFP for Caltrans/FHWA Grants (On-the-Job Training/Supportive Services and National Summer Transportation Institute) on the Caltrans web site.			
J. Ad Hoc Committee Report, African American DBE Participation – Eddy Lau, Chair 1. Twenty construction firms were successful in getting contracts; the committee is in the process of finding out how these firms were successful. 2. Harris Associates – this is not really an African American firm. 3. Informal contracting used by Caltrans only targets SBEs; will be having DBEs sign up with DGS for informal contracting. 4. Focusing on Districts 7 and 11 to see if they can implement some of the ideas the committee has been developing. 5. Targeted survey of the African American DBE firms – survey is being assigned to members at the meeting scheduled for 2:00 p.m. today; data to be provided to Caltrans; eventually non-DBE contractors will be added, but not at this time. The list the committee is using are certified DBEs who have received contracts. 6. Online certification of DBEs – Chair Halverson stated this is being explored.			
K. Committee Meeting Reports			
1. Construction – Debbie Hunsaker, Chair			

Action/Task	Who is responsible/ presented	By when	Status
a. 14 in attendance, including Caltrans staff. b. Three presentations: 01. Mentor Protégé program – presented by Maria Salinas, OBEO, accompanied by Bonnie Nyaga, who also spoke; committee suggested the program offer bidding incentives; well received presentation and anticipate further presentations. 02. Equipment rental rates – presented by John Rodriguez, Construction; shared the formula used, which can also be found online; explained the process to determine rental rates. 03. DBE utilization – presented by Ramon Carlos, OBEO; well received by the committee, who noted Mr. Carlos' responsiveness to questions. c. Discussed DBE and GFE issues. d. Prompt pay, especially in regards to emergencies – Angela Shell, Construction, provided more detail on paperwork that must be filed. e. Legislation re: sole negligence – problems in regards to additional insured; the committee will be developing a document discussing this matter. f. SB 474 – still a matter of concern for the committee; document which crafts language to build into the contract should be ready by the September SBC meeting.			
2. Professional Services – Johnathan Hou, Chair a. 15 in attendance, including Caltrans staff. b. DBE utilization report provided by Mr. Carlos was well received. c. Safe harbor rate – presented by MarSue Morrill, Audits and Investigations; highly informative and very complicated; appreciation expressed to Zoe Bayar for referring Ms. Morrill to the committee. d. Due to the presentations and related discussion, the committee did not cover work codes.			
3. Commodities – Chris Chavez, Chair a. Concerned about the lack of committee members. b. Educating buyers to use SBs – DPAC has programs to do so. c. Caltrans warehouse – noticed products are not American-made; contacted the manager, Robert Ruiz, who is serving as interim manager; will have more to report in September regarding this matter. Francesca Negri, DPAC, stated the inventory in the warehouse is purchased with 100% state funds; inventory is used primarily by Maintenance; permanent manager to be announced within the next week. d. Mr. Mammano stated federal funds are not used for maintenance supplies; therefore Buy America is not applicable. e. CalCard usage – per Ms. Negri, the system is closely monitored; from a SB perspective, this is a very good alternative as turnaround time for payment is only two days. f. Procurement fair manual – the committee would like to participate in the update of the manual, especially in regards to making participants aware DBE commodities contractors can fulfill DBE utilization needs. Chair Halverson stated Mr. Carlos and his staff will be evaluating the manual for updates; will send the draft to members by the November SBC meeting.			
ACTION ITEM #8: Send draft of updated procurement fair manual to council members before the November 15 SBC meeting.			
4. Local Assistance – Richard Hernandez, Chair			

Action/Task	Who is responsible/ presented	By when	Status
a. Anything over $2 million is audited; will be looking at goal setting – the opportunities are great in this area; should have more to report on in September. b. Requirement to be unionized has been a challenge. c. Information is not getting out to Local Agencies. d. Re: plan to nurture SB – would like to see more "meat" in the plan; the plan needs to be transmitted to local agencies as this has not been done; unbundling contracts still an issue. e. Update of Chapter 9 – has not yet been done; per Ray Zhang, Local Assistance, an update will be available in August. The committee would like to look at the update; intention is to increase numbers.			
L. New Business – Chair Halverson, Facilitator Meeting with High Speed Rail (HSR) – Director Dougherty offered to facilitate a meeting; Mr. Lau will take the lead to coordinate.			
M. Public Comment – Chair Halverson, Facilitator No public comment offered.			
Meeting adjourned: 12:45 p.m.			
Next meeting: September 20, 2013, Sacramento, specific details to be sent to members.	Carole Ching to notify SBC members.	8/19/13	Email sent to both primary council members and their alternates providing specific dates, locations, and times for the committee and full council meetings.

DOCUMENTS included in the meeting packet/distributed during the meeting:

- Meeting agenda
- Meeting record, May 17, 2013, draft
- Award Tracker Report, June 2013
- Caltrans DBE utilization on closed construction and A&E contracts, Oct. 1, 2011 to September 30, 2012
- Caltrans FHWA federally funded contracts (awarded) June 2013
- Caltrans *Pairings Newsletter – Calmentor/Mentor-Protégé Statewide Newsletter,* April and July 2013 editions
- DGS Broadcast Bulletin, Call for nominations, 14th Annual State Agency Recognition Awards 2013 (SARA)
- Caltrans/FHWA Grants, fiscal year 2013
- Steve Dial, brief profile
- SBC Code of Conduct
- Flyer, CPUC Small Business Expo 2013, Oct. 9, 2013, Salinas

Caltrans Statewide Small Business Council – Meeting Record
San Joaquin Council of Governments, 555 E. Weber Ave., Stockton, CA 95202
July 19, 2013, 8:30 a.m. to 12:30 p.m.

PRESENT

Council Members:

1. Bley, Ruth Alt. for Lee Cunningham (teleconference)
2. Calderon, Josie (teleconference)
3. Chaudhary, Arvin
4. Chavez, Chris
5. Garcia, Rodrigo
6. Guerrero, Paul
7. Hernandez, Richard
8. Hou, Johnathan
9. Hunsaker, Debbie
10. Jordan, Fred
11. LaCome, Diana
12. Lau, Eddy
13. Leslie, Scott
14. Llewellyn, Rebecca (teleconference)
15. Patten, Zeke (teleconference)
16. Quintana, Brenda
17. Frank Ramirez
18. Ulmer, Bill
19. Vargas, Jesus

Caltrans Staff:

1. Malcolm Dougherty, Director
2. Halverson, René, Assistant Director, OBEO & Council Chair
3. Boulware, LaSonja, District 11 (teleconference)
4. Bowen, Carrie, District 10 Director
5. Carlos, Ramon, OBEO
6. Caudle, Morris, District 6
7. Ching, Carole, OBEO
8. Gastinell, Sherri, OBEO
9. Gongora, Michelle, District 11
10. Guinan, Lori, District 6 (teleconference)
11. Knox, Thomas, District 7 (teleconference)
12. Knudsen, David, District 18
13. Martinez, Steven R., District 10
14. McGowan, Cyndee, District 11 (teleconference)
15. Mertlik, Kelly, District 6 (teleconference)
16. Negri, Francesca, DPAC
17. Pulido, Lauren, District 10
18. Roberson, Paula, OBEO
19. Salais, Janice, OBEO
20. Salinas, Maria, OBEO (teleconference)
21. Sartipi, Bijan, District 4 Director
22. Shell, Angela, Construction (teleconference)
23. Sherman, Sam, District 10
24. Solis, Mario, OBEO (teleconference)
25. Vazquez, Ignacio, District 11
26. Vegas, Sylvia, District 12
27. Yu, Andy, District 12
28. Zhou, Lan, District 12

Guests:

1. Carrera, Angel, DGS
2. Hassoun, Sam, AGC
3. Lelo-Butcher, Raewyn, Ghirardelli Associates; CalMentor
4. Mammano, Vincent, FHWA
5. Yokota, Lance, FHWA

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Public Participants:

1. Power, Beth, Inspection Services, Inc.
2. DeSio, Mark, CAHCOP
3. Marvin Dean (teleconference)

Approved by:

René Halverson

RENÉ HALVERSON
Assistant Director
Business and Economic Opportunity
California Department of Transportation