



WSDOT DISADVANTAGED BUSINESS ENTERPRISE PROGRAM:

Quarterly progress report to FHWA, December 2015

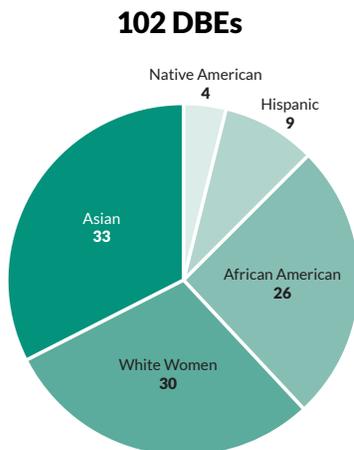
OVERVIEW

The Washington State Department of Transportation (WSDOT) provides quarterly progress reports to the Federal Highway Administration (FHWA) on both project and program-level Disadvantaged Business Enterprise (DBE) participation, pursuant to the Conciliation Agreement between FHWA and WSDOT executed on March 20, 2014.

This quarterly report includes progress updates for both the Alaskan Way Viaduct (AWV) Bored Tunnel project and WSDOT's statewide DBE program. The participation and other data included in this report represents information verified through October 31, 2015; other activities noted reflect work performed through mid-December 2015.

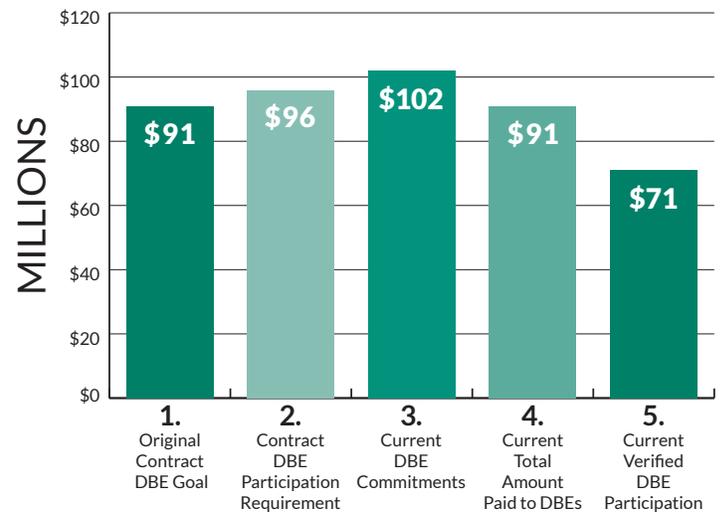
Improving Oversight, Expanding Opportunities:

WSDOT conducted an updated analysis of the race, ethnicity and gender of the DBE firm owners working on the AWV project. This information is provided below:



PROGRESS AT A GLANCE

AWV Project-Specific Efforts

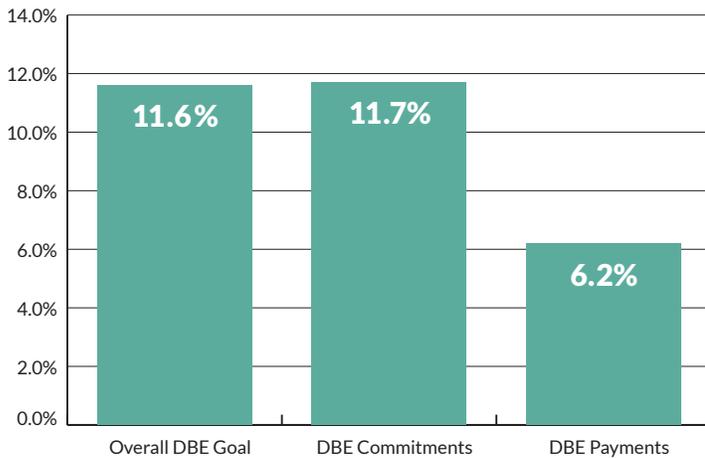


1. The Original Contract DBE Goal was established when the project was awarded.
2. The Contract DBE Participation Requirement is a condition of Change Order 91.
3. The Current DBE Commitments illustrates the total of contracts awarded to DBEs.
4. The Current Amount Paid to DBEs is the total amount paid as of October 31, 2015.
5. The Current Verified DBE Participation demonstrates payments which has been audited following rigorous verification procedures (reviewing cancelled checks, verifying firms are certified for the work they are performing, federal counting rules, etc.) to ensure it can count toward the Contract DBE Participation Requirement.

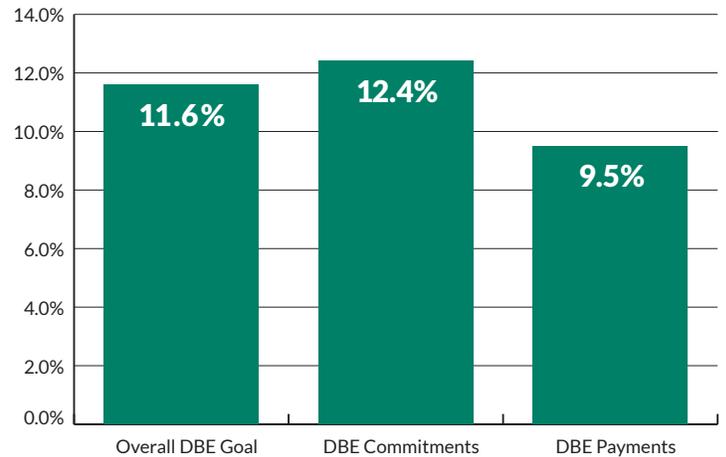
Agency Progress

For FFY 2015 (October 1, 2014 through September 30, 2015), WSDOT (Local Programs, Consultant Services and HQ Construction) attained 11.7 percent in DBE commitments (condition of award goals 9.55 percent; voluntary participation 2.19 percent) and 6.2 percent in payments on closed contracts. WSDOT's payments were 6.2 percent due to old mega-projects that were contracted prior to the Conciliation Agreement, including a project from over ten years ago with a total cost of approximately \$400 million dollars, with nominal DBE participation.

As noted previously, agency-wide processes and procedures have been implemented to ensure that current and future projects established DBE participation goals are in alignment with expectations as established in the conciliation agreement, regulations, and internal processes and procedures.



Thus far for FFY 2016 (October 1, 2015 through November 30, 2015), WSDOT (Local Programs, Consultant Services and HQ Construction) has attained 12.4 percent in DBE commitments (condition of award goals 12.35 percent; voluntary participation 0.08 percent) and 9.5 percent in payments on closed contracts. WSDOT believes part of the reason for the improvement is the new more aggressive project goal setting process, implemented on May 1, 2015 which is reflected in the commitments.



Seattle Tunnel Partners (STP) efforts to achieve DBE contract goal

This report constitutes the December 2015 FHWA Quarterly DBE Progress Report for the SR 99 Tunnel Contract. This section summarizes DBE progress on the SR 99 Tunnel Contract for the period of August 1, 2015 to October 31, 2015. A detailed summary of changes between STP DBE Progress Report #53 and Progress Report #56 may be found in Exhibit A.

STP monthly DBE Progress Reports #54, #55, and #56, were verified following the monthly verification procedures, approved by FHWA. WSDOT's Verification of STP's DBE Progress Report #56 may be found in Exhibit B, as a reference document. This document is being provided for comparative purposes with STP DBE Progress Report #53, which was previously submitted to FHWA under the September 2015 FHWA DBE Quarterly Progress Report.

- **DBE Subcontracting Oversight Committee.** Between August 1, 2015 and October 31, 2015, STP continued to report on procurement efforts at the Committee meetings. STP also submitted their quarterly DBE Action Plan, dated October 31, 2015, which documents their approach to DBE goal attainment on the project. During the month of October, STP presented the following procurement at the Subcontracting Oversight Committee meetings:
 - Fire extinguisher cabinets: This is a small purchase estimated at under \$5,000. STP invited three certified DBEs to provide pricing. One firm declined to bid and another firm was not responsive. STP is working with the third DBE firm on clarifications in order to obtain pricing.
 - STP also negotiated change orders and purchase orders with DBE firms already on contract based on changes in information and/or work previously awarded. STP continues to work with subcontractors on lower tier DBE participation.
 - Crown Corr carved out work for two DBE firms and executed lower tier contracts with MBI Construction Services and Red Arrow Logistics.
 - STP has started to execute subcontracts with DBE trucking firms that responded to the truck rotation Request for Proposal for the Backfill of the Access Shaft.
 - STP executed a contract with Green City Inc. one of two DBE bidders for landscaping services.
- **STP DBE Communications.** STP's DBE Progress Report #53, submitted with the September 2015 FHWA DBE Report, documented outreach through October 2015. STP's DBE Progress Report #56 for October 2015, reports the following outreach events (See Exhibit B, Attachment #1):
 - On October 1, 2015, STP attended the National Association of Minority Contractors (NAMC) Washington Chapter monthly meeting to provide project updates and information on upcoming opportunities.
 - On October 2, 2015, STP sponsored a table and attended the Tabor 100 Unity Gala.
 - On October 16, 2015, STP attended the Washington Construction Design & Entrepreneurs (CDE) meeting to network with minority and women owned businesses.
 - On October 21, 2015, STP was a panelist at the U.S. DOT Office of Small and Disadvantaged Business Utilization's Panel to provide project management guidance to small and diverse businesses.
 - On October 31, 2015, STP attended the Tabor 100 General Membership meeting to provide project updates and upcoming opportunities.
 - On November 5, 2015, STP presented at the NAMC meeting and provided project updates, information on upcoming opportunities, and information about the truck rotation.
 - On November 6, 2015, STP co-sponsored the North Puget Sound Small Business Summit and participated with a booth and networked with DBE and Minority and Women's Business Enterprises (M/WBE) in the North Puget Sound.
 - On, November 12, 2015, STP attended the Business After Hours event, which is hosted by WSDOT, Sound Transit, and the Port of Seattle. STP attended, had a booth, and connected with DBE and M/WBE firms.
 - On November 20, 2015, STP sponsored the CDE meeting, which was held at the WSDOT and STP offices in downtown Seattle. STP presented on the contracting method used for the Backfill of the Access Shaft as one of many methods primes can use to include more small businesses in lower tier contracts.

- On December 3, 2015, STP presented at the NAMC meeting and provided project updates and information on upcoming opportunities.
- On December 3, 2015, STP sponsored the 20th Anniversary Celebration and Minority Business Awards banquet to network with DBE and M/WBE firms.
- On December 18, 2015, STP attended the CDE meeting and networked with DBE and M/WBE firms.
- **Planned January Outreach.**
 - On January 7, 2016, STP plans to present at the NAMC meeting and provide project updates and information on upcoming opportunities.
 - On January 15, 2016, STP plans to attend the CDE meeting and networked with DBE and M/WBE firms.
 - On January 23, 2016, STP plans to attend the Tabor 100 General Membership Meeting and provide project updates and upcoming opportunities.
- **WSDOT DBE Outreach.** Outreach activities performed by the WSDOT AWV HQ DBE Administrator for the AWV Replacement Program, September 1, 2015 through December 3, 2015 included:
 - On September 14, 2015, the AWV HQ DBE Program Administrator met with one-on-one with a general contractor with a focus on traffic control and concrete paving.
 - On September 17, 2015, the AWV HQ DBE Administrator attended the Minority Business Policy Workshop.
 - On October 1, 2015, the AWV HQ DBE Administrator attended the NAMC monthly meeting.
 - On October 2, 2015, the AWV HQ DBE Administrator attended the Tabor 100 Unity Gala and met with multiple DBE firms during the event.
- On October 31, 2015, STP attended the Tabor 100 General Membership meeting to provide project updates and upcoming opportunities.
- On November 10, 2015, the AWV HQ DBE Administrator met with one specialty services DBE firm.
- On November 12, 2015, the AWV HQ DBE Administrator attended the Business After Hours event, sponsored by WSDOT, Sound Transit, and the Port of Seattle. The AWV HQ DBE Administrator outreached to multiple DBE firms.
- On November 20, 2015, the AWV HQ DBE Administrator participated in the CDE meeting sponsored by STP. The AWV HQ DBE Administrator presented an overview on the value of utilizing DBEs on local projects. The AWV HQ DBE Administrator also highlighted the use of a trucking rotation on a portion of work on the AWV project. The roster is made up of mostly small independent truckers and is an example of how to create better access for small DBE firms.
- On December 2, 2015 the AWV HQ DBE Administrator attended the Urban League of Metropolitan Seattle's Annual Breakfast and met with some small local firms.
- On December 3, 2015, the AWV HQ DBE Administrator attended the University of Washington Minority Business Awards banquet.

Certification of Monetary Commitments

- **Verified DBE Participation.** AWV Project Staff followed the Monthly DBE Progress Report Verification Procedures in performing the verification of the \$102.6 million in STP claimed commitments and \$71.0 million in claimed participation reported by STP in Progress Report #56. (See Exhibit B: Memorandum,

Validation STP Monthly DBE Progress Report #56). This process was also followed to validate STP Progress Reports #54 and #55.

- **Work site Monitoring.** During the period of August 2015 through October 2015, the following activities occurred:
 - There were eleven on-site reviews performed, one in August, one in September, and nine performed in October.
 - The DBE labor hours were reported as follows for each of the months in this quarterly Report.

	August	September	October
Total Hours Reported:	5,357	5,258	5,162.75
Total Hours Certified Payroll:	5,529	4,992.5	5,069

- Discrepancies between reported and Certified Payrolls can be attributed to differences in reporting periods by the contractor and/or contractors not submitting paperwork in a timely fashion. Thus, STP will continue to work with their subcontractors to ensure labor hours are reported in a timely and efficient manner.
- **Monetary commitments.** A comparison of STP Progress Report #53, as reported in the September 2015 FHWA DBE Report, and Progress Report #56 (see Exhibit A: Attachment #1) is as follows:

Summary ¹	PR #53	PR #56	Progress
Contract DBE Participation Requirement	\$96,000,000.00	\$96,000,000.00	N/A
Current DBE Commitments	\$100,302,137.64	\$102,563,013.14	\$2,260,875.50
Current Total Amount Paid to DBEs	\$87,847,487.44	\$90,965,249.30	\$3,117,761.86
Current DBE Participation	\$68,008,059.28	\$70,997,838.58	\$2,989,779.30

¹ The Original Contract DBE Goal was established when the project was awarded. The Contract DBE Participation Requirement is a condition of Change Order 91. The Current DBE Commitments illustrates the total of contracts awarded to DBEs. The Current Amount Paid to DBEs is the total amount paid as of October 31, 2015. The Current Verified DBE Participation demonstrates payments which has been audited following rigorous verification procedures (reviewing cancelled checks, verifying firms are certified for the work they are performing, federal counting rules, etc.) to ensure it can count toward the Contract DBE Participation Requirement.

Utilization, Prompt Payment and Retainage

- STP Progress Report #56 stated that the number of DBE subcontractors working on the project grew from 97, as reported in Progress Report #53, to 102 DBE firms, as reported in Progress Report #56.
- The total number of subcontracts increased from 170 reported on Report #53 to 179 reported on Report #56.
- Comparing Report #56 to Report #53 results in the following changes:
 - 40 Commitment changes totaling a \$2,260,876.50 increase. (Exhibit A: Attachment #2)
 - 43 Invoiced to Date changes totaling a \$3,787,540.33 increase. (Exhibit A: Attachment #3)
 - 42 Payments to Date changes totaling a \$3,117,761.86 increase. (Exhibit A: Attachment #4)
 - 42 DBE Amount (as amended) changes totaling a \$3,024,919.30 increase. (Exhibit A: Attachment #5)
- The status of contracts and associated retainage may be found in Exhibit B: Attachment #6: List of DBE Subcontracts.

Monitoring and Investigation of Complaints Regarding DBE Participation

The WSDOT AWV HQ DBE Administrator monitored and investigated the following complaints between September 1, 2015 and November 30, 2015:

- **Prompt Payment Issue Update.** There were no prompt payment issues raised during this reporting period. The HQ AWV DBE Administrator continues to work with STP to manage and resolve prompt pay issues at the project level.
- **Not to Exceed Contract Concerns.** It was previously

reported that the AWWV HQ DBE Administrator was working with one DBE firm concerning the full utilization of a Not to Exceed Contract. The DBE contract had only been used for half of the total contracted amount. The AWWV HQ DBE Administrator worked with STP to identify additional work that the DBE could perform maximizing the DBE's participation. Recent research found that the vendor had completed the majority of the work requested by the prime.

- **Support Services.** It was previously reported that the AWWV HQ DBE Administrator was working on developing a scope of work document with the Washington Procurement Technical Assistance Center as part of the implementation of Support Services model for the AWWV project. The Scope of Work document has been completed and reviewed by appropriate WSDOT OEO staff and the Attorney General's Office. The contract is presently being routed for signatures.

WSDOT DBE Program Level Progress

DBE Monitoring Process and Procedures

- The Disparity Study Request for Qualification (RFQ) was posted on September 22, 2015 and responses were due on November 10, 2015. The scoring team was comprised of Chris Liu, Department of Enterprise Services; Kyle McKeon, Local Programs; Chris Christopher, HQ Construction; and Greg Bell, OEO. Five firms responded to the RFQ: BLDS, LTD; Browne, Bortz & Coddington, Inc.; Colette Holt & Associates; Mason Tillman Associates, Ltd.; and MGT of America, Inc. Consulting Services requested the panel complete the scoring process by November 30, 2015. The next step will be to conduct interviews with the top panelists; this panel is comprised of the Director of OEO, Lynn Peterson, Roger Millar and Chris Liu.
- On November 16, 2015, FHWA Acting Associate Administrator for Civil Rights Irene Rico, FHWA

DBE Program Administrator Martha Kennly, and FHWA Washington Division staff met with OEO DBE Program staff, HQ Construction staff, AWWV staff and members of executive leadership to discuss:

- DBE Programmatic Update
- Status of the Conciliation Agreement
- Alaskan Way Viaduct Bored Tunnel Progress
- Prompt Payment Update
- Caucasian Women Owned Business Waiver Status
- DBE Support Services Program Overview
- On October 20, 2015, WSDOT received a request from Dan Mathis, FHWA Washington Division Administrator to submit an updated Caucasian women owned business (WBE) waiver. This waiver was originally submitted in March of 2014 and requested to remove WBEs from the race-conscious portion on the DBE Program. The revised waiver was submitted on November 9, 2015 and is attached as Exhibit C.
- On November 19, 2015, WSDOT hosted a DBE Advisory Group Meeting. During this meeting the following topics were discussed with group members:
 - Director of OEO Recruitment Status
 - Design-Build Contract Language Status
 - DBE Program Participation Plan
 - Disparity Study Update
 - Disparity Study Research and Incorporation of Community Specific Concerns
 - Disparity Study Community Engagement:
 - Getting Information Out
 - Shaping the Conversation
 - Collecting and Cataloging Public Information
 - Reporting Community Engagement Findings
- WSDOT is developing a mechanism for tracking and resolving DBE Program related complaints (e.g.

prompt payment, retainage, contract issues, etc.). This mechanism will allow WSDOT to more promptly resolve DBE Program issues.

DBE Support Services

- WSDOT has developed a new DBE Support Services and Long Term Business Development Program Delivery Model. This model consist a Business Development Advisor (BDA) serving as a case manager for DBEs. The BDA will assist firms with accessing readily available, free resources, such as the Small Business Development Centers, for Business Plan assistance.

Also, DBEs enrolled in the Long Term Business Development Program, or upon request, will be able to receive free targeted technical assistance from consultants providing the following technical assistance (presently three agreements have been executed, three more are nearly executed):

- Information Technology
- Contract Administration (change orders, prompt payment, invoicing, etc.)
- Bidding and Scheduling
- Proposal Preparation
- Bonding Assistance
- Accounting (FAR and Safe Harbor)
- Management
- Marketing
- Service delivery is managed by the BDA to ensure adequate technical assistance is provided to DBEs.
- WSDOT is also working with the Washington Procurement Technical Assistance Center to ensure that the needs identified by the Alaskan Way Viaduct program DBEs are adequately addressed. This contract is being written to ensure AWW and DBEs statewide can receive assistance necessary. WSDOT has also partnered with Native-PTAC, the USDOT

Small Business Transportation Resource Center (SBTRC), and the Washington Center for Women in Business to deliver additional services.

- On November 16, 2015, WSDOT launched a survey to develop a current DBE Support Services Needs Assessment. This survey will likely close late December and will position WSDOT to deliver a more effective DBE Support Services program.
- On October 15, 2015, OEO staff attended the Tabor 100 sponsored Northwest Small Business Workshop in Seattle. This event was co-sponsored by Wells Fargo presenting on business plan preparation.
- On October 21, 2015, OEO staff attended the USDOT's Northwest Small Business Transportation Resource Center Small Business Blueprint event on strategic planning and doing business with primes.
- On October 27 and 28, 2015, OEO and HQ Construction hosted Subcontracting on Construction projects with WSDOT classes in Seattle and Spokane respectively. Cumulatively, approximately 40 people attended. This class is taught to ensure subcontractors are provided with adequate information regarding the administrative requirements of working with WSDOT.
- On November 4, 2015, OEO and HQ Construction staff attended the Department of Enterprises Annual Trade Show & Training Conference. Approximately five hundred individuals representing small and large businesses (including minority and women owned firms) as well as government officials were in attendance.
- On November 6, 2015, OEO staff attended the North Puget Sound Small Business Summit. A reverse trade show with approximately 100 government entities present. This was a well-attended event with hundreds of small businesses (including minority and women owned firms) representatives present.
- On November 12, 2015, WSDOT, Sound Transit and the Port of Seattle Hosted Business After Hours. This annual event is for small, veteran, minority and women

owned consulting and construction firms to network with prime contractors, consultants and agency staff in a casual environment. This event includes an awards ceremony, and WSDOT's 2015 Champion of Inclusion was Kiewit Infrastructure. Following are photos from the event:



EXHIBITS:

EXHIBIT A: Summary of DBE Progress Changes between STP DBE Progress Report #53 and #56.

Attachment #1, Summary of Comparison between DBE Progress Report #53 and #56

Attachment #2, Comparison of DBE Progress Report #53 and #56 DBE Commitment Validation

Attachment #3, Comparison of DBE Progress Report #53 and #56 DBE Invoice to Date Validation

Attachment #4, Comparison of DBE Progress Report #53 and #56 DBE Total Payments Validation

Attachment #5, Comparison of DBE Progress Report #53 and #56 DBE Participation Validation

EXHIBIT B: Memorandum, Validation STP Monthly DBE Progress Report #56

Attachment #1, STP DBE Progress Report No. 56, October 2015

Attachment #2, DBE Commitment Validation

Attachment #3, DBE Invoice to Date Validation

Attachment #4, DBE Total Payments Validation

Attachment #5, DBE Amount (as amended) Validation

Attachment #6, List of DBE Subcontracts

Attachment #7, DBE Certified Payrolls Hours Verification, October 2015

EXHIBIT C: Revised Waiver Request

Americans with Disabilities Act (ADA) Information: This material can be made available in an alternate format by emailing the Office of Equal Opportunity at wsdotada@wsdot.wa.gov or by calling toll free, 855-362-4ADA(4232). Persons who are deaf or hard of hearing may make a request by calling the Washington State Relay at 711.

Title VI Statement to Public: It is the Washington State Department of Transportation's (WSDOT) policy to assure that no person shall, on the grounds of race, color, national origin or sex, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its federally funded programs and activities. Any person who believes his/her Title VI protection has been violated, may file a complaint with WSDOT's Office of Equal Opportunity (OEO). For additional information regarding Title VI complaint procedures and/or information regarding our non-discrimination obligations, please contact OEO's Title VI Coordinator at (360) 705-7082.

EXHIBIT A: Narrative Comparison between DBE Progress Report #56 and #53

**DBE Progress Report Validation
STP DBE Progress Report #56 vs #53**

This narrative summarizes the difference between Seattle Tunnel Partner's (STP) DBE Progress Report #56 and DBE Progress Report #53 and provides an update of activities since the September 2015 FHWA DBE Progress Report, which reported on activities through July, 2015.

STP's Progress Report #53, submitted to WSDOT on August 31, 2015, was provided to FHWA via WSDOT DBE Program Quarterly Progress Report to FHWA, dated September 2015. The September Report indicated there were 97 DBE subcontractors working on 170 DBE subcontracts. The total commitments reported by STP were \$100,302,136.64 and the Total DBE Participation claimed was \$67,972,919.28.

STP's Progress Report #56 was submitted to WSDOT on November 30, 2015. STP Progress Report #56 indicates there are 102 DBE subcontractors working on 179 DBE subcontracts. The total commitments, as reported by STP, is \$102,563,013.14 and the Total DBE Participation claimed is \$70,997,838.58.

A Summary of the differences between Progress Report #56 and #53 may be found in Attachment #1. Details regarding commitments, invoiced to date, total payments and DBE participation are as follows:

- 40 Commitment changes totaling a \$2,260,876.50 increase. (Attachment #2)
- 43 Invoiced to Date changes totaling a \$3,787,540.33 increase. (Attachment #3)
- 42 Payments to Date changes totaling a \$3,117,761.86 increase. (Attachment #4)
- 42 DBE Amount (as amended) changes totaling a \$3,024,919.30 increase. (Attachment #5)

STP's DBE Progress Reports #53 through #56, were validated by WSDOT following the validation procedures approved by FHWA.

ATTACHMENTS:

- #1: Summary of Comparison between DBE Progress Report #56 and #53
- #2: Comparison of Commitments between DBE Progress Report #56 and #53
- #3: Comparison of Invoicing between DBE Progress Report #56 and #53
- #4: Comparison of Total Payments between DBE Progress Report #56 and #53
- #5: Comparison of DBE Participation between DBE Progress Report #56 and #53

EXHIBIT A: ATTACHMENT # 1
SUMMARY OF DBE PROGRESS REPORT VALIDATIONS- PROGRESS REPORT #56 VS #53

Progress to Date	DBE Progress Report		
	#53	#56	Delta
Commitments	\$100,302,136.64	\$ 102,563,013.14	\$ 2,260,876.50
Invoiced to Date	\$ 89,305,915.07	\$ 93,093,455.40	\$ 3,787,540.33
Payments to Date	\$ 87,847,487.44	\$ 90,965,249.30	\$ 3,117,761.86
DBE Participation	\$ 67,972,919.28	\$ 70,997,838.58	\$ 3,024,919.30
# of DBE Contractors	97	97	0
# DBE Subcontracts	170	170	0
On-Site Reviews	6	6	12
	5/2015- 7/2015	5/2015- 7/2015	TOTAL for 2015

DBE Progress Report	Reported Labor Hours	Certified Payroll Hours	Delta
#54	5,357.00	5,529.00	172.00
#55	5,258.00	4,992.50	(265.50)
#56	5,162.75	5,069.00	(93.75)
TOTAL	15,777.75	15,590.50	(187.25)

**EXHIBIT A: ATTACHMENT # 2
DBE COMMITMENT VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)		Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Invoiced to Date	#56 Commitment	#53 Commitment	#56 - #53 Commitment Change
FIRST TIER										
1	Advanced Underground Utilities (Added on #43)	NOB Underground Utilities	S	12-Sep-14		92%	\$ 305,612.84	\$ 333,395.42	\$ 323,125.38	\$ 10,270.04
2	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%	\$ 98,380.86	\$ 98,380.86	\$ 93,580.86	\$ 4,800.00
3	CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%	\$ 571,961.03	\$ 571,961.03	\$ 564,836.03	\$ 7,125.00
4	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 1,218,533.90	\$ 26,256.20
5	Environmental Management Training	Safety Training	V	3-Jan-12	Active	100%	\$ 22,345.00	\$ 22,345.00	\$ 22,575.00	\$ (230.00)
6	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 1,583,914.00	\$ 1,583,914.00	\$ 1,411,828.00	\$ 172,086.00
7	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 474,804.04	\$ 474,804.04	\$ 421,752.65	\$ 53,051.39
8	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 743,766.56	\$ 263,782.48
9	Pro USA (LT to Grady)	South Portal Trucking	V	24-Jul-2012	10/18/2012	100%				
10	Green City Inc. (Added on #56)	Irrigation/Landscaping NOB/SOB	Need	2-Oct-2015		0%		\$ 278,400.00		\$ 278,400.00
11	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 280,124.45	\$ 280,124.45	\$ 277,322.57	\$ 2,801.88
12	On-Site Environmental Inc. (LT to Greylock)	Environmental Analytical Testing	V	14-Dec-2011	Active	100%				
13	Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 38,360.00	\$ 38,360.00	\$ 30,140.00	\$ 8,220.00
14	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 365,110.01	\$ 32,944.48
15	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 5,102,281.75	\$ 471,260.00
16	OMA Construction Inc.	Safe Haven No. 003	S	11-Jan-2013	Active	25%	\$ 73,603.70	\$ 300,000.00	\$ 300,000.00	\$ -
17	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 843,636.63	\$ 843,636.63	\$ 765,130.73	\$ 78,505.90
18	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 328,973.50	\$ 32,487.00
19	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 788,393.74	\$ 40,668.00
20	Quality Woodworking (Added on #52)	Wood Benches NOB	V	2-Jun-2015		0%		\$ 61,534.00	\$ 60,625.00	\$ 909.00
21	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 833,637.00	\$ 66,204.00
22	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	81%	\$ 6,381,667.64	\$ 7,918,261.48	\$ 7,911,992.77	\$ 6,268.71
23	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014		100%	\$ 13,600.96	\$ 13,600.96	\$ 12,500.96	\$ 1,100.00
VENDORS										
24	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 296,805.36	\$ 29,982.03
25	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 62,164.19	\$ 795.51
26	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 260,416.02	\$ 260,416.02	\$ 259,025.63	\$ 1,390.39
27	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 2,545,177.24	\$ 2,545,177.24	\$ 2,478,644.24	\$ 66,533.00
28	United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 5,698.09	\$ 1,596.51
LOWER TIER										
CROWN CORR (Non-DBE sub)										
29	MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015	Active	100%	\$ 18,893.20	\$ 18,893.20		\$ 18,893.20
30	Red Arrow Logistics (LT to Crown Corr) (Added #56)	Freight	V	1-Oct-2015	Active	100%	\$ 6,372.50	\$ 6,372.50		\$ 6,372.50
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										

**EXHIBIT A: ATTACHMENT # 2
DBE COMMITMENT VALIDATION**

	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Invoiced to Date	#56 Commitment	#53 Commitment	#56 - #53 Commitment Change
31	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013	Active	100%	\$ 1,949,713.24	\$ 1,949,713.24	\$ 1,884,010.00	\$ 65,703.24
HNTB (Non-DBE sub)										
32	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 937,830.53	\$ 937,830.53	\$ 937,205.53	\$ 625.00
33	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015	Active	100%	\$ 58,045.00	\$ 58,045.00	\$ 16,007.50	\$ 42,037.50
34	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 412,446.36	\$ 412,446.36	\$ 407,541.36	\$ 4,905.00
35	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 114,580.00	\$ 114,580.00	\$ 108,940.00	\$ 5,640.00
LENNON CRANE (Non-DBE sub)										
36	Penny Lee Trucking (LT to Lennon)	Trucking	S	N/A		100%	\$ 2,996.50	\$ 2,996.50		\$ 2,996.50
NCM (Non-DBE sub)										
37	OMA (LT to NCM) (Added for #38)	Demo, Trucking Secants, Wall Openings and Cradle	V	25-Mar-2014	3/26/2014	100%	\$ 186,227.50	\$ 186,227.50	\$ 167,626.50	\$ 18,601.00
38	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	100%	\$ 26,294.98	\$ 26,294.98	\$ 18,651.80	\$ 7,643.18
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)										
39	Pacific Geo Engineering (LT to PSI)	Concrete testing and laboratory testing	V	4-Jan-2013		100%	\$ 26,776.50	\$ 26,776.50	\$ 24,999.50	\$ 1,777.00
US Electric (Non-DBE sub) (Added on #50)										
40	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015	Active	100%	\$ 823,280.72	\$ 823,280.72	\$ 394,805.86	\$ 428,474.86
							\$ 93,093,455.40	\$ 102,563,013.14	\$ 100,302,136.64	\$ 2,260,876.50

**EXHIBIT A: ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)		Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Commitment	#56 Invoiced to Date	#53 Invoiced to Date	#56 - #53 Invoiced (Aug-Oct)
FIRST TIER										
1	Advanced Underground Utilities (Added on #43)	NOB Underground Utilities	S	12-Sep-14		92%	\$ 333,395.42	\$ 305,612.84	\$ 167,119.25	\$ 138,493.59
2	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%	\$ 98,380.86	\$ 98,380.86	\$ 93,580.86	\$ 4,800.00
3	CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%	\$ 571,961.03	\$ 571,961.03	\$ 564,836.03	\$ 7,125.00
4	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 1,218,533.90	\$ 26,256.20
5	Environmental Management Training	Safety Training	V	3-Jan-12	Active	100%	\$ 22,345.00	\$ 22,345.00	\$ 22,575.00	\$ (230.00)
6	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013		100%	\$ 1,583,914.00	\$ 1,583,914.00	\$ 1,411,828.00	\$ 172,086.00
7	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 474,804.04	\$ 474,804.04	\$ 421,752.65	\$ 53,051.39
8	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 743,766.56	\$ 263,782.48
9	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 280,124.45	\$ 280,124.45	\$ 277,322.57	\$ 2,801.88
10	Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 38,360.00	\$ 38,360.00	\$ 30,140.00	\$ 8,220.00
11	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 365,110.01	\$ 32,944.48
12	Neppel Electrical (Added on #42)	Harrison Street Hangers and Conduit	S	31-Jul-2014	Active	100%	\$ 473,613.72	\$ 473,613.72	\$ 457,086.23	\$ 16,527.49
13	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 5,102,281.75	\$ 471,260.00
14	OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	25-Sep-2012	Active	95%	\$ 18,506,125.29	\$ 17,538,890.65	\$ 17,426,583.90	\$ 112,306.75
15	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 843,636.63	\$ 843,636.63	\$ 765,130.73	\$ 78,505.90
16	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 328,973.50	\$ 32,487.00
17	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 788,393.74	\$ 40,668.00
18	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 833,637.00	\$ 66,204.00
19	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	81%	\$ 7,918,261.48	\$ 6,381,667.64	\$ 5,904,210.37	\$ 477,457.27
20	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014		100%	\$ 13,600.96	\$ 13,600.96	\$ 12,500.96	\$ 1,100.00
VENDORS										
21	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 296,805.36	\$ 29,982.03
22	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 62,164.19	\$ 795.51
23	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 260,416.02	\$ 260,416.02	\$ 259,025.63	\$ 1,390.39
24	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 2,545,177.24	\$ 2,545,177.24	\$ 2,478,644.24	\$ 66,533.00
25	United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 5,698.09	\$ 1,596.51
LOWER TIER										
CROWN CORR (Non-DBE sub)										
26	MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015		100%	\$ 18,893.20	\$ 18,893.20		\$ 18,893.20
27	Red Arrow Logistics (LT to Crown Corr) (Added #56)	Freight	V	1-Oct-2015		100%	\$ 6,372.50	\$ 6,372.50		\$ 6,372.50
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										
28	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013	Active	100%	\$ 1,949,713.24	\$ 1,949,713.24	\$ 1,884,010.00	\$ 65,703.24
HNTB (Non-DBE sub)										
29	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 937,830.53	\$ 937,830.53	\$ 937,205.53	\$ 625.00
30	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 58,045.00	\$ 58,045.00	\$ 16,007.50	\$ 42,037.50
31	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 412,446.36	\$ 412,446.36	\$ 407,541.36	\$ 4,905.00
32	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 114,580.00	\$ 114,580.00	\$ 108,940.00	\$ 5,640.00
JH KELLY (Non-DBE sub)										
33	Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	82%	\$ 550,000.00	\$ 449,163.50	\$ 401,069.50	\$ 48,094.00
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)										
34	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	51%	\$ 4,235,528.11	\$ 2,153,146.89	\$ 1,863,827.88	\$ 289,319.01
JH KELLY - FISK ELECTRIC (Non-DBE sub)										

**EXHIBIT A: ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION**

	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Commitment	#56 Invoiced to Date	#53 Invoiced to Date	#56 - #53 Invoiced (Aug-Oct)
35	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		96%	\$ 5,055,670.34	\$ 4,863,458.52	\$ 4,302,180.75	\$ 561,277.77
	JH KELLY - SICE (Non-DBE sub)									
36	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #49)	Electrical contractor	S	28-Jan-2014		34%	\$ 270,800.00	\$ 92,385.00	\$ 63,141.00	\$ 29,244.00
37	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #52)	Electrical contractor	S	1-May-2015		4%	\$ 2,758,729.43	\$ 99,379.20		\$ 99,379.20
	LENNON CRANE (Non-DBE sub)									
38	Penny Lee Trucking (LT to Lennon)	Trucking	S	N/A		100%	\$ 2,996.50	\$ 2,996.50		\$ 2,996.50
	NCM (Non-DBE sub)									
39	OMA (LT to NCM) (Added for #38)	Demo, Trucking Secants, Wall Openings and Cradle	V	25-Mar-2014	3/26/2014	100%	\$ 186,227.50	\$ 186,227.50	\$ 167,626.50	\$ 18,601.00
40	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	100%	\$ 26,294.98	\$ 26,294.98	\$ 18,651.80	\$ 7,643.18
	PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)									
41	Pacific Geo Engineering (LT to PSI)	Concrete testing and laboratory testing	V	4-Jan-2013		100%	\$ 26,776.50	\$ 26,776.50	\$ 24,999.50	\$ 1,777.00
	SOLDATA - KPG (Non-DBE sub)									
42	Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 1,093,130.55	\$ 817,901.42	\$ 767,488.92	\$ 50,412.50
	US Electric (Non-DBE sub) (Added on #50)									
43	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 823,280.72	\$ 823,280.72	\$ 394,805.86	\$ 428,474.86
							\$ 102,563,013.14	\$ 93,093,455.40	\$ 89,305,915.07	\$ 3,787,540.33

**EXHIBIT A: ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION**

	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Total Payments this Report (October)	#56 Total Payments to Date	#53 Total Payments to Date	Compare Total Pymts to Date (#56 - #53)
FIRST TIER										
1	Advanced Underground Utilities (Added on #43)	NOB Underground Utilities	S	12-Sep-14		92%		\$ 290,332.20	\$ 158,763.29	\$ 131,568.91
2	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%		\$ 93,580.86	\$ 91,180.86	\$ 2,400.00
3	CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%		\$ 569,523.53	\$ 564,836.03	\$ 4,687.50
4	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 10,403.40	\$ 1,238,845.30	\$ 1,211,507.50	\$ 27,337.80
5	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 114,724.00	\$ 1,583,914.00	\$ 1,411,828.00	\$ 172,086.00
6	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 24,160.77	\$ 452,671.37	\$ 419,414.71	\$ 33,256.66
7	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 28,396.55	\$ 915,392.24	\$ 735,782.51	\$ 179,609.73
8	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 955.55	\$ 279,128.32	\$ 276,323.74	\$ 2,804.58
9	Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 2,740.00	\$ 35,620.00	\$ 27,400.00	\$ 8,220.00
10	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 14,211.14	\$ 393,141.74	\$ 360,114.01	\$ 33,027.73
11	Neppel Electrical (Added on #42)	Harrison Street Hangers and Conduit	S	31-Jul-2014	Active	100%		\$ 449,933.02	\$ 434,231.91	\$ 15,701.11
12	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 156,884.75	\$ 5,416,023.25	\$ 4,944,101.50	\$ 471,921.75
13	OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	25-Sep-2012	Active	95%	\$ 112,306.75	\$ 17,538,890.65	\$ 17,426,583.90	\$ 112,306.75
14	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 10,829.00	\$ 350,631.50	\$ 318,144.50	\$ 32,487.00
15	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 27,112.00	\$ 829,061.74	\$ 788,393.74	\$ 40,668.00
16	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 32,016.00	\$ 888,267.00	\$ 800,517.00	\$ 87,750.00
17	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014		100%	\$ 1,100.00	\$ 13,600.96	\$ 12,500.96	\$ 1,100.00
VENDORS										
18	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 5,145.07	\$ 308,231.18	\$ 296,805.36	\$ 11,425.82
19	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 24.71	\$ 62,382.89	\$ 62,164.19	\$ 218.70
20	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 486.19	\$ 260,416.02	\$ 257,344.15	\$ 3,071.87
21	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 57,266.00	\$ 2,545,177.24	\$ 2,477,088.24	\$ 68,089.00
22	United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 52.56	\$ 7,068.31	\$ 5,698.09	\$ 1,370.22
LOWER TIER										
CROWN CORR (Non-DBE sub)										
23	MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015		100%	\$ 10,125.00	\$ 10,125.00		\$ 10,125.00
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										
24	Savage Logistics, LLC (LT to Lining Precast)	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	V	23-Jul-2013		100%		\$ 1,949,713.24	\$ 1,884,010.00	\$ 65,703.24
HNTB (Non-DBE sub)										
25	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%		\$ 931,564.98	\$ 930,605.48	\$ 959.50
26	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 15,200.00	\$ 43,937.50	\$ 4,892.50	\$ 39,045.00
27	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 3,225.25	\$ 408,159.38	\$ 404,934.13	\$ 3,225.25
28	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 4,100.20	\$ 114,530.10	\$ 106,230.90	\$ 8,299.20
JH KELLY (Non-DBE sub)										
29	Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	82%		\$ 381,016.03	\$ 351,338.03	\$ 29,678.00
JH KELLY - DESERT MECHANICAL (Non-DBE sub)										
30	OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	Underground Piping	S	1-Oct-2012	2/1/2015	88%		\$ 94,425.25	\$ 51,675.25	\$ 42,750.00
31	Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	99%	\$ 75,482.54	\$ 749,934.92	\$ 572,906.30	\$ 177,028.62
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)										
32	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	51%	\$ 88,283.14	\$ 2,019,992.12	\$ 1,727,223.56	\$ 292,768.56
JH KELLY - FISK ELECTRIC (Non-DBE sub)										
33	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		96%		\$ 4,643,603.53	\$ 4,302,180.75	\$ 341,422.78
JH KELLY - SICE (Non-DBE sub)										
34	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #49)	Electrical contractor	S	28-Jan-2014		34%		\$ 87,765.75	\$ 22,730.65	\$ 65,035.10
35	Neppel Electrical (LT to SICE, 3rd tier under JH Kelly) (Added on #52)	Electrical contractor	S	1-May-2015		4%		\$ 99,379.20		\$ 99,379.20
LENNON CRANE (Non-DBE sub)										
36	Penny Lee Trucking (LT to Lennon)	Trucking	S	N/A		100%		\$ 2,996.50		\$ 2,996.50
NCM (Non-DBE sub)										
37	OMA (LT to NCM) (Added for #38)	Demo, Trucking Secants, Wall Openings and Cradle	V	25-Mar-2014	3/26/2014	100%		\$ 178,751.50	\$ 154,702.50	\$ 24,049.00
38	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	100%		\$ 22,689.69	\$ 18,373.05	\$ 4,316.64
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)										

EXHIBIT A: ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION

39	Pacific Geo Engineering (LT to PSI)	Concrete testing and laboratory testing	V	4-Jan-2013		100%		\$ 26,776.58	\$ 24,999.50	\$ 1,777.08	
	SOLDATA - KPG (Non-DBE sub)										
40	Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 38,710.16	\$ 781,271.38	\$ 715,833.07	\$ 65,438.31	
	SOLDATA - Holocene Drilling (Non-DBE sub)										
41	Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	V	8-Apr-2015		100%	\$ 10,431.93	\$ 32,849.54	\$ 6,736.52	\$ 26,113.02	
	US Electric (Non-DBE sub) (Added on #50)										
42	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 118,290.56	\$ 691,728.94	\$ 315,186.21	\$ 376,542.73	
							\$ 962,663.22	\$ 90,965,249.30	\$ 87,847,487.44	\$ 3,117,761.86	

**EXHIBIT A: ATTACHMENT # 5
DBE AMOUNT (AS AMENDED) VALIDATION**

	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Commitment	#56 Invoiced to Date	#56 Total Payments this Report (October)	#56 Total Payments to Date	#56 DBE Amount (as Amended)	#53 DBE Amount (as Amended)	#56 - #53 DBE Amount (as Amended)	Pymt to Date <=#56 DBE Amt
FIRST TIER														
1	Advanced Underground Utilities (Added on #43)	NOB Underground Utilities	S	12-Sep-14		92%	\$ 333,395.42	\$ 305,612.84		\$ 290,332.20	\$ 149,043.98	\$ -	\$ 149,043.98	
2	Catherine Bassetti	Progress photography	V	5-Mar-12	Active	100%	\$ 98,380.86	\$ 98,380.86		\$ 93,580.86	\$ 92,989.36	\$ 90,589.36	\$ 2,400.00	
3	CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%	\$ 571,961.03	\$ 571,961.03		\$ 569,523.53	\$ 569,523.53	\$ 564,836.03	\$ 4,687.50	
4	DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 10,403.40	\$ 1,238,845.30	\$ 1,238,845.30	\$ 1,211,507.50	\$ 27,337.80	Yes
5	EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 1,583,914.00	\$ 1,583,914.00	\$ 114,724.00	\$ 1,583,914.00	\$ 1,548,774.00	\$ 1,376,688.00	\$ 172,086.00	Yes
6	Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 474,804.04	\$ 474,804.04	\$ 24,160.77	\$ 452,671.37	\$ 452,671.37	\$ 419,414.71	\$ 33,256.66	Yes
7	Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 28,396.55	\$ 915,392.24	\$ 915,392.24	\$ 735,782.51	\$ 179,609.73	Yes
8	Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 280,124.45	\$ 280,124.45	\$ 955.55	\$ 279,128.32	\$ 152,698.47	\$ 150,245.89	\$ 2,452.58	Yes
9	On-Site Environmental Inc. (LT to Greylock)	Environmental Analytical Testing	V	14-Dec-2011	Active	100%				\$ 71,236.75	\$ 70,003.75	\$ -	\$ 1,233.00	
10	MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 14,211.14	\$ 393,141.74	\$ 393,141.74	\$ 360,114.01	\$ 33,027.73	Yes
11	Neppel Electrical (Added on #42)	Harrison Street Hangers and Conduit	S	31-Jul-2014	Active	100%	\$ 473,613.72	\$ 473,613.72		\$ 449,933.02	\$ 449,933.02	\$ 434,231.91	\$ 15,701.11	Yes
12	Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 156,884.75	\$ 5,416,023.25	\$ 5,402,529.25	\$ 4,930,607.50	\$ 471,921.75	Yes
13	OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	25-Sep-2012	Active	95%	\$ 18,506,125.29	\$ 17,538,890.65	\$ 112,306.75	\$ 17,538,890.65	\$ 14,390,582.74	\$ 14,279,412.99	\$ 111,169.75	Yes
14	Maks Dump Truck (LT to OMA)	Trucking	V	1-Dec-2012	Active	100%					\$ 249,740.73	\$ 240,215.73	\$ 9,525.00	
15	Trinity Development (LT to OMA)	Trucking	V	17-Oct-2012	Active	100%					\$ 194,885.19	\$ 182,697.69	\$ 12,187.50	
17	Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 10,829.00	\$ 350,631.50	\$ 191,211.96	\$ 173,343.96	\$ 17,868.00	Yes
18	Rose Super Clean and Park Management (LT to Osiris)	Janitorial Services	V	6-Apr-2012	Active	100%					\$ 154,546.54	\$ 139,927.54	\$ 14,619.00	
19	PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 27,112.00	\$ 829,061.74	\$ 822,666.06	\$ 781,998.06	\$ 40,668.00	Yes
20	Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 32,016.00	\$ 888,267.00	\$ 888,267.00	\$ 800,517.00	\$ 87,750.00	Yes
21	Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	81%	\$ 7,918,261.48	\$ 6,381,667.64		\$ 5,609,449.86	\$ 5,432,785.40	\$ 5,044,947.64	\$ 387,837.76	Yes
22	Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014	Active	100%	\$ 13,600.96	\$ 13,600.96	\$ 1,100.00	\$ 13,600.96	\$ 12,830.96	\$ 11,730.96	\$ 1,100.00	Yes
VENDORS														
23	Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 5,145.07	\$ 308,231.18	\$ 184,938.71	\$ 178,083.22	\$ 6,855.49	Yes
24	Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 24.71	\$ 62,382.89	\$ 37,239.30	\$ 37,108.08	\$ 131.22	Yes
25	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMA's	R	NA	Active	100%	\$ 260,416.02	\$ 260,416.02	\$ 486.19	\$ 260,416.02	\$ 156,249.61	\$ 154,406.49	\$ 1,843.12	Yes
26	ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA	Active	100%	\$ 2,545,177.24	\$ 2,545,177.24	\$ 57,266.00	\$ 2,545,177.24	\$ 2,022,875.28	\$ 1,979,630.28	\$ 43,245.00	Yes
27	United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 52.56	\$ 7,068.31	\$ 7,068.31	\$ 5,698.09	\$ 1,370.22	Yes
LOWER TIER														
HNTB (Non-DBE sub)														
28	CivilTech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 937,830.53	\$ 937,830.53		\$ 931,564.98	\$ 931,564.98	\$ 930,605.48	\$ 959.50	
29	Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 58,045.00	\$ 58,045.00	\$ 15,200.00	\$ 43,937.50	\$ 43,937.50	\$ 4,892.50	\$ 39,045.00	Yes
30	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 412,446.36	\$ 412,446.36	\$ 3,225.25	\$ 408,159.38	\$ 404,696.88	\$ 401,471.63	\$ 3,225.25	Yes
31	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 114,580.00	\$ 114,580.00	\$ 4,100.20	\$ 114,530.10	\$ 114,530.10	\$ 106,230.90	\$ 8,299.20	Yes
JH KELLY (Non-DBE sub)														
32	Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	82%	\$ 550,000.00	\$ 449,163.50		\$ 381,016.03	\$ 311,141.03	\$ 286,463.03	\$ 24,678.00	
JH KELLY - DESERT MECHANICAL (Non-DBE sub)														
33	OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	Underground Piping	S	1-Oct-2012	2/1/2015	88%	\$ 112,640.00	\$ 99,395.00		\$ 94,425.25	\$ 94,425.25	\$ 51,675.25	\$ 42,750.00	
34	Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	99%	\$ 760,949.98	\$ 749,934.92	\$ 75,482.54	\$ 749,934.92	\$ 749,934.92	\$ 572,906.30	\$ 177,028.62	Yes
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)														
35	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	51%	\$ 4,235,528.11	\$ 2,153,146.89	\$ 88,283.14	\$ 2,019,992.12	\$ 1,931,708.98	\$ 1,727,223.56	\$ 204,485.42	
JH KELLY - FISK ELECTRIC (Non-DBE sub)														
36	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		96%	\$ 5,055,670.34	\$ 4,863,458.52		\$ 4,643,603.53	\$ 2,786,162.12	\$ 2,581,308.45	\$ 204,853.67	
NCM (Non-DBE sub)														
37	OMA (LT to NCM) (Added for #38)	Demo, Trucking Secants, Wall Openings and Cradle	V	25-Mar-2014	3/26/2014	100%	\$ 186,227.50	\$ 186,227.50		\$ 178,751.50	\$ 17,860.00	\$ -	\$ 17,860.00	
38	Mar-Vac / Marine Vacuum Service Inc. (LT to NCM) (Added on #42)	Vac-truck services	V	26-Jun-2014	Active	100%	\$ 26,294.98	\$ 26,294.98		\$ 22,689.69	\$ 17,345.28	\$ 14,584.68	\$ 2,760.60	
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)														
39	Pacific Geo Engineering (LT to PSI)	Concrete testing and laboratory testing	V	4-Jan-2013		100%	\$ 26,776.50	\$ 26,776.50		\$ 26,776.58	\$ 26,776.58	\$ 24,999.50	\$ 1,777.08	
SOLDATA - KPG (Non-DBE sub)														
40	Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 1,093,130.55	\$ 817,901.42	\$ 38,710.16	\$ 781,271.38	\$ 781,271.38	\$ 715,833.07	\$ 65,438.31	Yes
SOLDATA - Holocene Drilling (Non-DBE sub)														
41	Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	V	8-Apr-2015		100%	\$ 32,849.54	\$ 32,849.54	\$ 10,431.93	\$ 32,849.54	\$ 32,849.54	\$ 6,736.52	\$ 26,113.02	Yes
US Electric (Non-DBE sub) (Added on #50)														
42	Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 823,280.72	\$ 823,280.72	\$ 118,290.56	\$ 691,728.94	\$ 691,728.94	\$ 315,186.21	\$ 376,542.73	Yes
							\$ 102,563,013.14	\$ 93,093,455.40	\$ 962,663.22	\$ 90,965,249.30	\$ 70,997,838.58	\$ 67,972,919.28	\$ 3,024,919.30	



EXHIBIT B: Verification of DBE Progress Report #56

December 9, 2015

TO: Bobby Forch, DBE Administrator AWW *Bobby Forch*

FROM: Dawn McIntosh, P.E. *Dawn*

SUBJECT: Validation STP Monthly DBE Progress Report No. 56

Review of STP Monthly DBE Progress Report No. 56 (Report No. 56) began 12/1/2015 and was completed on 12/9/2015 (See Attachment 1).

- DBE Contractual Requirement (Change Order 91)= \$96,000,000
- DBE Goal= 8% of total contract value
- Commitments= \$102,563,013.14
- Total Payments= \$90,965,249.30
- DBE Participation= \$70,997,838.58

STP reported 102 subcontractors with 179 subcontracts. Comparing Report No. 56 to Report No. 55 resulted in changes as follows:

- 18 Commitment changes totaling \$616,883.79 increase (Attachment 2)
- 22 Invoiced to Date changes totaling \$1,382,482.12 increase (Attachment 3)
- 27 Payments to Date changes totaling \$966,093.27 increase (Attachment 4)
- 28 DBE Amount (as Amended) changes totaling \$860,982.38 increase (Attachment 5)

The validation process focused on review of those subcontracts that resulted in the changes noted above. The DBE Validation Binders for Monthly DBE Report No. 56 (October 2015) were used to verify the information. However, when information was limited in the binders, records were validated using subcontractor files located in the STP office.

Commitment comparisons resulted in favorable remarks as reported by STP and logged on Attachment 2. All Commitments were validated, as shown on Attachment 2.

Invoiced to Date comparisons resulted in favorable remarks as reported by STP and logged on Attachment 3. All Invoices were validated, as shown on Attachment 3.

Payments for subcontracts reported by STP resulted in favorable remarks. All payments were validated, as shown on Attachment 4.

DBE Amount (as Amended) comparisons all resulted in favorable remarks as reported by STP and logged on Attachment 5. All payments to date were equal to or more than DBE Amount (as Amended) and all DBE Amounts (as Amended) were validated. STP reported an increase of \$53,728.50 in DBE participation for trucking. This increase in trucking was associated with work performed by Savage Logistics, OMA Construction

Inc., Maks Dump Truck and Trinity Development. The trucking records were verified following the verification process, as approved by FHWA.

The following new DBE subcontractor was added under this Report:

- Green City Inc. (LT to STP)
- MBI Construction Services (LT to Crown Corr)
- Red Arrow Logistics (LT to Crown Corr)

The following existing DBE subcontractor received new work under this report:

- AAR Testing (LT to PSI)
- JMR Trucking (LT to STP)
- Pro USA (LT to STP)

The current status of the DBE Subcontracts, regarding start dates, end dates, and retainage release dates may be found in Attachment #6.

A review of payroll reports showed the total hours reported on verified Certified Payrolls were 5,069 hours. This was 93.75 hours less than the 5,162.75 hours reported by the contractor. The primary over-reporting of hours was 157.5 hours by Stealkorr. This was significantly offset by under-reporting of 108.5 hours by Savage Logistics. This over and under-reporting can be attributed to the reporting cycle that subcontractors utilize, which does not correspond to the calendar month used in Certified Payroll. The breakdown, by skill craft, may be found in Attachment #7: DBE Certified Payroll Hours Verification.

Conclusion:

STP's Report No. 56 is acceptable.

The STP Binder for Report No. 56 was helpful for validating the invoiced and payment information, as well as a good portion of the commitments. However, in order to verify several commitment amounts it was necessary to review the STP files in order to complete validation documents.

Attachments:

1. STP DBE Progress Report No. 56
2. DBE Commitment Validation
3. DBE Invoiced to Date Validation
4. DBE Total Payments Validation
5. DBE Amount (as amended) Validation
6. Status of DBE Subcontracts
7. DBE Certified Payroll Hours Verification



Seattle Tunnel Partners
999 Third Avenue, Suite 2424
Seattle, WA 98104

WSDOT Contract No. 007999
Federal Aid No. BR-NH-STP-STPF-0099(111)
SR 99 Tunnel Project
Phone: 206-971-8701 Fax: 206-971-8702

ATTACHMENT #1: STP DBE Progress Report #56

Seattle Tunnel Partners

SR 99 Tunnel Project

Monthly DBE Progress Report No. 56

Progress Report Period: October 1, 2015 – October 31, 2015

Submission Date: Monday, November 30, 2015

STP remains on target to achieve the DBE goal.

DBE participation progress

Change Order 91 – Contractual Requirement:	\$96,000,000.00
DBE Goal:	8%
Current DBE commitments:	\$102,563,013.14
DBE payments:	\$90,965,249.30
DBE participation:	\$70,997,838.58

Please see attached STP Form DBE09 for further details.

Current DBE Efforts

Opportunities

STP is submitted our quarterly DBE action plan on October 30, 2015. The plan provided anticipated upcoming contracting opportunities where STP will work to maximize DBE participation. Remaining contracting opportunities are broken down by scope, estimated dollar value, and time frame the work is anticipated to be available. STP added fuel supply as an additional contracting opportunity with STP.

STP October RFPs/RFQs

STP discusses upcoming bids with WSDOT, OMWBE, and independent DBE Program Coordinator at bi-weekly STP Subcontracting Oversight Committees. At these meetings STP provides additional details and requests feedback from participants and incorporates suggestions.

1. Fire extinguisher cabinets:

This is a small purchase estimated at under \$5,000. STP invited three certified DBEs to provide pricing. One firm declined to bid. One firm was not responsive. STP is working with the third DBE firm on clarifications in order to obtain pricing.

October DBE Contract Negotiations

STP negotiated change orders and purchase orders with DBE firms already on contract based on changes in information and/or work previously awarded. STP continues to work with subs on lower tier DBE participation.

As a result of STP's efforts, Crown Corr carved out work for two DBE firms and executed lower tier contracts with MBI Construction Services and Red Arrow Logistics.

STP has started to execute direct subcontracts with DBE trucking firms that responded to the truck rotation RFP for the Backfill of the Access Shaft.

STP executed a contract with Green City Inc. one of two DBE bidders for landscaping services.

STP Outreach

STP conducts outreach in order to reach DBEs and provide information about the project, future contracting opportunities, contact information, and how to access work. STP also conducts outreach to encourage DBE firms to bid work on the project. STP is also working with WSDOT and OMWBE to provide information to the broader women and minority business community.

October Outreach*October 1, 2015, National Association of Minority Contractors of Washington (NAMC WA)*

STP attended the NAMC meeting and talked with MWBE/DBE firms in attendance.

October 2, 2015, Tabor 100 Unity Gala

STP sponsored a table for the Tabor 100 Unity Gala. STP management attended and talking with WMBE and DBE firms at the event.

October 16, 2015, Washington Construction Design & Entrepreneurs (CDE)- Federal Way

STP attended the CDE meeting, provided opportunity updates, discussed the upcoming CDE meeting STP is hosting, and networked with minority and women owned businesses.

October 21, 2015, U.S. DOT Office of Small and Disadvantage Business Panel

STP was a panelist in the first of a three part series to provide project management guidance to small and diverse businesses.

October 31, 2015, Tabor 100 General Membership Meeting

STP attended the Tabor 100 meeting and provided project updates and upcoming opportunities.

November Outreach*November 5, 2015, National Association of Minority Contractors of Washington (NAMC WA)*

STP presented at the NAMC meeting and provide project updates, information on upcoming opportunities, and information about the truck rotation.

November 6, 2015, North Puget Sound Small Business Summit

STP sponsored this event and participated with a booth in order to network with DBE and WMBE firms in North Puget Sound.

November 12, 2015, Business After Hours

STP was a sponsor of this event, which is put on by WSDOT, Sound Transit, and the Port of Seattle. STP attended, had a booth, and connected with DBE and WMBE firms.

November 20, 2015, Washington Construction Design & Entrepreneurs (CDE)- Seattle

STP has sponsored this CDE meeting, which was held at the WSDOT/STP offices in downtown Seattle. STP presented on the contracting method used for the Backfill of the Access Shaft as one of many methods primes can use to include more small businesses in lower tier contracts.

Planned December Outreach

December 3, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP plans to present at the NAMC meeting and provide project updates and information on upcoming opportunities.

December 3, 2015, 20th Anniversary Celebration and Minority Business Awards banquet

STP is a sponsor of this event and plans to attend and network with minority and women owned businesses.

December 18, 2015, Washington Construction Design & Entrepreneurs (CDE)- Federal Way

STP plans to attend the CDE meeting and networked with minority and women owned businesses.

Planned January Outreach

January 7, 2016, National Association of Minority Contractors of Washington (NAMC WA)

STP plans to present at the NAMC meeting and provide project updates and information on upcoming opportunities.

January 15, 2016, Washington Construction Design & Entrepreneurs (CDE)- Seattle

STP plans to attend the CDE meeting and networked with minority and women owned businesses.

January 23, 2016, Tabor 100 General Membership Meeting

STP plans to attend and provide project updates and upcoming opportunities.

Commitments increased as of month ending October 31, 2015

* First time reported

FIRST TIER	September Commitment	October Commitment	Difference
CivilTech Engineering	\$ 569,523.53	\$ 571,961.03	\$ 2,437.50
DHD Trucking	\$ 1,238,845.30	\$ 1,244,790.10	\$ 5,944.80
Global Geophysics	\$ 915,392.24	\$ 1,007,549.04	\$ 92,156.80
*Green City Inc.	\$ -	\$ 278,400.00	\$ 278,400.00
Meeds Environmental	\$ 35,620.00	\$ 38,360.00	\$ 2,740.00
MindSeekers, LLC	\$ 390,024.24	\$ 398,054.49	\$ 8,030.25
Oatridge Security Group Inc	\$ 5,416,023.25	\$ 5,573,541.75	\$ 157,518.50
Oneill Service Group	\$ 765,130.73	\$ 843,636.63	\$ 78,505.90
Osiris Enterprises LLC	\$ 350,631.50	\$ 361,460.50	\$ 10,829.00
PRR, Inc.	\$ 815,505.74	\$ 829,061.74	\$ 13,556.00
Savage Logistics, LLC	\$ 888,267.00	\$ 899,841.00	\$ 11,574.00
Steelkorr	\$ 7,911,992.77	\$ 7,918,261.48	\$ 6,268.71
VENDORS			
Birch Equipment Rental & Sales, Inc.	\$ 308,231.18	\$ 326,787.39	\$ 18,556.21
Excel Supply Company	\$ 62,382.89	\$ 62,959.70	\$ 576.81
United Reprographics	\$ 7,068.31	\$ 7,294.60	\$ 226.29
LOWER TIER			
Crown Corr (Non-DBE Sub)			
*MBI Construction (LT to Crown Corr)	\$ -	\$ 18,893.20	\$ 18,893.20
*Red Arrow Logistics (LT to Crown Corr)	\$ -	\$ 6,372.50	\$ 6,372.50
HNTB (Non-DBE sub)			
Oneill Service Group	\$ 43,937.50	\$ 58,045.00	\$ 14,107.50
US Electric (Non-DBE sub)			
Sundancer Electric	\$ 654,690.90	\$ 823,280.72	\$ 168,589.82
	\$ 20,373,267.08	\$ 21,268,550.87	\$ 895,283.79

MONTHLY DBE PROGRESS REPORT (From DBE-09)

Contract Number: 007999

Contract Title: AWV SR 99 Bored Tunnel Alternative Design-Build Project

Contract Amount (as amended): 1,374,172,306.48

DBE Goal: 8%

Prime Contractor: Seattle Tunnel Partners

Through 10/31/15 (all numbers exclude WSST)
 Total payment to Prime to date: 1,070,286,761.52
 Total amount invoiced to date: 1,070,958,756.34
 Amount of last payment to Prime: 8,655,775.37

Date of last payment to Prime: 10/27/2015
 Total of last payment to Prime: 8,655,775.37
 Total value of DBE commitments: \$ 102,563,013.14

Total value of DBE amount (as Amended): \$ 70,997,838.58

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
FIRST TIER									
AAR Testing Laboratories, Inc.	#D2F4708231	Testing	19-Dec-12	100%	\$ 720.00	\$ 720.00	COMPLETE	\$ 720.00	\$ 720.00
Advanced Underground Utilities	#D4M0023433	NOB Underground Utilities	12-Sep-14	92%	\$ 393,395.42	\$ 305,612.84		\$ 290,332.20	\$ 149,043.98
Amaya Electric	#D5N10200177	Mitigation Buildings - Electrical	1-Aug-13	100%	\$ 24,237.20	\$ 24,237.20	COMPLETE	\$ 24,237.20	\$ 24,237.20
Bear Wood Windows	#D4F0022489	NOB/SOB - Furnish & Install Shedes, Kitchen Cabinets	1-Aug-14	0%	\$ 31,605.00	\$ -		\$ -	\$ -
BESTCLS INC	#D3M9319663	Survey	8-Feb-12	100%	\$ 189,938.00	\$ 189,938.00		\$ 189,938.00	\$ 189,938.00
CZPM	#D4F9620654	Design Quality Assurance Manager	1-Sep-11	100%	\$ 416,500.00	\$ 416,500.00	COMPLETE	\$ 416,500.00	\$ 416,000.00
Catherine Bassetti	#D2F2313819	Progress photography	5-Mar-12	100%	\$ 98,380.86	\$ 98,380.86		\$ 98,380.86	\$ 92,989.36
CivilTech Engineering	#D4M0018825	Design & Consulting	31-Jul-2012	100%	\$ 571,961.03	\$ 571,961.03		\$ 569,523.53	\$ 569,523.53
DBE Electric	#D2F1021272	Signals / Illumination; Electrical/ Bldg. Conduit; Underground Cable	28-Feb-12	100%	\$ 1,005,698.49	\$ 1,005,698.49		\$ 987,067.07	\$ 641,798.40
DHD Trucking	#D3M9620749	Street Sweeping	10-Jan-12	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 10,403.40	\$ 1,238,845.30	\$ 1,238,845.30
Duncan Asphalt	#D3M9822253	MOT-2 SB & SB OFF Paving and CSBC Supply	11-Apr-14		\$ 51,630.60	\$ 51,630.60		\$ 49,049.07	\$ -
Environmental Management Training	#D3M9820748	Safety Training	3-Jan-12	100%	\$ 22,345.00	\$ 22,345.00		\$ 22,345.00	\$ 22,345.00
EPC Consultants, Inc.	#D4M0022954	Tunnel Quality Assurance	8-Jul-2013	100%	\$ 1,583,914.00	\$ 1,583,914.00	\$ 114,724.00	\$ 1,583,914.00	\$ 1,548,774.00
Exeltech Consulting Inc	#D4M2304220	PreConstruction Condition Survey	4-Aug-2011	100%	\$ 474,804.04	\$ 474,804.04	\$ 24,160.77	\$ 452,671.37	\$ 452,671.37
Fryer-Knowles, Inc.	#D2F5010810	Ceramic Tile: North Operations Building and South Operations Building	22-Nov-2013	0%	\$ 226,954.00	\$ -		\$ -	\$ -
Garner Construction	#D2F5108989	24/7 Crane Rental w/ Operator for Access Shaft Excavation	29-Aug-2014	100%	\$ 732,184.83	\$ 732,184.83		\$ 722,184.83	\$ 722,184.83
Global Concrete Cutting	#D3M0022412	Concrete Sawing/Cutting	31-Oct-2013	100%	\$ 1,700.00	\$ 1,700.00		\$ 1,615.00	\$ 1,615.00
Global Geophysics	#M4M0021256	Vibration Monitoring	21-May-2012	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 28,396.55	\$ 915,392.24	\$ 915,392.24
Grady Excavating	#D2W0020267	South Portal Trucking	11-Apr-2012	100%	\$ 881,412.65	\$ 881,412.65	COMPLETE	\$ 881,412.65	\$ 724,412.60
Pro USA (LT to Grady)	#D3M9422332	South Portal Trucking	21-Jul-2012	100%	\$ -	\$ -	COMPLETE	\$ -	\$ 30,469.50
*Green City Inc.	#D4M0021336	Irrigation/Landscaping NOB/SOB	2-Oct-2015	0%	\$ 278,400.00	\$ -		\$ -	\$ -
Greylock Consulting LLC	#D2F8019850	Environmental Consulting Services	1-Oct-2011	100%	\$ 280,124.45	\$ 280,124.45	\$ 955.55	\$ 279,128.32	\$ 152,698.47
On-Site Environmental Inc. (LT to Greylock)	#D3M10010381	Environmental Analytical Testing	14-Dec-2011	100%	\$ -	\$ -		\$ -	\$ 71,236.75
AM Test Inc (LT to On-Site)	#D2F0022787	Environmental Analytical Testing	30-Oct-2015	100%	\$ -	\$ -		\$ -	\$ 175.00
J. Harper Contractors Inc.	#D4M5310119	Demolition and Material Crushing	1-Nov-2011	100%	\$ 1,473,764.00	\$ 1,473,764.00		\$ 1,473,764.00	\$ 1,455,382.26
J. Keiser & Associates	#D5F0023416	DBE Coordinator - Consulting	30-Apr-2014	100%	\$ 110,571.20	\$ 110,571.20		\$ 110,571.20	\$ 79,300.00
*JMR Trucking	#D3M6917511	Trucking Roster Rotation	22-Oct-2015		\$ -	\$ -		\$ -	\$ -
JP Francis & Associates, Inc.	#M3M0018112	Mitigation building - plumbing and mechanical	24-Jul-2013	100%	\$ 53,510.86	\$ 53,510.86		\$ 50,835.32	\$ 50,835.32
KBA Inc/ Kristen Betty & Associates Inc.	#D2F4711296	Quality Control Temporary Assistance (File Clerk); Inspection services	5-Dec-2012	100%	\$ 284,310.00	\$ 284,310.00		\$ 284,310.00	\$ 284,310.00
Leajak Concrete Construction Inc	#D3M5310714	Terminal 46 Hide Area BMP Relocation/ Terminal 46 Reefer Racks - Foundation Works	8-May-2012	100%	\$ 739,114.07	\$ 739,114.07	COMPLETE	\$ 739,114.07	\$ -
Global Concrete Cutting (LT to Leajak)	#D3M0022412	Concrete cutting	26-Jun-12	100%	\$ -	\$ -	COMPLETE	\$ -	\$ -
Kiawa Trucking LLC (LT to Leajak)	#D3M8019933	Trucking	26-Jun-12	100%	\$ -	\$ -	COMPLETE	\$ -	\$ -
Sunsec Welding Inc. (LT to Leajak)	#D5M10018072	Rebar	30-Jun-12	100%	\$ -	\$ -	COMPLETE	\$ -	\$ -
Lorache CAD/IT Services LLC	#D3M8218532	T-46 - RTG Pavement Strengthening	5-Apr-2012	100%	\$ 439,521.57	\$ 439,521.57		\$ 403,898.05	\$ -
Leajak Concrete Construction Inc (LT to Lorache)	#D3M5310714	Excavating, install crush lock and pour concrete	1-Jul-2012	100%	\$ -	\$ -		\$ -	\$ 42,257.94
Sunsec Welding Inc. (Subcontract to Leajak, 3rd tier under Lorache)	#D5M10018072	Rebar	10-Jul-2012	100%	\$ -	\$ -	COMPLETE	\$ -	\$ 7,800.00
Magnum Crane LLC	#D1M8719508	Crane, Maint, Operator, fuel, riggings	17-Dec-2012	100%	\$ 62,847.55	\$ 62,847.55		\$ 62,847.55	\$ 62,847.55
Marshbank	#D1M0011507	Sewer Relocation	7-Aug-2012	86%	\$ 1,779,638.01	\$ 1,531,494.58		\$ 1,454,920.83	\$ 1,059,402.86
Sundancer (LT to Marshbank)	#D1M0022607	Electrical	15-May-2014		\$ -	\$ -		\$ -	\$ -
ProUSA (LT to Marshbank)	#D3M10022332	Trucking			\$ -	\$ -		\$ -	\$ 94,250.00
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Remove Underground Tank near Western Building	24-Oct-2012	100%	\$ 10,802.00	\$ 10,802.00	COMPLETE	\$ 10,802.00	\$ 10,802.00

Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Vac-truck services	18-Jul-2012	100%	\$ 178,466.02	\$ 178,466.02		\$ 170,872.82	\$ 170,872.82	
Meads Environmental	#D3M0021813	Filter Press	2-Apr-2015	100%	\$ 38,360.00	\$ 38,360.00	\$ 2,740.00	\$ 35,620.00	\$ -	
MindSeekers, LLC	#D3M6917745	Temporary Staffing	27-Feb-2013	100%	\$ 398,054.49	\$ 398,054.49	\$ 14,211.14	\$ 393,141.74	\$ 393,141.74	
Neppel Electrical	#D5M0017938	Harrison Street Hangers and Conduit	31-Jul-2014	100%	\$ 473,613.72	\$ 473,613.72		\$ 449,933.02	\$ 449,933.02	
Nolan Morrison	#D2F5522304	Document Control Consulting Svcs.	19-Sep-2011	100%	\$ 39,800.00	\$ 39,800.00	COMPLETE	\$ 39,800.00	\$ -	
Oatridge Security Group Inc	#D5M8421939	Security Guard Services	10-Oct-2011	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 156,884.75	\$ 5,416,023.25	\$ 5,402,529.25	
OMA Construction Inc.	#D4M2316494	North & South Portal Hauling; Trucking hourly	25-Sep-2012	95%	\$ 18,506,125.29	\$ 17,538,890.65	\$ 112,306.75	\$ 17,538,890.65	\$ 14,390,582.74	
C & E Transport Corp (LT to OMA)	#D3M0022750	Trucking	18-Nov-2013	100%				\$ 21,534.80	\$ -	
JMR Trucking (LT to OMA)	#D3M6917511	Trucking	1-Dec-2012	100%				\$ 52,196.18	\$ -	
Marks Dump Truck (LT to OMA)	#D3M0019935	Trucking	1-Dec-2012	100%				\$ 249,740.73	\$ -	
Ponglis Trucking Inc. (LT to OMA)	#D4M0019915	Trucking	17-Jan-2015	100%				\$ 221,671.25	\$ -	
Puget Sound Utilities (LT to OMA)	#D2F0022597	Trucking	17-Jul-2015	100%				\$ 12,622.50	\$ -	
SSB Trucking & Construction (LT to OMA)	#D4M1020033	Trucking	26-Jun-2013	100%				\$ -	\$ -	
Tan Trucking (LT to OMA)	#D3M0020597	Trucking						\$ -	\$ -	
Trinity Development (LT to OMA)	#D3M7217852	Trucking	17-Oct-2012	100%				\$ 184,885.19	\$ -	
OMA Construction Inc.	#D4M2316494	Safe Haven No. 003	11-Jan-2013	25%	\$ 300,000.00	\$ 73,603.70		\$ 73,603.70	\$ -	
Onell Service Group	#D5M9820775	Environmental Inspection & compliance, stormwater, scientists/documentation services	13-Feb-2012	100%	\$ 843,636.63	\$ 843,636.63		\$ 765,130.73	\$ 638,913.90	
Osiris Enterprises LLC	#D3M1021155	Janitorial Services	12-Jan-2012	100%	\$ 361,460.50	\$ 361,460.50	\$ 10,829.00	\$ 350,631.50	\$ 191,211.96	
Rose Super Clean and Park Management (LT to Ostris)	#D5M0020597	Janitorial Services	6-Apr-2012	100%				\$ 154,546.54	\$ -	
*Pro USA LLC	#D3M0022332	Trucking Roster Rotation	23-Oct-2015							
PRR, Inc.	#D4F3908454	Subconsultant - Public Information	22-Feb-2011	100%	\$ 829,061.74	\$ 829,061.74	\$ 27,112.00	\$ 829,061.74	\$ 822,666.06	
Quality Woodworking	D3M0016768	Wood Benches NOB	2-Jun-2015	0%	\$ 61,534.00					
Saez Consulting Engineers Inc. (dba SCE, Inc.)	#M5M0019808	Utility Monitoring Professional Services	31-Aug-2012	100%	\$ 174,926.15	\$ 174,926.15		\$ 174,926.15	\$ 174,926.15	
Savage Logistics, LLC	#D2F8020092	Freight	28-Mar-2013	100%	\$ 899,841.00	\$ 899,841.00	\$ 32,016.00	\$ 888,267.00	\$ 888,267.00	
Sea Tac Sweeping Service (dba Al Vinson)	#D3M6015063	Street Sweeping	5-Dec-2011	100%	\$ 8,360.00	\$ 8,360.00	COMPLETE	\$ 8,360.00	\$ 8,360.00	
ST Fabrication/ Jabez	#D4M0018443	T-46 Crane Maintenance Facility	5-Jun-2012	100%	\$ 1,858,973.12	\$ 1,858,973.12		\$ 1,848,973.12	\$ -	
Adept Mechanical (LT to ST Fabrication)	#D3M0118841	Mechanical	25-Sep-2012	100%				\$ -	\$ -	
Emerald City Weatherproofers (LT to ST Fabrication)	#D4M5111591	Weather Barrier Waterproofing	3-Oct-2012	100%				\$ 33,703.35	\$ -	
Gibson Door & Millwork (LT to ST Fabrication)	#D2F5112917	Door and Hardware Installation	17-Sep-2012	100%				\$ 10,452.00	\$ -	
ST Fabrication/ Jabez	#D4M0018443	T-46 Reefer Racks	30-May-2012	100%	\$ 1,949,279.54	\$ 1,946,410.88		\$ 1,946,410.88	\$ 1,439,053.52	
Steellorr	#D4M8822652	Furnish and install all structural steel	31-Oct-2013	81%	\$ 7,918,261.48	\$ 6,381,667.64		\$ 5,609,449.86	\$ 5,432,785.40	
Sundancer Electric Inc.	#D1M8522607	Tunnel Electrical	17-Jan-2013	100%	\$ 4,590,215.14	\$ 4,590,215.14		\$ 4,590,215.14	\$ -	
Transcon Company LLC	#D4M1022071	Underground Electrical Duct Bank Work	12-Dec-2013	99%	\$ 2,319,233.31	\$ 2,302,776.64		\$ 2,302,776.64	\$ 2,006,706.13	
TripleNet Technologies	d	STP Website	9-Jan-2012	100%	\$ 7,762.00	\$ 7,762.00	COMPLETE	\$ 7,762.00	\$ 7,762.00	
United Professional Caulking	#D5F0016236	Harrison Street Expansion Joints	12-Aug-2014	100%	\$ 79,250.00	\$ 79,250.00		\$ 75,287.50	\$ 75,287.50	
Washington State Trucking	#D3M0021431	Haul and dispose of 130 tunnel segments	12-Aug-2014	100%	\$ 184,470.00	\$ 184,470.00		\$ 184,331.48	\$ -	
West Coast Printing	#D4M0100930	Business Cards	NA	100%	\$ 19,402.45	\$ 19,402.45		\$ 19,402.45	\$ 19,402.45	
Yonemitsu Geological Services	#D4M0013447	Soil conditioning mapping at access shaft	4-Dec-2014	100%	\$ 13,600.96	\$ 13,600.96	\$ 1,100.00	\$ 13,600.96	\$ 12,830.96	
Teknografi (LT to Yonemitsu Geological)	D2F0021442	Drafting Services	28-Apr-2015					\$ 770.00	\$ -	
VENDORS										
Birch Equipment Rental & Sales, Inc.	#D2F0022284	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	NA	100%	\$ 326,787.39	\$ 326,787.39	\$ 5,145.07	\$ 308,231.18	\$ 184,998.71	
Excel Supply Company	#D4F2312899	Safety Supplies, Janitorial supplies, jackets & hats	NA	100%	\$ 62,959.70	\$ 62,959.70	\$ 24.71	\$ 62,382.89	\$ 37,239.30	
Highway Specialties LLC	#D2F0019389	Construction Signage, Traffic Drums, lights, safety, TMA's	NA	100%	\$ 260,416.02	\$ 260,416.02	\$ 486.19	\$ 260,416.02	\$ 156,249.61	
Mobile Electrical Distributors	#D2F0017012	Electrical Supply	25-Nov-2014	100%	\$ 157,391.55	\$ 157,391.55		\$ 157,391.55	\$ 94,434.93	
Quality Discount Supplies & Services (John W. Quarles)	#D3M0700021	Office Supplies	NA	100%	\$ 5,966.35	\$ 5,966.35		\$ 5,966.35	\$ 3,579.81	
ST Fabrication/ Jabez	#D4M0018443	Fabrication & Supply	NA	100%	\$ 2,545,177.24	\$ 2,545,177.24	\$ 57,266.00	\$ 2,545,177.24	\$ 2,022,875.28	
The Bag Lady	#D2F0016394	Construction Entrance Plates & Straw bales	NA	100%	\$ 292,541.74	\$ 292,541.74		\$ 292,541.74	\$ 175,525.04	
United Reographics	#D3M0017126	Business cards & printing services	12-Jan-2015	100%	\$ 7,294.60	\$ 7,294.60	\$ 52.56	\$ 7,068.31	\$ 7,068.31	
Wayron	#D6F0021571	Fabrication	9-Jan-2012	100%	\$ 2,708,210.03	\$ 2,708,210.03		\$ 2,708,210.03	\$ 2,706,660.03	
LOWER TIER										
AMEC (Non-DBE sub)										
NVL Laboratories (LT to AMEC)	#D4M5014199	Asbestos Analysis, sampling	12-Dec-2011	100%	\$ 16,255.02	\$ 16,255.02		\$ 16,255.02	\$ 16,255.02	
BASF (Non-DBE sub) - EASI										
JP Francis & Associates (LT to BASF, 3rd tier under EASI)	#M3M0018112	Maintenance, Repairs & Modifications on Soil Conditioning Blending, Pump Unit.	6-Aug-2013	100%	\$ 2,418.13	\$ 2,418.13		\$ 2,418.13	\$ -	
BASF - KTI Logistics (Non-DBE sub)										
Savage Logistics, LLC (LT to KTI Logistics, LLC., 3rd tier under BASF)	#D2F8020092	Freight	17-Jun-2013	100%	\$ 14,949.00	\$ 14,949.00		\$ 14,949.00	\$ 14,949.00	

Contractor	Contract ID	Description	Start Date	Completion %	Original Budget	Actual Cost	Original Budget	Actual Cost	Original Budget	Actual Cost
CROWN CORR										
*MBI Construction (LT to Crown Corr)	#D3M0023698	Supply/Fabricate 88 Sheets	17-Sep-2015	100%	\$ 18,893.20	\$ 18,893.20	\$ 10,125.00	\$ 10,125.00	\$ -	\$ -
*Red Arrow Logistics (LT to Crown Corr)	#D2F0018606	Freight	1-Oct-2015	100%	\$ 6,372.50	\$ 6,372.50				
FD THOMAS (Non-DBE sub)										
Cascade Concrete Products Co., Inc. (LT to FD Thomas)	#D2F4817643	Waterproofing Material Supplier	4-Sep-2013	100%	\$ 912,918.60	\$ 912,918.60		\$ 912,918.60	\$ 547,751.16	\$ 547,751.16
Frank Coluccio Construction Company (FCCC) (Non-DBE sub)										
CivilTech Engineering (LT to FCCC)	#D4M0018825	Design services	1-Sep-2011	100%	\$ 92,527.50	\$ 92,527.50		\$ 92,527.50	\$ 92,527.50	\$ 92,527.50
DBE Electric (LT to FCCC)	#D2F1021272	Electrical MOT Ph. 1A.2	3-Dec-2011	100%	\$ 172,944.68	\$ 172,944.68		\$ 172,944.68	\$ 122,485.04	\$ 122,485.04
Grady Excavating, Inc. (LT to FCCC)	#D2W0020267	Trucking	3-Dec-2011	100%	\$ 47,229.49	\$ 47,229.49		\$ 47,229.49	\$ 47,229.49	\$ 47,229.49
Rebar International Inc. (LT to FCCC)	#D2F2606440	Pile caps at micro pile; Supply and install reinforcing steel	23-May-2012	100%	\$ 28,415.44	\$ 28,415.44		\$ 28,415.44	\$ 28,415.44	\$ 28,415.44
Transcon (LT to FCCC)	#D4M1022071	Install electrical conduit	12-Jan-2012	100%	\$ 203,495.69	\$ 203,495.69		\$ 203,495.69	\$ 203,495.69	\$ 203,495.69
Frank Coluccio Construction Company - FD Thomas (Non-DBE sub)										
AAR Testing Laboratories Inc (LT to FD Thomas, 3rd tier under FCCC)	#D2F4708231	Laboratory Testing	1-Aug-2012	100%	\$ 19,586.50	\$ 19,586.50		\$ 19,586.50	\$ 19,586.50	\$ 19,586.50
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)										
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast tunnel liner segments. One segment per shipment. (PO 804)	14-Jun-2013	100%	\$ 81,558.00	\$ 81,558.00		\$ 81,558.00	\$ 81,558.00	\$ 81,558.00
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	23-Jul-2013	100%	\$ 1,949,713.24	\$ 1,949,713.24		\$ 1,949,713.24	\$ 1,858,316.67	\$ 1,858,316.67
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Pick up trailer & insurance monthly payment (PO 1279)	20-Nov-2013	100%	\$ 17,464.78	\$ 17,464.78		\$ 17,464.78	\$ -	\$ -
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Rental of 2 diesel heaters & delivery (PO 1335)	5-Dec-2013	100%	\$ 2,143.97	\$ 2,143.97		\$ 2,143.97	\$ -	\$ -
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Freight (PO 778)	26-Jun-2013	100%	\$ 828.00	\$ 828.00		\$ 828.00	\$ 828.00	\$ 828.00
HARRIS REBAR (Non-DBE sub)										
Rebar International Inc. (LT to Harris Rebar)	#D2F2606440	Install reinforcing steel bars	1-Aug-2013	100%	\$ 85,047.31	\$ 85,047.31		\$ 85,047.31	\$ 85,047.31	\$ 85,047.31
Hitachi Zosen USA Ltd (Non-DBE sub)										
CivilTech Engineering (LT to Hitachi)	#D4M0018825	Ground Condition Evaluation	6-Aug-2014	100%	\$ 127,804.00	\$ 127,804.00		\$ 127,804.00	\$ 35,668.16	\$ 35,668.16
Global Geophysics (LT to CivilTech - 3rd Tier under Hitachi)	#M4M10021256	Access Shaft - GPR & MASW Surveys at T48	28-Jan-2015						\$ 11,554.00	\$ 11,554.00
Yonemitsu Geological Services (LT to CivilTech - 3rd Tier under Hitachi)	#D4M10013447	Access Shaft - Soil Testing	28-Jan-2015						\$ 935.00	\$ 935.00
HNTB (Non-DBE sub)										
3D InFusion (LT to HNTB)	#D4M0018480	CADD Drafting	23-Apr-2012	100%	\$ 22,571.00	\$ 22,571.00		\$ 22,571.00	\$ 22,571.00	\$ 22,571.00
Berona Engineers Inc. (LT to HNTB)	#D4M5110441	Mechanical Engineering	5-Apr-2012	100%	\$ 122,373.75	\$ 122,373.75		\$ 122,373.75	\$ 122,373.75	\$ 122,373.75
Bollma Drafting & Design Inc (LT to HNTB)	#D1M0205127	CADD Drafting	18-Aug-2011	100%	\$ 601,225.43	\$ 601,225.43		\$ 601,225.43	\$ 601,225.43	\$ 601,225.43
Cassaday Consulting (LT to HNTB)	#D2F9821042	Traffic & Transportation	29-Jul-2011	100%	\$ 4,350.95	\$ 4,350.95		\$ 4,350.95	\$ 4,350.95	\$ 4,350.95
Chudgar Engineering Company (LT to HNTB)	#D4M9019387	Structural Engineering	20-Sep-2011	100%	\$ 101,510.22	\$ 101,510.22		\$ 101,510.22	\$ 101,510.22	\$ 101,510.22
CivilTech Engineering (LT to HNTB)	#D4M0018825	Utility & Structural Engineering Services & Staff Augmentation	25-Aug-2011	100%	\$ 937,830.53	\$ 937,830.53		\$ 937,830.53	\$ 931,564.98	\$ 931,564.98
Convergent Pacific (LT to HNTB)	#D4M0018854	Structural Engineering	28-Oct-2011	100%	\$ 176,417.44	\$ 176,417.44		\$ 176,417.44	\$ 176,363.27	\$ 176,363.27
DKA (LT to HNTB)	#D3M2403468	CADD Drafting & Architectural Services	5-Aug-2011	100%	\$ 492,750.26	\$ 492,750.26		\$ 492,750.26	\$ 249,022.73	\$ 249,022.73
Earth Mechanics, Inc. (LT to HNTB)	#D4M8020108	Geotechnical Seismic Design & Analysis	1-May-2011	100%	\$ 634,350.12	\$ 634,350.12		\$ 634,350.12	\$ -	\$ -
Integrated Design Engineers, LLC (LT to HNTB)	#D4M8719103	Structural & Civil Engineering	6-Jan-2012	100%	\$ 1,053,181.53	\$ 1,053,181.53		\$ 1,053,181.53	\$ 1,037,887.89	\$ 1,037,887.89
Onell Service Group	#D5M9820775	Materials Approval Engineer	30-Apr-2015	100%	\$ 58,045.00	\$ 58,045.00	\$ 15,200.00	\$ 43,937.50	\$ 43,937.50	\$ 43,937.50
Osborn Consulting Inc. (LT to HNTB)	#D2F0019030	Temporary Erosion & Sediment Control Backwater analysis	1-May-2011	100%	\$ 481,563.99	\$ 481,563.99		\$ 481,563.99	\$ 481,563.99	\$ 481,563.99
Osborn Pacific Group Inc. (LT to HNTB)	#D2F0000139	Landscape Architectural Services	5-Mar-2012	100%	\$ 33,377.30	\$ 33,377.30		\$ 33,377.30	\$ 33,377.30	\$ 33,377.30
Saez Consulting Engineers Inc. (LT to HNTB)	#MSM0019808	Utility Engineering Services & Structural Engineering	1-May-2011	100%	\$ 412,446.36	\$ 412,446.36	\$ 3,225.25	\$ 408,159.38	\$ 404,696.88	\$ 404,696.88
Schemata Workshop (LT to HNTB)	#D4F0021115	Architectural Specifications	16-Apr-2012	100%	\$ 186,757.53	\$ 186,757.53		\$ 186,383.93	\$ 186,383.93	\$ 186,383.93
Wakerobin (LT to HNTB)	#D2F0019744	Document Control General Mngt. Consulting Svcs.	26-Sep-2011	100%	\$ 114,580.00	\$ 114,580.00	\$ 4,100.20	\$ 114,530.10	\$ 114,530.10	\$ 114,530.10
Yonemitsu Geological Services (LT to HNTB)	#D4M0013447	Groundwater Monitoring	8-Jul-2011	100%	\$ 6,132.18	\$ 6,132.18		\$ 6,132.18	\$ 6,132.18	\$ 6,132.18
HNTB - HART CROWSER INC (Non-DBE sub)										
Global Geophysics (LT to HNTB)	#M4M0021256	Geophysical Consulting Services	1-May-2011	100%	\$ 27,000.00	\$ 27,000.00		\$ 27,000.00	\$ 27,000.00	\$ 27,000.00
Holocene Drilling Inc (Non-DBE sub)										
Holocene Drilling Inc										

Yonemitsu Geological Services	#D4M0013447	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	20-Jul-2012	100%	\$ 123,517.12	\$ 123,517.12	\$ 123,517.12	\$ 123,517.12
HOS BROS CONSTRUCTION (Non-DBE sub)	HOS BROS							
ProUSA (LT to Hos Bros)	#D3M0022332	Trucking	23-Nov-2013	100%	\$ 99,985.00	\$ 99,985.00	\$ 99,985.00	\$ -
JH KELLY (Non-DBE sub)	JH KELLY							
Scheduling and Information Services (LT to JH Kelly)	#D2F8218862	Project Controls and Scheduling	8-Apr-2013	82%	\$ 550,000.00	\$ 449,163.50	\$ 381,016.03	\$ 311,141.03
JH KELLY - DESERT MECHANICAL (Non-DBE sub)	JH KELLY - DESERT MECHANICAL							
OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D4M2316494	Underground Piping	1-Oct-2012	88%	\$ 112,640.00	\$ 99,395.00	\$ 94,425.25	\$ 94,425.25
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Tunnel Ventilation Stacks	13-Feb-2013	99%	\$ 760,949.98	\$ 749,934.92	\$ 75,482.54	\$ 749,934.92
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Transition Ductwork of Tunnel	19-Sep-2014	14%	\$ 207,297.74	\$ 28,396.95	\$ -	\$ 28,396.95
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)	JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL							
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1488	#M3M0018112	Mechanical	1-May-2013	80%	\$ 628,754.60	\$ 502,604.20	\$ -	\$ 477,473.98
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1533	#M3M0018112	Mechanical	1-Aug-2013	51%	\$ 4,235,528.11	\$ 2,153,146.89	\$ 88,283.14	\$ 2,019,992.12
JH KELLY - FISK ELECTRIC (Non-DBE sub)	JH KELLY - FISK ELECTRIC							
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0185A	23-Apr-2012	100%	\$ 4,374.53	\$ 4,374.53	\$ -	\$ 4,374.53
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0444A	20-Apr-2013	100%	\$ 5,688,963.90	\$ 5,661,110.43	\$ -	\$ 5,661,110.43
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0572A	10-Jul-2013	96%	\$ 5,055,670.34	\$ 4,863,458.52	\$ -	\$ 4,643,609.53
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0720A	1-Jun-2013	100%	\$ 174.65	\$ 174.65	\$ -	\$ 174.65
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0673A	1-May-2013	100%	\$ 249.61	\$ 249.61	\$ -	\$ 249.61
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0680X	1-May-2013	100%	\$ 47.41	\$ 47.41	\$ -	\$ 47.41
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0632A	1-Apr-2013	100%	\$ 2,760.56	\$ 2,760.56	\$ -	\$ 2,760.56
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #29250	1-Oct-2013	100%	\$ 1,573.93	\$ 1,573.93	\$ -	\$ 1,573.93
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #32814	7-Nov-2013	100%	\$ 64,000.00	\$ 64,000.00	\$ -	\$ 64,000.00
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #45436	13-Jan-2014	100%	\$ 608.40	\$ 608.40	\$ -	\$ 608.40
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #7747	6-Aug-2013	100%	\$ 191.63	\$ 191.63	\$ -	\$ 191.63
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #31840	1-Nov-2013	100%	\$ 1,445.40	\$ 1,445.40	\$ -	\$ 1,445.40
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #118390	15-Sep-2014	100%	\$ 6,296.25	\$ 6,296.25	\$ -	\$ 6,296.25
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #142187	6-Dec-2014	100%	\$ 4,627.44	\$ 4,627.44	\$ -	\$ 4,627.44
Transcon (LT to FISK, 3rd tier under JH Kelly)	#D4M1022071	Electrical supply and install	11-Feb-2013	100%	\$ 59,187.00	\$ 59,187.00	\$ -	\$ 59,187.03
JH KELLY - SICE (Non-DBE sub)	JH KELLY - SICE ELECTRIC							
Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	#D1M8522607	Electrical contractor	1-Jan-2014	100%	\$ 4,249.04	\$ 4,249.04	\$ -	\$ 4,249.04
Neppel Electrical (LT to SICE, 3rd tier under JH Kelly)	#D5M0017938	Electrical contractor	28-Jan-2014	34%	\$ 270,800.00	\$ 92,385.00	\$ -	\$ 87,765.75
Neppel Electrical (LT to SICE, 3rd tier under JH Kelly)	#D5M0017938	Electrical contractor	1-May-2015	4%	\$ 2,758,729.43	\$ 99,379.20	\$ -	\$ 99,379.20
LENNON CRANE (Non-DBE sub)	LENNON CRANE							
Penny Lee Trucking (LT to Lennon Crane)	#D2F2906632	Trucking	N/A	100%	\$ 2,996.50	\$ 2,996.50	\$ -	\$ 2,996.50
LONG PAINTING (Non-DBE sub)								
Fryer Knowles	#D2F5010810	Painting	10-Sep-2015	0%	\$ -	\$ -	\$ -	\$ -
MALCOLM (Non-DBE sub)	MALCOLM							
1 Alliance Geomatics (LT to Malcolm)	#D4M0022928	Onsite Survey Assistance	14-May-2014	100%	\$ 397,730.00	\$ 397,730.00	\$ -	\$ 397,730.00
BC Traffic (LT to Malcolm)	#D4M0011474	Traffic Control	12-May-2014	100%	\$ 335,073.03	\$ 335,073.03	\$ -	\$ 313,323.33

BESTCCLS INC (LT to Malcolm)	#D3M9319663	Survey, as-build services	20-Oct-12	100%	\$ 27,202.50	\$ 27,202.50		\$ 25,748.91	\$ 25,748.91
Mar-Vac / Marine Vacuum Service Inc. (LT to Malcolm)	#M4M0002341	Vac-truck services	10-Apr-2012	100%	\$ 178,836.06	\$178,836.06		\$169,894.26	\$ 169,894.26
Transcon (LT Malcolm)	#D4M1022071	Excavation	9-May-2014	100%	\$ 431,642.23	\$ 431,642.23		\$ 422,156.00	\$ 412,669.77
MAYES TESTING ENGINEERS, INC (Non-DBE sub)	MAYES TESTING ENGINEERS, INC								
Pacific Geo Engineering (LT to Mayes)	#D4M9620410	Soil Compaction Testing Services	4-Jan-2013	100%	\$ 45,617.00	\$ 45,617.00		\$ 45,617.00	\$ 45,617.00
NCM (Non-DBE sub)	NCM								
OMA (LT to NCM)	#D4M2316494	Demo, Trucking Secants, Wall Openings and Cradle	25-Mar-2014	100%	\$ 186,227.50	\$ 186,227.50		\$ 178,751.50	\$ 17,860.00
JMR Trucking	#D3M6917511	Trucking							
Ponglia Trucking	#M4M0019915	Trucking							
Tan Trucking	#D3M0020597	Trucking							
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM)	#M4M0002341	Vac truck services	26-Jun-2014	100%	\$ 26,294.98	\$ 26,294.98		\$ 22,689.69	\$ 17,345.28
NORTHWEST ASPHALT (Non-DBE sub)	NW ASPHALT								
OMA (LT to Northwest Asphalt)	#D4M2316494	Trucking	26-Feb-2014	100%	\$ 58,236.25	\$ 58,236.25		\$ 55,324.43	
ProUSA (LT to Northwest Asphalt)	#D3M0022332	Trucking	24-Feb-2014	100%	\$ 11,576.41	\$ 11,576.41		\$ 11,576.41	
OTTO ROSENAU & ASSOCIATES, INC (Non-DBE sub)	OTTO ROSENAU & ASSOCIATES, INC								
AAR Testing Laboratories, Inc. (LT to Otto)	#D2F4708231	Outside Testing & Inspection	25-Oct-2011	100%	\$ 68,602.74	\$ 68,602.74	COMPLETE	\$ 68,602.74	\$ 68,602.74
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)	PROFESSIONAL SERVICES INDUSTRY (PSI)								
*AAR Testing Laboratories, Inc. (LT to PSI)	#D2F4708231	Concrete testing and laboratory testing	19-Oct-2015	0%					
Pacific Geo Engineering (LT to PSI)	#D4M9620410	Concrete testing and laboratory testing	4-Jan-2013	100%	\$ 26,776.50	\$ 26,776.50		\$ 26,776.58	\$ 26,776.58
SOLDATA - KPG (Non-DBE sub)	SOLDATA - XPG								
Saex Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	#M5M0019808	Settlement Monitoring	1-Apr-2012	75%	\$ 1,093,130.55	\$ 817,901.42	\$ 38,710.16	\$ 781,271.38	\$ 781,271.38
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	#D4M2316494	Settlement Point Installations	6-Sep-2012	100%	\$ 103,950.00	\$ 103,950.00		\$ 103,950.00	\$ 60,280.00
SOLDATA - HART CROWSER (Non-DBE sub)	SOLDATA - HART CROWSER								
Novito Construction Inc. (LT to Hart Crowser, 3rd tier under SolData)	#D2F6917467	Traffic control/ flagging	11-Jun-2012	100%	\$ 228,052.53	\$ 228,052.53		\$ 228,052.53	\$ 228,052.53
SOLDATA - Holocene Drilling (Non-DBE sub)	SOLDATA - HOLOCENE DRILLING								
Yonemitsu Geological (LT to Holocene, 3rd tier under SolData)	#D4M0013447	Geological Engineering & Boring Logs	8-Apr-2015	100%	\$ 32,849.54	\$ 32,849.54	\$ 10,431.93	\$ 32,849.54	\$ 32,849.54
US Electric (Non-DBE sub)	US ELECTRIC								
Mobile Electrical Distributors Inc. (LT to US Electric)	#D2F0017012	Electrical Supply	13-Feb-2013	100%	\$ 159,186.36	\$ 159,186.36		\$ 159,186.36	\$ 95,511.82
Sundancer Electric	#D1M8522607	Electrical Support for Tunnelling Operations	14-Apr-2015	100%	\$ 823,280.72	\$ 823,280.72	\$ 118,290.56	\$ 691,728.94	\$ 691,728.94
VECA (Non-DBE sub)	VECA								
Mobile Electrical Distributors Inc. (LT to VECA)	#D2F0017012	Electrical Supply		100%	\$ 9,803.15	\$ 9,803.15	COMPLETE	\$ 9,803.15	\$ 5,881.89
					\$ 102,563,013.14	\$ 93,093,455.40	\$ 962,663.22	\$ 90,965,249.30	\$ 70,997,838.58

PLEASE ANSWER THE FOLLOWING QUESTIONS BY STATING EITHER "YES" OR "NO":

1) Have any of the DBE subcontractors been added or removed from the DBE monthly report period? If yes, fully explain the action.

Yes:

- Green City Inc (LT STP)
- JMR Trucking (LT STP)
- Pro USA LLC (LT STP)
- AAR Testing (LT PSI)
- MBI Construction Services (LT Crown Corr)
- Red Arrow Logistics (LT Crown Corr)

2) Has the scope of work or the subcontract amount for any of the DBE subcontractors changed since the last report? If yes, fully explain the action.

Yes. Please see the attached summary report for commitments as of 10/31/15.

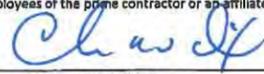
3) Did any of the DBE subcontractors rent/lease equipment from the prime contractor or an affiliate company during the report period? If yes, explain the arrangement, including a description of the equipment and the cost.

No.

4) Did any of the DBE subcontractors utilize employees of former employees of the prime contractor or an affiliate company during the report period? If yes, fully explain the arrangement.

No.

AUTHORIZED SIGNATURE:



CHRIS DIXON

TITLE: Project Manager

DATE: 11/30/2015

**ATTACHMENT # 2
DBE COMMITMENT VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Invoiced to Date	#56 Commitment	#55 Commitment	#56 - #55 Commitment Change	REMARKS
FIRST TIER										
CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%	\$ 571,961.03	\$ 571,961.03	\$ 569,523.53	\$ 2,437.50	Equals Invoiced to Date total; Subcontract (3154-01) through CO #47 Total Revised Agreement Amount = \$576,651.52
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 1,238,845.30	\$ 5,944.80	Equals Invoiced to Date total; Total of all Purchase Orders, Change Orders, and Contract for street sweeping in STP files = \$1,379,545.69
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 915,392.24	\$ 92,156.80	Equals Invoiced to Date total; Total Subcontract (through CO #9) Total Revised Agreement Amount = \$1,041,678.63
Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 38,360.00	\$ 38,360.00	\$ 35,620.00	\$ 2,740.00	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$93,598.40
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 390,024.24	\$ 8,030.25	Equals Invoiced to Date total; Subcontract Agreement through CO #001 = \$931,260.00
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 5,416,023.25	\$ 157,518.50	Equals Invoiced to Date total; Subcontract (#1977-01) through CO #006 = \$5,788,977.75
Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 843,636.63	\$ 843,636.63	\$ 765,130.73	\$ 78,505.90	Contract and Change Orders in STP files (through #13) = \$1,291,150 (Total Not to Exceed - Unit Price Agreement)
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 350,631.50	\$ 10,829.00	Equals Invoiced to Date total; (PO No 2399-DB10) Agreement through CO #008 = \$408,678.28
PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 815,505.74	\$ 13,556.00	Equals Invoiced to Date total; through CO #001 Total Revised Agreement Amount = \$884,170
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 888,267.00	\$ 11,574.00	Equals Invoiced to Date total; Subcontract Agreement through CO #002 = \$1,000,000
Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	81%	\$ 6,381,667.64	\$ 7,918,261.48	\$ 7,911,992.77	\$ 6,268.71	Equals Invoiced to Date total; through CO #003 Total Revised Agreement Amount = \$7,918,261.48
VENDORS										
Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 308,231.18	\$ 18,556.21	Equals Invoiced to Date total; Purchase Order Agreement; Total PO's in STP files = \$495,835.54
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 62,382.89	\$ 576.81	Purchase Order Agreement; Total PO's and CO's (through CO #001) = \$68,289.56
United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 7,068.31	\$ 226.29	Total of Subcontract and Purchase Orders = \$27,375.00
LOWER TIER										
CROWN CORR (Non-DBE sub)										
MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015	Active	100%	\$ 18,893.20	\$ 18,893.20		\$ 18,893.20	Equals Invoiced to Date total; Purchase Order = \$29,300.00
Red Arrow Logistics (LT to Crown Corr) (Added #56)	Freight	V	1-Oct-2015	Active	100%	\$ 6,372.50	\$ 6,372.50		\$ 6,372.50	Equals Invoiced to Date total; Purchase Order = \$75,000.00
HNTB (Non-DBE sub)										
Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015	Active	100%	\$ 58,045.00	\$ 58,045.00	\$ 43,937.50	\$ 14,107.50	Subcontract (thru CO #2) = \$95,000 (NTE)
US Electric (Non-DBE sub) (Added on #50)										
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015	Active	100%	\$ 823,280.72	\$ 823,280.72	\$ 654,690.90	\$ 168,589.82	Equals Invoiced to Date total; Total Subcontract Agreement through CO #2 = \$1,409,572.20 (NTE)
						\$ 93,093,455.40	\$ 102,563,013.14	\$ 101,667,729.35	\$ 616,883.79	

**ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Commitment	#56 Invoiced to Date	#55 Invoiced to Date	#56 - #55 Invoiced (for October)	Invoices (for October)	Verified work done prior to invoice date	REMARKS
FIRST TIER												
CivilTech Engineering	Design & Consulting	V	31-Jul-2012	Active	100%	\$ 571,961.03	\$ 571,961.03	\$ 569,523.53	\$ 2,437.50	Inv #1531541	Yes	Invoice in binder
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 1,238,845.30	\$ 5,944.80	See Remarks	Yes	Invoice #'s 90:100315, 92:101715, 93:102415 in binder
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 915,392.24	\$ 92,156.80	See Remarks	Yes	Invoice #'s 101083038A, 101083038B, 101083039A, 101083039B, 010830041A, 010830041B in binder
Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 38,360.00	\$ 38,360.00	\$ 35,620.00	\$ 2,740.00	Inv #2299	Yes	Invoice in binder
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 390,024.24	\$ 8,030.25	See Remarks	Yes	Invoice #'s 33401, 33406, 33412, 33421, 33428 in binder
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 5,416,023.25	\$ 157,518.50	See Remarks	Yes	Invoice #'s 2186, 2187, 2188, 2189 in binder
O'Neill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 843,636.63	\$ 843,636.63	\$ 765,130.73	\$ 78,505.90	See Remarks	Yes	Invoice #'s 2751, 2794, 2840, 2895 in binder
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 350,631.50	\$ 10,829.00	Inv #2055	Yes	Invoice in binder
PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 815,505.74	\$ 13,556.00	Inv #3659-56	Yes	Invoice in binder
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 888,267.00	\$ 11,574.00	Inv #69:101015	Yes	Invoice in binder
Steelkorr	Furnish and install all structural steel	S	31-Oct-2013	Active	81%	\$ 7,918,261.48	\$ 6,381,667.64	\$ 5,904,210.37	\$ 477,457.27	See Remarks	Yes	Invoice #'s 18:073115, 19:083115 in binder
VENDORS												
Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 308,231.18	\$ 18,556.21	See Remarks	Yes	Invoice #'s 126827A8, 1287391, 123875C2, 125294B5, 1288548 in binder
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 62,382.89	\$ 576.81	See Remarks	Yes	Invoice #'s 76554, 76663, 76777, 20151020, 76629, 76896 in binder
United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 7,068.31	\$ 226.29	See Remarks	Yes	Invoice #'s 9039959, 9042327, 9042463, 9043079, 9043077, 9042493R, 9042493CM, 9042493, 9043341 in binder
LOWER TIER												
CROWN CORR (Non-DBE sub)												
MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015		100%	\$ 18,893.20	\$ 18,893.20		\$ 18,893.20	See Remarks	Yes	Invoice #'s 15-344.1, 15-364, 15-357.1 in binder
Red Arrow Logistics (LT to Crown Corr) (Added #56)	Freight	V	1-Oct-2015		100%	\$ 6,372.50	\$ 6,372.50		\$ 6,372.50	Inv #3/21/2269	Yes	Invoice in binder
HNTB (Non-DBE sub)												
O'Neill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 58,045.00	\$ 58,045.00	\$ 43,937.50	\$ 14,107.50	Inv #2877-57161	Yes	Invoice in binder
JH KELLY (Non-DBE sub)												
Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	8-Apr-2013	12/29/2015	82%	\$ 550,000.00	\$ 449,163.50	\$ 433,543.50	\$ 15,620.00	Inv #417193	Yes	Invoice in binder
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)												
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	51%	\$ 4,235,528.11	\$ 2,153,146.89	\$ 2,104,060.69	\$ 49,086.20	Inv #2013-14-23	Yes	Invoice in binder
JH KELLY - FISK ELECTRIC (Non-DBE sub)												
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	10-Jul-2013		96%	\$ 5,055,670.34	\$ 4,863,458.52	\$ 4,647,537.45	\$ 215,921.07	See Remarks	Yes	Invoice #'s 61069, 63107, 62964 in binder
SOLDATA - KPG (Non-DBE sub)												
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 1,093,130.55	\$ 817,901.42	\$ 804,118.92	\$ 13,782.50	Inv #1237	Yes	Invoice in binder
US Electric (Non-DBE sub) (Added on #50)												
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 823,280.72	\$ 823,280.72	\$ 654,690.90	\$ 168,589.82	See Remarks	Yes	Invoice #'s 6690, 6692, 6705, 6708 in binder
						\$ 102,563,013.14	\$ 93,093,455.40	\$ 91,710,973.28	\$ 1,382,482.12			

**ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer J = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Total Payments this Report (October)	#56 Total Payments to Date	#55 Total Payments to Date	Compare Total Pymts to Date (#56 - #55)	Variance	REMARKS
FIRST TIER											
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 10,403.40	\$ 1,238,845.30	\$ 1,228,441.90	\$ 10,403.40	\$ (0.00)	Check #'s 11711, 11824, 11891, 11939 in binder
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 114,724.00	\$ 1,583,914.00	\$ 1,469,190.00	\$ 114,724.00	\$ -	Check #'s 11718, 11904 in binder
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 24,160.77	\$ 452,671.37	\$ 428,510.60	\$ 24,160.77	\$ -	Check #11888 in binder
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 28,396.55	\$ 915,392.24	\$ 886,995.69	\$ 28,396.55	\$ (0.00)	Check #11892 in binder
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 955.55	\$ 279,128.32	\$ 278,172.77	\$ 955.55	\$ 0.00	Check #11710 in binder
Meeds Environmental (Added on #50)	Filter Press	V	2-Apr-2015	Active	100%	\$ 2,740.00	\$ 35,620.00	\$ 32,880.00	\$ 2,740.00	\$ -	Check #11757 in binder
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 14,211.14	\$ 393,141.74	\$ 378,930.60	\$ 14,211.14	\$ (0.00)	Check #'s 11776, 11863, 11980 in binder
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 156,884.75	\$ 5,416,023.25	\$ 5,259,138.50	\$ 156,884.75	\$ -	Check # 11887 in binder
OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	25-Sep-2012	Active	95%	\$ 112,306.75	\$ 17,538,890.65	\$ 17,426,583.90	\$ 112,306.75	\$ -	Check # 11894 in binder
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 10,829.00	\$ 350,631.50	\$ 339,802.50	\$ 10,829.00	\$ -	Check #11742 in binder
PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 27,112.00	\$ 829,061.74	\$ 801,949.74	\$ 27,112.00	\$ -	Check #'s 11708, 11884 in binder
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 32,016.00	\$ 888,267.00	\$ 856,251.00	\$ 32,016.00	\$ -	Check #'s 11715, 11899 in binder
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014		100%	\$ 1,100.00	\$ 13,600.96	\$ 12,500.96	\$ 1,100.00	\$ -	Check #11905 in binder
VENDORS											
Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	R	NA	Active	100%	\$ 5,145.07	\$ 308,231.18	\$ 299,656.06	\$ 8,575.12	\$ (3,430.05)	Check #'s 11751, 11816, 11861 in binder
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 24.71	\$ 62,382.89	\$ 62,358.18	\$ 24.71	\$ 0.00	Check #11912 in binder
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 486.19	\$ 260,416.02	\$ 259,929.83	\$ 486.19	\$ (0.00)	Check #11734 in binder
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		100%	\$ 57,266.00	\$ 2,545,177.24	\$ 2,487,911.24	\$ 57,266.00	\$ -	Check #'s 11750, 11835 in binder
United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 52.56	\$ 7,068.31	\$ 7,015.75	\$ 52.56	\$ (0.00)	Check #'s 11822, 11984 in binder
LOWER TIER											
CROWN CORR (Non-DBE sub)											
MBI Construction Services (LT to Crown Corr) (Added #56)	Supply/Fabricate 88 Sheets	Need	17-Sep-2015		100%	\$ 10,125.00	\$ 10,125.00		\$ 10,125.00	\$ -	Check #10456 in binder
HNTB (Non-DBE sub)											
Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 15,200.00	\$ 43,937.50	\$ 28,737.50	\$ 15,200.00	\$ -	Check #375054 in binder
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 3,225.25	\$ 408,159.38	\$ 404,934.13	\$ 3,225.25	\$ -	Check #374383 in binder
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 4,100.20	\$ 114,530.10	\$ 110,429.90	\$ 4,100.20	\$ (0.00)	Check #'s 373899, 375189 in binder
JH KELLY - DESERT MECHANICAL (Non-DBE sub)											
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	99%	\$ 75,482.54	\$ 749,934.92	\$ 674,452.38	\$ 75,482.54	\$ -	Check #380559 in binder
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)											
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical #1533	S	1-Aug-2013	4/1/2015	51%	\$ 88,283.14	\$ 2,019,992.12	\$ 1,931,708.98	\$ 88,283.14	\$ (0.00)	Check #42544 in binder
SOLDATA - KPG (Non-DBE sub)											
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 38,710.16	\$ 781,271.38	\$ 742,561.22	\$ 38,710.16	\$ -	Check #4212 in binder
SOLDATA - Holocene Drilling (Non-DBE sub)											
Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	V	8-Apr-2015		100%	\$ 10,431.93	\$ 32,849.54	\$ 22,417.61	\$ 10,431.93	\$ -	Check #23306 in binder
US Electric (Non-DBE sub) (Added on #50)											
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 118,290.56	\$ 691,728.94	\$ 573,438.38	\$ 118,290.56	\$ -	Check #'s 103080, 103090, 103087 in binder
						\$ 962,663.22	\$ 90,965,249.30	\$ 89,999,156.03	\$ 966,093.27	\$ (\$181.84)	

**ATTACHMENT # 5
DBE AMOUNT (AS AMENDED) VALIDATION**

Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Project Role S = Subcontractor M = Manufacturer JV = Joint Venture R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#56 Commitment	#56 Invoiced to Date	#56 Total Payments this Report (October)	#56 Total Payments to Date	#56 DBE Amount (as Amended)	#55 DBE Amount (as Amended)	#56 - #55 DBE Amount (as Amended)	Pymt to Date (X:K) <=#56 DBE Amt	REMARKS
FIRST TIER														
DHD Trucking	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,244,790.10	\$ 1,244,790.10	\$ 10,403.40	\$ 1,238,845.30	\$ 1,238,845.30	\$ 1,227,252.94	\$ 11,592.36	Yes	
EPC Consultants, Inc.	Tunnel Quality Assurance	V	8-Jul-2013	Active	100%	\$ 1,583,914.00	\$ 1,583,914.00	\$ 114,724.00	\$ 1,583,914.00	\$ 1,548,774.00	\$ 1,434,050.00	\$ 114,724.00	Yes	
Exeltech Consulting Inc	PreConstruction Condition Survey	V	4-Aug-2011	Active	100%	\$ 474,804.04	\$ 474,804.04	\$ 24,160.77	\$ 452,671.37	\$ 452,671.37	\$ 428,510.60	\$ 24,160.77	Yes	
Global Geophysics	Vibration Monitoring	V	21-May-2012	Active	100%	\$ 1,007,549.04	\$ 1,007,549.04	\$ 28,396.55	\$ 915,392.24	\$ 915,392.24	\$ 886,995.69	\$ 28,396.55	Yes	
Greylock Consulting LLC	Environmental Consulting Services	V	1-Oct-2011	Active	100%	\$ 280,124.45	\$ 280,124.45	\$ 955.55	\$ 279,128.32	\$ 152,698.47	\$ 151,918.92	\$ 779.55	Yes	
On-Site Environmental Inc. (LT to Greylock)	Environmental Analytical Testing	V	14-Dec-2011	Active	100%					\$ 71,236.75	\$ 70,884.75	\$ 352.00		
MindSeekers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 398,054.49	\$ 398,054.49	\$ 14,211.14	\$ 393,141.74	\$ 393,141.74	\$ 378,930.60	\$ 14,211.14	Yes	
Oatridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 5,573,541.75	\$ 5,573,541.75	\$ 156,884.75	\$ 5,416,023.25	\$ 5,402,529.25	\$ 5,245,644.50	\$ 156,884.75	Yes	
OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	25-Sep-2012	Active	95%	\$ 18,506,125.29	\$ 17,538,890.65	\$ 112,306.75	\$ 17,538,890.65	\$ 14,390,582.74	\$ 14,279,412.99	\$ 111,169.75	Yes	
Maks Dump Truck (LT to OMA)	Trucking	V	1-Dec-2012	Active	100%					\$ 249,740.73	\$ 240,215.73	\$ 9,525.00		
Trinity Development (LT to OMA)	Trucking	V	17-Oct-2012	Active	100%					\$ 194,885.19	\$ 182,697.69	\$ 12,187.50		
Osiris Enterprises LLC	Janitorial Services	V	12-Jan-2012	Active	100%	\$ 361,460.50	\$ 361,460.50	\$ 10,829.00	\$ 350,631.50	\$ 191,211.96	\$ 185,255.96	\$ 5,956.00	Yes	
Rose Super Clean and Park Management (LT to Osiris)	Janitorial Services	V	6-Apr-2012	Active	100%					\$ 154,546.54	\$ 149,673.54	\$ 4,873.00		
PRR, Inc.	Subconsultant - Public Information	V	22-Feb-2011	Active	100%	\$ 829,061.74	\$ 829,061.74	\$ 27,112.00	\$ 829,061.74	\$ 822,666.06	\$ 795,554.06	\$ 27,112.00	Yes	
Savage Logistics, LLC	Freight	V	28-Mar-2013	Active	100%	\$ 899,841.00	\$ 899,841.00	\$ 32,016.00	\$ 888,267.00	\$ 888,267.00	\$ 856,251.00	\$ 32,016.00	Yes	
Yonemitsu Geological Services (Added on #46)	Soil conditioning mapping at access shaft	V	4-Dec-2014	Active	100%	\$ 13,600.96	\$ 13,600.96	\$ 1,100.00	\$ 13,600.96	\$ 12,830.96	\$ 11,730.96	\$ 1,100.00	Yes	
VENDORS														
Birch Equipment Rental & Sales, Inc.	Equipment: Blast Pots, Light Tower, Generator, Air Comp.	R	NA	Active	100%	\$ 326,787.39	\$ 326,787.39	\$ 5,145.07	\$ 308,231.18	\$ 184,938.71	\$ 179,793.64	\$ 5,145.07	Yes	
Excel Supply Company	Safety Supplies, Janitorial supplies, jackets & hats	R	NA	Active	100%	\$ 62,959.70	\$ 62,959.70	\$ 24.71	\$ 62,382.89	\$ 37,239.30	\$ 37,224.47	\$ 14.83	Yes	
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 260,416.02	\$ 260,416.02	\$ 486.19	\$ 260,416.02	\$ 156,249.61	\$ 155,957.90	\$ 291.71	Yes	
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA	Active	100%	\$ 2,545,177.24	\$ 2,545,177.24	\$ 57,266.00	\$ 2,545,177.24	\$ 2,022,875.28	\$ 1,987,878.08	\$ 34,997.20	Yes	
United Reprographics (Added on #47)	Business cards & printing services	V	12-Jan-2015	Active	100%	\$ 7,294.60	\$ 7,294.60	\$ 52.56	\$ 7,068.31	\$ 7,068.31	\$ 7,015.75	\$ 52.56	Yes	
LOWER TIER														
HNTB (Non-DBE sub)														
Oneill Service Group (Added on #50)	Matirals Approval Engineer	Need	30-Apr-2015		100%	\$ 58,045.00	\$ 58,045.00	\$ 15,200.00	\$ 43,937.50	\$ 43,937.50	\$ 28,737.50	\$ 15,200.00	Yes	
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 412,446.36	\$ 412,446.36	\$ 3,225.25	\$ 408,159.38	\$ 404,696.88	\$ 401,471.63	\$ 3,225.25	Yes	
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 114,580.00	\$ 114,580.00	\$ 4,100.20	\$ 114,530.10	\$ 114,530.10	\$ 110,429.90	\$ 4,100.20	Yes	
JH KELLY - DESERT MECHANICAL (Non-DBE sub)														
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	Fabricating Tunnel Ventilation Stacks	M	13-Feb-2013	12/1/2014	99%	\$ 760,949.98	\$ 749,934.92	\$ 75,482.54	\$ 749,934.92	\$ 749,934.92	\$ 674,452.38	\$ 75,482.54	Yes	
SOLDATA - KPG (Non-DBE sub)														
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	Settlement Monitoring	V	1-Apr-2012	Active	75%	\$ 1,093,130.55	\$ 817,901.42	\$ 38,710.16	\$ 781,271.38	\$ 781,271.38	\$ 742,561.22	\$ 38,710.16	Yes	
SOLDATA - Holocene Drilling (Non-DBE sub)														
Yonemitsu Geological (LT to Holocene, 3rd tier under SolData) (Added on #51)	Geological Engineering & Boring Logs	V	8-Apr-2015		100%	\$ 32,849.54	\$ 32,849.54	\$ 10,431.93	\$ 32,849.54	\$ 32,849.54	\$ 22,417.61	\$ 10,431.93	Yes	
US Electric (Non-DBE sub) (Added on #50)														
Sundancer Electric (LT to US Electric) (Added on #50)	Electrical Support for Tunneling Operations	R	14-Apr-2015		100%	\$ 823,280.72	\$ 823,280.72	\$ 118,290.56	\$ 691,728.94	\$ 691,728.94	\$ 573,438.38	\$ 118,290.56	Yes	
						\$ 102,563,013.14	\$ 93,093,455.40	\$ 962,663.22	\$ 90,965,249.30	\$ 70,997,838.58	\$ 70,136,856.20	\$ 860,982.38		

SR 99		Bored Tunnel Alternative DB							ATTACHMENT #6: Status of DBE Subcontracts
STP		Fed Employer I.D. #27-3509698							
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes	
S	601196371	Green City Inc	1/1/2017	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	601202429	AAR Testing Laboratories Inc.	11/1/2015	N/A - Firm is still active	Active	N/A - Firm is still active	PSI		
V	602101301	JMR Trucking Inc	12/15/2015	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	603140884	Pro USA LLC	12/15/2015	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	603190297	MBI Construction	9/17/2015	N/A - Firm is still active	Active	N/A - Firm is still active	Crown Corr		
V	602333185	Red Arrow Logistics	10/1/2015	N/A - Firm is still active	Active	N/A - Firm is still active	Crown Corr		
S	603260116	1 Alliance Geomatics	5/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2	
V	602288380	3D Infusion	4/23/2012	6/11/2012	6/8/2012	1/14/2013	HNTB		
V	601202429	AAR Testing Laboratories Inc.	12/1/2012	2/1/2013	3/1/2013	None	STP		
V	601202429	AAR Testing Laboratories Inc.	4/1/2012	10/31/2012	11/1/2012	None	FD Thomas		
V	601202429	AAR Testing Laboratories Inc.	10/25/2011	2/28/2013	2/28/2013	None	Otto Rosneau & Assoc.		
S	601443349	Adept Mechanical	9/1/2012	1/30/2013	NA	None	ST Fabrication		
S	601997791	Advanced Underground Utilities	10/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	600089108	Amaya Electric (CCIS-see Marles Corp)	8/2/2013	10/8/2013	2/3/2014	3/14/2014	STP	Accounting received final release 2/3/14	
V	601552304	AM Test, Inc	2/19/2015	2/21/2015	10/23/2015	None	OnSite Environmental (3rd Tier to Greylock)		
S	602178781	BC Traffic	5/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2	
S	601554695	Bear Wood Windows		N/A	N/A	N/A	STP	Work won't start until 2015	
V	601314208	Berona Engineers Inc	4/5/2012	11/28/2012	11/16/2012	1/14/2013	HNTB		
S	602978139	BEST CCLS Inc	1/10/2012	12/31/2012	10/9/2013	10/16/2013	STP	Final payment docs recv'd from sub on 9/20/13, Final EEO documents received 10/9/13	
S	602978139	BEST CCLS Inc	3/26/2012	8/30/2013	2/15/2015		Malcolm	Contract #1 - Closed	
R	601361936	Birch Equipment Rental and Sales	2/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	601512071	Bolima Drafting & Design Inc	8/18/2011	N/A - Firm is still active	Active	1/14/2013	HNTB		
S	602408510	C & E Transport	10/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA		
S	602408510	C & E Transport	4/25/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602919268	C2PM, Inc.	9/1/2011	N/I	N/I	None	STP	No Retention Held	
R	600237496	Cascade Concrete Products	9/1/2013	N/A - Firm is still active	5/7/2015	None	FD Thomas		
V	602365682	Casseday Consulting Inc.	7/29/2011	12/30/2011	12/30/2011	1/14/2013	HNTB		
V	601663491	Catherine Basseti	3/5/2012	N/A - Firm is still active	Active	None	STP		
V	602542891	Chudgar Engineering Company	9/20/2011	N/A - Firm is still active	Active	1/14/2013	HNTB		
V	602384747	Civil Tech Engineering Inc	7/31/2012	N/A - Firm is still active	Active	None	STP		
V	602384747	Civil Tech Engineering Inc	9/1/2011	8/14/2013	8/14/2013	None	FCCC		
V	602399218	Convergent Pacific LLC	10/28/2011	9/27/2013	9/24/2013	1/14/2013	HNTB		
V	601518940	D K A Architecture	8/5/2011	9/6/2012	9/6/2012	1/14/2013	HNTB		
S	602953513	DBE Electric, Inc.	2/27/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	602953513	DBE Electric, Inc.	11/28/2011	4/25/2012	9/12/2012	10/12/2012	FCCC		
S	602677969	DHD Trucking LLC	2/1/2012	N/A - Firm is still active	Active	None	STP		
S	602258601	Duncan Asphalt	5/13/2014	5/15/2014			STP	Retainage has not been released	
V	602739282	Earth Mechanics, Inc.	5/1/2011	4/6/2012	4/2/2012	1/14/2013	HNTB		
S	601441115	Emerald City Weatherproofers	11/18/2012	1/3/2013	NA	None	ST Fabrication		
V	602576083	EMT LLC (environmental training)	1/3/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602067564	EPC Consultants Inc	7/3/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
R	601781913	Excel Supply Co	1/13/2015	N/A - Firm is still active	Active	None	STP	Jackets & hoes	
R	601781913	Excel Supply Co	5/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	safety supplies	
V	601266522	Exeltech Consulting, Inc	8/4/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	578021472	Fryer-Knowles Inc	11/22/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	Flooring in operation buildings. Work start 9/2014	
S	578021472	Fryer-Knowles Inc	10/1/2015	N/A - Firm is still active	Active	N/A - Firm is still active	Long Painting	CUF issue - Long will issue 2nd contract, carving out work for Fryer to complete a CUF	
S	601404405	Garner Construction Inc	9/8/2014	2/2/2015	2/15/2015	None	STP		
S	601363240	Gibson Door & Millwork	10/15/2012	1/25/2013	NA	None	ST Fabrication		
S	603081735	Global Concrete Cutting Inc	6/19/2012	8/18/2012	11/7/2013	see notes	Leajak	pending resolution of litigation	
S	603081735	Global Concrete Cutting Inc	9/30/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602504657	Global Geophysics	5/21/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602504657	Global Geophysics	5/1/2011	6/21/2011	NA	None	Hart Crowser Inc	Hart Crowser stated that Global Geophysics is a professional service provider and do not provide certified payrolls	
S	602748267	Grady Excavating Inc.	11/29/2011	6/30/2013	7/8/2013	7/12/2013	FCCC		
S	602748267	Grady Excavating Inc.	3/1/2012	9/18/2013	9/24/2013	9/30/2013	STP		
V	602560706	Greylock Consulting LLC	10/1/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP		

SR 99		Bored Tunnel Alternative DB							ATTACHMENT #6: Status of DBE Subcontracts
STP		Fed Employer I.D. #27-3509698							
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes	
R	602556355	Highway Specialties	8/26/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602461020	Integrated Design Engineering	1/6/2012	N/A - Firm is still active	Active	1/14/2013	HNTB		
S	601322160	J. Harper Contractors Inc.	11/7/2011	3/30/2012	6/1/2012	6/26/2012	STP		
V	601587500	J. Keiser & Associates	4/30/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	602101301	JMR Trucking Inc	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)		
S	602101301	JMR Trucking Inc	10/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA		
S	601919250	JP Francis & Assoc	7/17/2013	4/9/2014	Active	N/A - Firm is still active	STP		
S	601919250	JP Francis & Assoc - 1488	3/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical		
S	601919250	JP Francis & Assoc - 1533	9/5/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical		
S	601919250	JP Francis & Assoc (plumbing)	4/10/2013	N/A - Firm is still active	NA	None	BASF	2/28/15 - pending firm's response	
V	601426427	KBA	12/5/2012	N/A - Firm is still active	Active	None	STP		
S	602460885	Kiawa Trucking	6/29/2012	7/4/2012	9/26/2013	see notes	Leajak	pending resolution of litigation	
S	601573914	Leajak Concrete Construction Inc	7/1/2012	9/22/2012	10/10/2013	see notes	Lorache CAD/IT Services	pending resolution of litigation	
S	601573914	Leajak Concrete Construction Inc	6/23/2012	10/29/2012			STP	*Pending sub docs	
S	602568958	Lorache CAD-IT Services LLC	6/18/2012				STP	*Pending sub docs	
S	602210303	Magnum Crane LLC	12/17/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	602671980	Mak's Trucking LLC	11/14/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA		
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	4/10/2012	7/20/2012	2/15/2015		Malcolm	Contract #1 - Closed	
S	600412278	Marine Vacuum Service Inc (Mar-Vac)	1/7/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group		
S	600412278	Marine Vacuum Service Inc (Mar-Vac) - Tank Removal	10/24/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	601649423	Marshbank Const.	8/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	603001744	Meeds Environmental		N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602037833	Mindseekers	2/27/2013	N/A - Firm is still active	Active	None	STP		
R	578062075	Mobile Electric Distributors Inc.					VECA		
R	578062075	Mobile Electric Distributors Inc.	11/25/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
R	578062075	Mobile Electric Distributors Inc. - 0185	4/1/2012	N/A - Firm is still active	4/1/2012	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0444	4/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0572	6/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0632	4/1/2013	N/A - Firm is still active	4/1/2013	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0673	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0680	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 0720	6/1/2013	N/A - Firm is still active	6/1/2013	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 118390	9/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 29250	10/1/2013	N/A - Firm is still active	10/1/2013	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 31840	11/1/2013	N/A - Firm is still active	12/11/2013	None	Fisk	Last payment received on 12/11/13 - this PO was a double payment/issue and was reimbursed under PO 444 Inv. #184	
R	578062075	Mobile Electric Distributors Inc. - 32814	6/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 45436	1/1/2014	N/A - Firm is still active	1/1/2014	None	Fisk		
R	578062075	Mobile Electric Distributors Inc. - 7747	8/6/2013	N/A - Firm is still active	12/24/2013	None	Fisk		
R	578062075	Mobile Electrical Distributors	10/20/2014	1/22/2014	5/6/2015	None	US Electric	USE 1st Contract	
S	602120171	Neppel Electric	9/1/2014	1/30/2015	Active	N/A - Firm is still active	STP		
S	602120171	Neppel Electric	3/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Sice		
S	602120171	Neppel Electric	5/1/2015	N/A - Firm is still active	Active	N/A - Firm is still active	Sice		
V	603140359	Nolan Morrison Consulting	9/19/2011	N/I	N/I	None	STP	No Retention Held	
S	601881866	Novito Construction Inc	4/1/2012	10/16/2013	12/23/2013	None	Hart Crowser Inc		
V	601643525	NVL Labs	11/10/2011	N/A - Firm is still active	Active	None	AMEC	Firm was decertified 4/25/14	
S	602316638	Oatridge Security Group	10/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
S	601872128	OMA Construction	7/29/2013	11/15/2013	9/1/2014	9/10/2014	KPG Inc	8/2014 - KPG will likely close out OMA's contract in the next month or two as it doesn't look like they will need them for any more installations. This will be confirmed with Phil Smith. 50% of retainage will be released when KPG receives retainage from Soldata at end of tunneling and the other 50% as per the prime agreement.	
S	601872128	OMA Construction	3/1/2016	N/A - Firm is still active	Active	N/A - Firm is still active	NW Asphalt		
S	601872128	OMA Construction - Drainage (#1130)	10/1/2012	N/A - Firm is still active	Active	None	Desert Plumbing & Heating Co Inc		
S	601872128	OMA Construction - Rubble	2/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group		
S	601872128	OMA Construction - Trucking North Portal	10/1/2012	N/A - Firm is still active	Active	None	STP		
S	601872128	OMA Construction - Trucking South Portal	10/1/2012	N/A - Firm is still active	Active	None	STP		

	SR 99	Bored Tunnel Alternative DB						ATTACHMENT #6: Status of DBE Subcontracts
	STP	Fed Employer I.D. #27-3509698						
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes
S	601872128	OMA Construction - Utility Deposition	2/1/2013	N/A - Firm is still active	Active	None	STP	
V	602896811	O'Neill Environmental Services LLC	5/11/2015	N/A - Firm is still active	Active	N/A - Firm is still active	HNTB	
V	602896811	O'Neill Environmental Services LLC	2/13/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601378055	On-Site Environmental Inc	12/14/2011	N/A - Firm is still active	Active	N/A - Firm is still active	Greylock	
V	602446858	Osborn Consulting Incorporated	5/1/2011	11/1/2012	11/1/2012	1/14/2013	HNTB	
V	602446858	Osborn Pacific Group	3/5/2012	8/6/2012	8/6/2012	1/14/2013	HNTB	
V	602884742	Osiris Enterprises LLC	1/12/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602326408	Pacific Geo Engineering (PGE)	4/1/2013	Active	Active	NA - Firm is still active	Professional Services Industry (PSI)	
V	602326408	Pacific Geo Engineering (PGE)	1/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Mayer Testing	
S	601083375	Penny Lee Trucking	1/1/2013	1/30/2013	8/31/2015	None	Lennon Crane	
S	602492304	Ponglia Trucking Inc	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)	
S	602492304	Ponglia Trucking Inc	11/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	603140884	Pro USA LLC	7/23/2012	10/5/2012	10/18/2012	None	Grady	
S	603140884	Pro USA LLC	11/23/2013	N/A - Firm is still active	Active	N/A - Firm is still active	HOS	
S	603140884	Pro USA LLC	5/19/2014	8/30/2014	7/1/2014	None	Marshbank	
S	603140884	Pro USA LLC	1/14/2014	3/11/2014	3/11/2014	5/23/2014	NW Asphalt	
V	600428960	PRR Inc.	2/22/2011	N/A - Firm is still active	Active	None	STP	
S	602643779	Puget Sound Utilities	7/1/2013	8/18/2013	2/3/2014	None	OMA	Decertified 4/1/14
R	600410718	Quality Discount Supplies & Services	10/19/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601999311	Quality Woodworking	6/2/2015	Work has not started	Work has not started	Work has not started	STP	
S	600481702	Rebar International	4/10/2012	2/21/2013	4/16/2013	3/15/2013	FCCC	
S	600481702	Rebar International	8/22/2013	10/5/2013	10/13/2013	None	Harris Rebar	
V	602843104	Rose Super Clean & Park Management	4/6/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Osiris	
V	602628354	SAEZ Consulting	5/1/2011	N/A - Firm is still active	Active	1/14/13 & 3/12/14	HNTB	
V	602628354	SAEZ Consulting	4/30/2012	N/A - Firm is still active	Active	N/A - Firm is still active	KPG Inc	
V	602628354	SAEZ Consulting	8/31/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602682121	Savage Logistics LLC	6/17/2013	N/A - Firm is still active	Active	N/A - Firm is still active	KTI	
S	602682121	Savage Logistics LLC	2/15/2013	N/A - Firm is still active	Active	None	STP	
S	602682121	Savage Logistics LLC - PO #1279	11/20/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #1335	12/5/2013	N/A - Firm is still active	1/31/2014	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #778	6/25/2013	N/A - Firm is still active	9/7/2013	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #797	7/23/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
S	602682121	Savage Logistics LLC - PO #804	6/7/2013	N/A - Firm is still active	7/27/2013	N/A - Firm is still active	Lining Precast LLC (FPS Encon)	
V	602378706	Scheduling and Information Services Inc	4/8/2013	N/A - Firm is still active	Active	N/A - Firm is still active	JH Kelley	
V	602450813	Schemata Workshop	9/8/2014	N/A - Firm is still active	Active	Active	HNTB	Firm is active again per HNTB email 10/11/14
V	602450813	Schemata Workshop	4/16/2012	7/9/2013	11/29/2012	1/14/2013	HNTB	
S	601735583	Sea-Tac Sweeping Service	11/29/2011		3/15/2012	None	STP	pending affidvaidt
S	602651177	SSB Trucking & Construction	3/6/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	602216144	ST Fabrication - Crane Maint.	6/5/2012	2/28/2014	2/28/2014	9/5/2014	STP	
R/M	602216144	ST Fabrication - Purchase Orders	6/19/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
M	602216144	ST Fabrication - Reefer Racks	5/30/2012	2/28/2014	2/28/2014	9/5/2014	STP	\$10K held until documents are reviewed and corrected
S	603064398	Steelkorr	4/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	603190024	Sundancer Electric	4/13/2015	N/A - Firm is still active	Active	N/A - Firm is still active	US Electric	USE 2nd Contract
S	454778504	Sundancer Electric	5/13/2014	7/15/2014	NA	None	Marshbank	
S	454778504	Sundancer Electric	2/6/2013	N/A - Firm is still active	Active	None	STP	
S	454778504	Sundancer Electric	1/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Sice	
S	602785735	Sunset Welding	7/5/2012	8/27/2012	1/15/2013	see notes	Leajak	pending resolution of litigation
S	602671547	Tan Trucking	4/9/2014	4/14/2015	Active	None	OMA (3rd tier to NCM Group)	
S	602671547	Tan Trucking	11/28/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
V	601191630	Teknograf		N/A - Firm is still active	Active	N/A - Firm is still active	Yonemitsu Geological	Requested Contract
R	601734719	The Bag Lady Inc	11/11/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	603056508	Transcon Company LLC	1/9/2012	12/31/2012	1/4/2013	3/15/2013	FCCC	
S	603056507	Transcon Company LLC	12/1/2011	N/A - Firm is still active	2/11/2013	None	Fisk	
S	603056508	Transcon Company LLC	5/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
S	603056507	Transcon Company LLC	12/9/2013	N/A - Firm is still active	Active	None	STP	
S	602081190	Trinity Development Corp (TLC)	10/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
V	601767647	TripleNet Technologies Inc	1/9/2012	N/I	N/I	None	STP	No Retention Held
S	601443883	United Professional Caulking & Restoration Inc (Unipro)	11/3/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	

SR 99		Bored Tunnel Alternative DB							ATTACHMENT #6: Status of DBE Subcontracts
STP		Fed Employer I.D. #27-3509698							
SUB TYPE: S=Subcontractor M=Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	UBI	Contractor / Subcontractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/I - No information available	Hiring Contractor	Notes	
V	601965843	United Reprographics	1/12/2015	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	602621504	Wakerobin LLC	9/26/2011	N/A - Firm is still active	Active	1/14/2013	HNTB		
S	601398735	Washington State Trucking	8/12/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
M	602240125	Wayron LLC	1/9/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
M	602240125	Wayron LLC #116168		N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc		
M	602240125	Wayron LLC #12-09-1000-009	2/13/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc		
V	600279746	West Coast Printing	4/5/2011	11/12/2014	9/9/2014	None	STP	Firm closed business 11/2014	
V	601609012	Yonemitsu Geological Services		N/A - Firm is still active	Active	N/A - Firm is still active	Holocene Drilling (3rd Tier SolData)		
V	601609012	Yonemitsu Geological Services	7/8/2011	9/12/2011	8/25/2011	1/14/2013	HNTB		
V	601609012	Yonemitsu Geological Services	12/5/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP		
V	601609011	Yonemitsu Geological Services	7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Holocene Drilling		
Chart Key:									
Pending information									
Added this month									

Attachment 7: SR 99 Tunnel Design Build Contract- DBE Certified Payroll Hours Verification, October 2015

Contractor/Subcontractor	Prime Contract/ Upper Tier	Number of JMN	Number of APPR	Craft/Trade	Journey man Hours Worked	Apprentice Hours Worked	STP's Total Hours Worked	Journeyman Totals from Certified Payroll	Apprentice Hours from Certified Payroll	WSDOT Verif. of Total Hours Worked	Difference (Delta)	Month Year	Comments
DHD Trucking	STP	2	0	Street Sweeper	88	0	88	88	0	88	0	Oct-15	
JP Francis	Shinn 2/DM/JHK	7	3	Plumber	1339	114.5	1453.5	1152	410	1562	-108.5	Oct-15	Calendar Month Hours Only
Mak's Dump Trucking	OMA	1	0	Truck Driver (Owner Operator)	7.75	0	7.75	7.75	0	7.75	0	Oct-15	
Marine Vacuum Service	NCM Contracting	2	0	Operator	8	0	8	8	0	8	0	Oct-15	
Marshbank	STP	1	0	Operators	4	0	4	4	0	4	0	Oct-15	
Marshbank	STP	1	0	Laborer	4	0	4	4	0	4	0	Oct-15	
Neppel Electric	SICE/JH Kelly	1	0	Electrician	15	0	15	15	0	15	0	Oct-15	
OMA	NCM Contracting	3	0	Truck Driver	28	0	28	28	0	28	0	Oct-15	
OMA - Job 1133 South Portal	STP	10	0	Truck Driver	200.5	0	200.5	188.75	0	188.75	11.75	Oct-15	Calendar Month Hours Only
Savage Logistics	STP	2	0	Truck Driver	203.5	0	203.5	179.5	0	179.5	24	Oct-15	Calendar Month Hours Only
SteelKorr	STP	9	3	Ironworker	988	434	1422	901.5	363	1264.5	157.5	Oct-15	Calendar Month Hours Only
Sundancer Electric	US Electric	7	1	Electrician	1524.5	188	1712.5	1515.5	188	1703.5	9	Oct-15	Calendar Month Hours Only
Tan Trucking	OMA	1	0	Truck Driver (Owner Operator)	8	0	8	8	0	8	0	Oct-15	
Trinity Development	OMA	1	0	Truck Driver (Owner Operator)	8	0	8	8	0	8	0	Oct-15	
		48	7		4,426.25	736.50	5,162.75	4,108.00	961.00	5,069.00	93.75		



**Washington State
Department of Transportation**

Lynn Peterson
Secretary of Transportation

Transportation Building
310 Maple Park Avenue S.E.
P.O. Box 47300
Olympia, WA 98504-7300
360-705-7000
TTY: 1-800-833-6388
www.wsdot.wa.gov

November 9, 2015

Mr. Dan Mathis
Division Administrator
Federal Highway Administration
771 South Capitol Way
Olympia, Washington 98504

RE: WSDOT Request for Program Waiver Pursuant to 49 CFR § 26.15

Dear Mr. Mathis:

As required in 49 Code of Federal Regulations (CFR) §26.15, a recipient requesting an exemption to any part of Subpart B or C must apply for a waiver. The purpose of this letter is to request your consideration and approval of a waiver that is consistent with federal law.

WSDOT is requesting a waiver under the criteria of 49 CFR § 26.15(b) that will allow the agency to limit its use of race- and gender- conscious measures (i.e., DBE contract goals) to those DBE groups for which compelling statistical evidence of discrimination exists in the relevant geographic market area. The waiver request is based on results of WSDOT's 2012 DBE Disparity Study (Final Report by BBC Research & Consulting published May 17, 2013 based on data from federal fiscal years 2009-2011).

I. REASONS FOR THE WAIVER REQUEST PURSUANT TO 49 CFR 26.15(B)

A. Summary of Reasons for Waiver

The WSDOT 2012 DBE Disparity Study (hereinafter referred to as the "2012 Disparity Study"), conducted by BBC Research & Consulting, concluded that substantial disparities exist between utilization and availability for Black American-, Asian Pacific American-, Subcontinent Asian American-, Hispanic American-, and Native American-owned businesses. In addition, the 2012 Disparity Study described statistical analysis of non-Hispanic WBE's that would suggest a lack of substantial disparity in certain types of contracts. This analysis by BBC Research & Consulting indicates:

- Considering all Federal Highway Administration (FHWA) and state-funded contracts together, non-Hispanic white women-owned businesses did not exhibit substantial disparities on transportation contracts that WSDOT awarded during any year of the study period (federal fiscal years 2009, 2010, and 2011; for details, see Figure ES-2 of the Executive Summary of the disparity study report).

- Non-Hispanic white women-owned businesses did not exhibit substantial disparities on state-funded transportation contracts that WSDOT awarded during any year of the study period, to which race- and gender-conscious measures did not apply (for details, see Figure -ES3 of the-Executive Summary of the disparity study report.)
- Non-Hispanic white women-owned businesses did not exhibit substantial disparities on transportation-related engineering contracts that WSDOT awarded during any year of the study period, to which race- and gender-conscious measures did not apply (for details, see Figure ES-4 of the Executive Summary of the disparity study report).
- Non-Hispanic white women-owned businesses did not exhibit substantial disparities on FHWA funded construction contracts that WSDOT awarded between May 9, 2005 and September 30, 2006, to which race- and gender-conscious measures did not apply (for details/see Figure ES-5 of the Executive Summary of the disparity study report).

In the United States Court of Appeals for the Ninth Circuit, opinions have indicated that in order to implement the Federal Disadvantaged Business Enterprise (DBE) Program in a narrowly tailored manner, agencies should limit the use of race- and gender-conscious program measures to those groups "that have actually suffered discrimination" within its transportation contracting industry.¹

Based on the statistical analysis of the 2012 Disparity Study, and considering the opinions of the United States Court of Appeals for the Ninth Circuit, WSDOT is requesting a waiver for the 2015-2017 federal fiscal years to consider WBEs as not being presumed to be disadvantaged at this time; therefore such firms would not be allowed to participate in any race- and gender-conscious goals that WSDOT implements under the presumption of social and economic disadvantage on federally funded contracts. DBEs that are owned by minority women will still be eligible to participate in WSDOT's race-conscious measures if they are DBE-certified for their corresponding minority group(s) that are subject to the presumption of being disadvantaged.²

Non-Hispanic white women-owned businesses will still have the option to apply for DBE certification based on individual evidence of disadvantaged status (as opposed to having a presumption of disadvantage because of statistical disparity associated with a particular group) due to individualized evidence of social and economic disadvantage pursuant to 49 CFR §§ 26.61(d), 26.67(d) and Appendix E; such firms will also be eligible to participate in the race- and gender-neutral measures that are part of WSDOT's implementation of the Federal DBE Program, including the small business participation plan.

¹ *AGC v San Diego Chapter v. California DOT*, 713 F.3d 1187, 1191, 1199, 2013 WL 1607239 (9th Cir. April 16, 2013); *Western States Paving Co. v. Washington State DOT*, 407 F.3d 983, 997-98 (9th Cir. 2005), cert. denied, 546 U.S. 1170 (2006)

² For example, Black American women-owned businesses would be eligible for WSDOT's race- and gender-conscious measures if they are certified as Black American-owned DBEs.

WSDOT will monitor availability and utilization of non-Hispanic white women-owned businesses and reassess the statistical evidence during the goal-setting process for period covered by the upcoming Disparity Study, which is currently out to bid, and will continue to review the appropriateness of the requested waiver as required by federal law. See Disadvantaged Business Enterprise (DBE) Program Proposed Amended Three-Year Overall Goal & Methodology for Federal Fiscal Years 2014 and 2015 through 2017 available at: www.wsdot.wa.gov/EqualOpportunity/DisparityStudy/default.htm.

B. Brief History of WSDOT's Implementation of the Federal DBE Program

WSDOT has been implementing variations of the Federal DBE Program and the regulations that preceded it since the 1980s. After enactment of the Transportation Equity Act for the 21st Century (TEA-21) in 1998, USDOT established a new Federal DBE Program to be implemented by state and local agencies receiving USDOT funds.

Western States Paving decision in 2005. In May 2005, the Ninth Circuit Court of Appeals in *Western States Paving v. Washington State DOT* held that the Federal DBE Program enacted by Congress was facially constitutional, but ruled that WSDOT's implementation of the program was unconstitutional.³ The court held that in order to satisfy legal requirements, a public entity implementing race- and gender-conscious measures must have evidence of discrimination in its transportation contracting industry.

In response to the *Western States Paving* decision, WSDOT and other state and local agencies that were affected by the decision discontinued their use of race- and gender-conscious elements of the Federal DBE Program. USDOT recommended that agencies implementing the Federal DBE Program should consider conducting availability and disparity studies to satisfy the requirements of strict scrutiny.

2005 Availability Study. WSDOT completed its first availability study in October 2005. The study measured the availability of MBE/WBEs for WSDOT transportation contracts. The study did not examine WSDOT's utilization of MBE/WBEs nor did it examine any disparities between MBE/WBE utilization and availability. At the time that the 2005 availability study was released (October 2005), WSDOT had suspended using contract-specific DBE goals as part of its implementation of the federal DBE program, per the *Western States Paving* holding.

Implementation of contract-specific DBE goals. Beginning in October 2006, WSDOT resumed setting contract-specific DBE goals on certain FHWA-funded construction contracts. All groups identified in 49 CFR Part 26 were deemed eligible for participation in the goals program. WSDOT's implementation of the goals program was based in part on information from its 2005 availability study.

³ *Western States Paving Co. v. Washington State DOT*, 407 F.3d 983 (9th Cir. 2005), cert. denied, 546 U.S. 1170 (2006).

WSDOT did not set any contract-specific DBE goals on FHWA-funded engineering/professional consulting contracts until 2012. Prior to that time, the agency only used race- and gender-neutral measures to encourage MBE/WBE participation on engineering/professional consulting contracts.

Implementation of voluntary MBE/WBE goals: The State of Washington no longer has a Women or Minority Business Enterprise program that can establish race conscious goals for state funded projects. The BBC found that this was part of the Washington state contracting environment that had a detrimental impact with minority contracting.

C. Executive Summary of Analyses in the 2012 Disparity Study (BBC Research & Consulting)

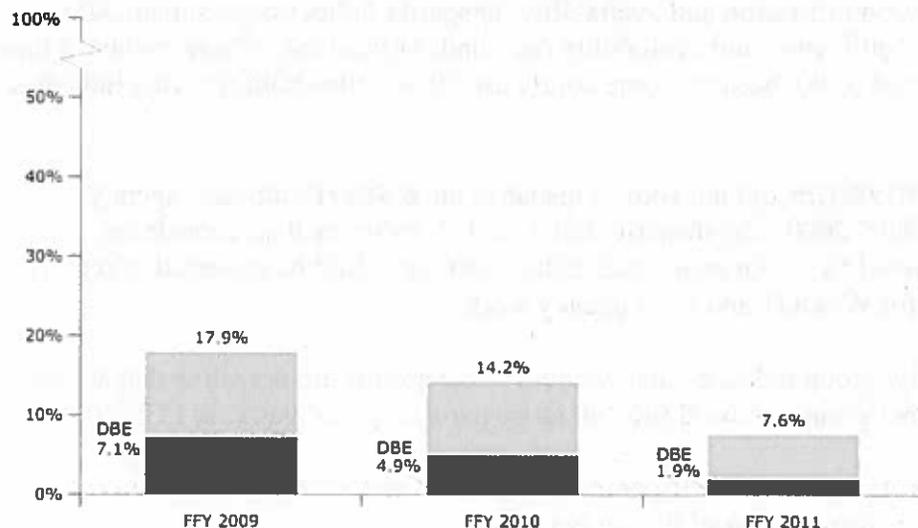
Along with measuring potential disparities between MBE/WBE utilization and availability on WSDOT transportation contracts, the disparity study also examined other quantitative and qualitative information related to the legal framework surrounding an agency's implementation of the Federal DBE Program; local marketplace conditions for MBE/WBEs and for other small businesses; and contracting practices and business assistance programs that the agency currently has in place.

- i. The study team conducted an analysis of federal regulations, case law, and other information to guide the methodology for the disparity study. The analysis included a review of federal requirements related to the Federal DBE Program and an assessment of any state requirements concerning the implementation of the Federal DBE program.
- ii. BBC conducted quantitative analyses of the success of minorities, women, and MBE/WBEs throughout Washington's transportation contracting industry. In addition, the study team collected qualitative information about potential barriers that small businesses and MBE/WBEs face in the Washington transportation contracting industry through in-depth anecdotal interviews, public hearings, and public meetings.
- iii. BBC analyzed the percentage of MBE/WBEs that are "ready, willing, and able" to perform on WSDOT transportation prime contracts and subcontracts. That analysis was based on telephone interviews that the study team completed with more than 3,000 Washington businesses that work in industries related to the types of transportation contracts that WSDOT and local agencies award. (The study team attempted telephone interviews with every business establishment that it identified as doing work that is relevant to WSDOT transportation contracting.)
- iv. BBC analyzed the dollars that WSDOT and local agencies awarded to MBE/WBEs on more than 11,000 transportation prime contracts and subcontracts executed between October 1, 2008 and September 30, 2011 (i.e., FFYs 2009, 2010, and 2011). BBC analyzed contracts that were USDOT-funded and contracts that were solely state-funded.

- v. BBC examined whether there were any disparities between the utilization of MBE/WBEs on transportation contracts that WSDOT and local agencies awarded during the study period. The study team also assessed whether any observed disparities were statistically significant.
- vi. BBC reviewed WSDOT's current contracting practices and Federal DBE Program measures and provided guidance related to additional program options and refinements to those practices and measures.

Utilization results. The study team measured MBE/WBE participation in terms of “utilization”—the percentage of prime contract and subcontract dollars that WSDOT and local agencies awarded to MBE/WBEs during the study period. Figure ES-1 presents overall MBE/WBE utilization for each study period year (i.e., FFYs 2009, 2010, and 2011). The darker portion of each bar presents WSDOT's utilization of MBE/WBEs that were DBE-certified during the study period. As shown in Figure ES-1, MBE/WBE utilization on WSDOT transportation contracts declined dramatically between FFY 2009 (17.9%) and FFY 2011 (7.6%). Certified DBE utilization also fell sharply, declining from 7.1% in FFY 2009 to only 1.9% in FFY 2011.

Figure ES-1.
MBE/WBE utilization on WSDOT and local agency transportation contracts
(FHWA- and state-funded) by study period year



Note: Includes FHWA- and state-funded WSDOT and local agency contracts. Darker portion of bar presents certified DBE utilization. Number of prime contracts/subcontracts analyzed was 4,244 for FFY 2009, 3,883 for FFY 2010, and 3,258 for FFY 2011. For more detail and results by group, see Figures K-5, K-6, and K-7 in Appendix K.

Source: BBC Research & Consulting from WSDOT contracting data.

Disparity analysis results. Although information about MBE/WBE utilization is instructive on its own, it is even more instructive when it is compared with the utilization that might be expected based on the availability of MBE/WBEs for WSDOT work. As part of the disparity study, BBC compared the utilization of MBE/WBEs on WSDOT transportation prime contracts and subcontracts with the percentage of contract dollars that MBE/WBEs might be expected to receive based on their availability for that work.

BBC expressed both utilization and availability as percentages of the total dollars that a particular group received for a particular set of contracts (e.g., 5% utilization compared with 4% availability). BBC then calculated a “disparity index” by dividing utilization by availability and multiplying by 100.⁴ A disparity index of 100 indicates an exact match between utilization and availability for a particular group for a specific set of contracts (often referred to as “parity”). A disparity index of less than 100 may indicate a disparity between utilization and availability, and disparities of less than 80 are described in this report as “substantial.”⁵

Disparity analysis results for key contract sets are described below.

All transportation contracts. Figure ES-2 presents disparity analysis results for all WSDOT and local agency transportation contracts by study period year. Note that contract-specific DBE goals applied to many of the FHWA-funded contracts that WSDOT and local agencies awarded during the study period. The line down the center of the graph shows a disparity index level of 100, which indicates parity between utilization and availability. Disparity indices of less than 100 indicate disparities between utilization and availability (i.e., underutilization). For reference, a line is also drawn at an index level of 80, because some courts use 80 as a threshold for what indicates a substantial disparity.

As an example, overall, MBE/WBEs did not show a disparity on WSDOT and local agency transportation contracts in FFY 2009. The disparity index of 136 indicates that, considered together, MBE/WBEs received \$1.36 for every one dollar that they would be expected to receive based on their availability for WSDOT and local agency work.

An examination of results by group indicates that whereas some groups did not show disparities during the study period, other groups showed substantial disparities, particularly, in FFY 2011:

- i. Subcontinent Asian American- and Hispanic American-owned businesses showed substantial disparities in each year of the study period.

⁴ For example, if actual utilization of WBEs on a set of contracts was 2 percent and the availability of WBEs for those contracts was 10 percent, then the disparity index would be 2 percent divided by 10 percent, which would then be multiplied by 100 to equal 20.

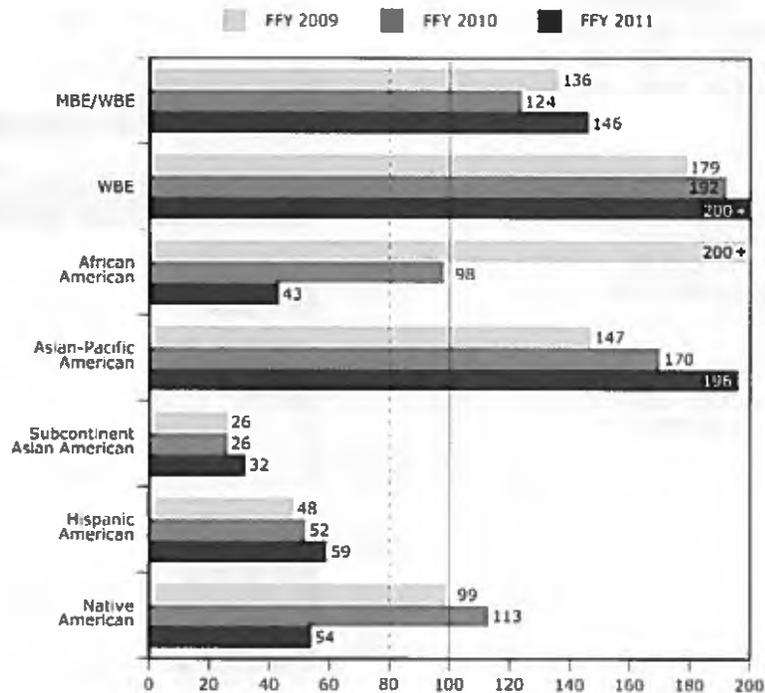
⁵ Some courts deem a disparity index below 80 as being “substantial” and have accepted it as evidence of adverse conditions for MBE/WBEs. For example, see *Rothe Development Corp v. U.S. Dept of Defense*, 545 F.3d 1023, 1041; *Eng’g Contractors Ass’n of South Florida, Inc. v. Metropolitan Dade County*, 122 F.3d at 914, 923 (11th Circuit 1997); *Concrete Works of Colo., Inc. v. City and County of Denver*, 36 F.3d 1513, 1524 (10th Cir. 1994). See Appendix B for additional discussion of those and other cases.

- ii. African American-owned businesses and Native American-owned businesses only showed substantial disparities in FFY 2011.⁶
- iii. Neither WBEs nor Asian-Pacific American-owned businesses showed disparities in FFYs 2009, 2010, or 2011.

Figure ES-2. Disparity indices for WSDOT and local agency transportation contracts (FHWA- and state-funded) by study period year

Note
 Number of prime contracts/subcontracts analyzed was 4,244 for FFY 2009, 3,883 for FFY 2010, and 3,258 for FFY 2011.
 For more detail and results by group, see Figures K-5, K-6, and K-7 in Appendix K.

Source
 BBC Research & Consulting availability and utilization analyses.



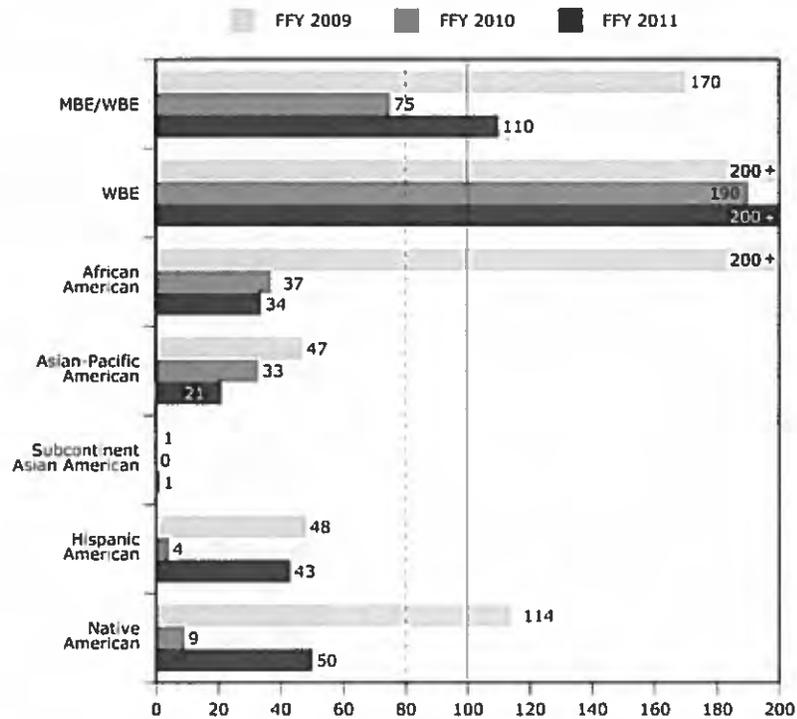
Contracts without DBE goals. One way to assess whether a lack of race- and gender-conscious programs affected the participation of MBE/WBEs on WSDOT transportation contracts is to examine any disparities on contracts to which contract-specific DBE goals did not apply. BBC presents disparity analysis results for three types of contracts to which DBE goals did not apply:

- i. State-funded transportation contracts that WSDOT awarded in FFYs 2009, 2010, and 2011;
- ii. Transportation-related engineering contracts that WSDOT and local agencies awarded in FFYs 2009, 2010, and 2011; and
- iii. FHWA-funded construction contracts that WSDOT awarded between May 9, 2005 and September 30, 2006.

⁶ Although African American-owned businesses did not show substantial disparities in FFYs 2009 or 2010, most of the dollars that went to African American-owned businesses in FFYs 2009 (approximately \$53 million of \$57 million) and 2010 (approximately \$15 million of \$18 million) went to a single African American-owned electrical contracting firm that was not DBE certified. In some cases, other individual MBE/WBEs also accounted for relatively large proportions of their respective groups' utilization but not nearly to the same extent.

State-funded transportation contracts. In FFYs 2009, 2010, and 2011, WSDOT did not apply contract-specific DBE goals to any state-funded contracts.⁷ Instead, WSDOT applied voluntary MBE/WBE goals to many of those contracts but did not require contractors to meet those goals or show good faith efforts to do so. Figure ES-3 presents disparity analysis results for state-funded WSDOT transportation contracts by study period year.

Figure ES-3. Disparity indices for WSDOT state-funded transportation contracts by study period year



Note:
 Number of prime contracts/subcontracts analyzed was 759 for FFY 2009, 798 for FFY 2010, and 507 for FFY 2011
 See Figures K-17, K-18, and K-19 for corresponding disparity results tables.

Source:
 BBC Research & Consulting
 availability and utilization analyses

All MBE groups showed substantial disparities on state-funded contracts after FFY 2009.

African American-owned businesses and Native American-owned businesses were the only two MBE groups that did not show substantial disparities on state-funded contracts in FFY 2009.⁸

WBEs did not show substantial disparities in any year of the study period on state-funded contracts.

⁷ WSDOT used to apply race- and gender-conscious contract goals to certain state-funded contracts. However, Initiative 200, passed by Washington voters in 1998, prohibited state agencies from applying race- and gender-conscious measures to those contracts.

⁸ Virtually all of the dollars that went to African American-owned businesses on state-funded contracts in FFY 2009 (\$19.3 million of \$19.6 million) went to a single African American-owned electrical contracting firm that was not DBE certified.

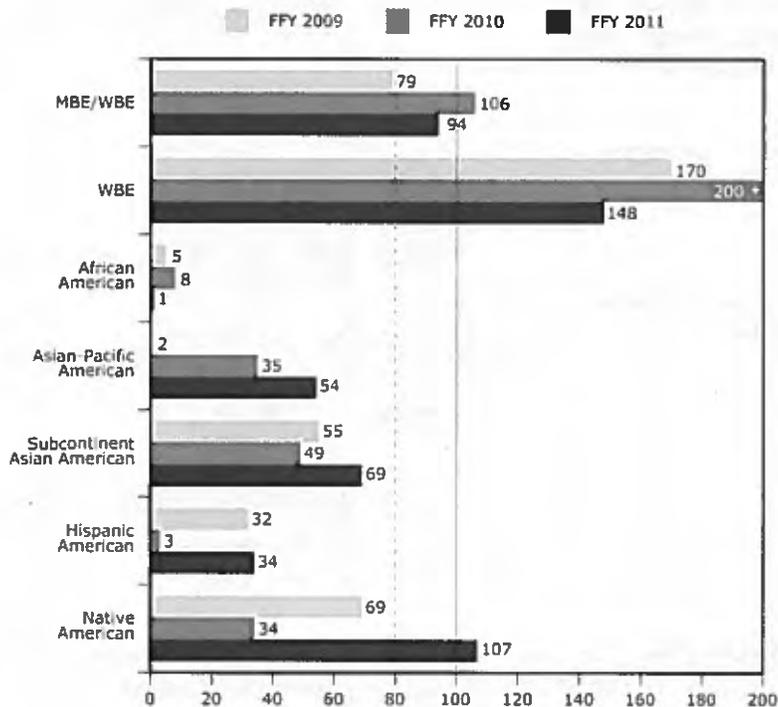
Transportation-related engineering contracts. During the study period, WSDOT and local agencies only used race- and gender-neutral measures to encourage MBE/WBE/ DBE participation on engineering contracts. They did not apply contract-specific DBE goals or voluntary MBE/WBE goals to and engineering contracts, regardless of funding source.

WBEs did not show substantial disparities on transportation-related engineering contracts in any year of the study period.

Figure ES-4. Disparity indices for WSDOT and local agency transportation-related engineering contracts (FHWA- and state-funded) by study period year

Note:
 Number of prime contracts/subcontracts analyzed was 690 for FFY 2009, 948 for FFY 2010, and 659 for FFY 2011.
 See Figures K-34, K-35, and K-36 for corresponding disparity results tables.

Source:
 BBC Research & Consulting availability and utilization analyses



FHWA-funded construction contracts from 2005-2006. BBC also analyzed FHWA-funded construction contracts that WSDOT and local agencies awarded between May 9, 2005 and September 30, 2006. WSDOT did not set DBE contract goals on its FHWA-funded contracts during that time period in response to the May 2005 *Western States Paving Company vs. Washington State DOT* court decision.

Figure ES-5 presents overall disparity analysis results for FHWA-funded construction contracts that WSDOT and local agencies awarded between May 9, 2005 and September 30, 2006. Overall, MBE/WBEs did not exhibit a substantial disparity on those contracts (disparity index of 96). However, results varied for individual MBE/WBE groups:

Three MBE groups exhibited substantial disparities on FHWA-funded construction contracts in 2005-2006 — African American-owned businesses (disparity index of 40), Subcontinent

American-owned businesses (disparity index of 0), and Hispanic American-owned businesses (disparity index of 41).

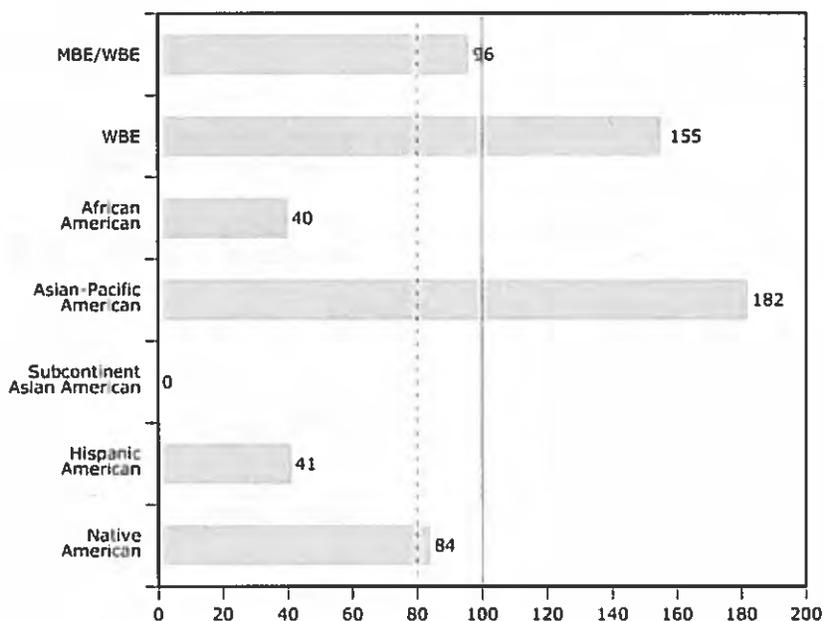
Native American-owned businesses exhibited a disparity index of 84 on those contracts, somewhat higher than the threshold of 80 that some courts use as an indicator of a substantial disparity.

Neither WBEs (disparity index of 155) nor Asian-Pacific American-owned businesses (disparity index of 182) exhibited disparities on those contracts.

Figure ES-5. Disparity indices for WSDOT FHWA-funded construction contracts, May 2005 – September 2006

Note:
Number of prime contracts/subcontracts analyzed was 1,005.

Source:
BBC Research & Consulting availability and utilization analyses.



Other information. The study team also examined information concerning the local marketplace, including results by MBE/WBE group, as part of the disparity study. WSDOT should review the full disparity study report, as well as other information it may have, in determining whether it needs to use any race- or gender-conscious measures, and if so, in determining which racial/ethnic and gender groups should be considered eligible for those measures.

In addition to the statistical evidence discussed above, the Study also gathered and analyzed anecdotal evidence of discriminatory barriers to the full and fair participation of M/W/DBEs in WSDOT's contracts and subcontracts. It looked at quantitative evidence through the use of a large-scale survey of DBEs and non-DBEs about their experiences and challenges in obtaining contracts. The survey quantified and compared anecdotal evidence on the experiences of DBEs and non-DBEs as a method to examine whether any differences might be due to discrimination.

The Study found that DBEs that have been hired in the past by non-DBE prime contractors to work on public sector contracts with DBE goals are rarely hired-or even solicited-by these prime contractors to work on projects without DBE goals. The relative lack of DBE hiring and, moreover, the relative lack of solicitation of DBEs in the absence of affirmative efforts by

WSDOT and other public entities in the Washington state market area shows that business discrimination continues to fetter DBE business opportunities in Washington's relevant markets.

Moreover, DBEs in WSDOT's market area report suffering business-related discrimination in large numbers and with statistically significantly greater frequency than non-DBEs. These differences frequently remain statistically significant when firm size and other "capacity-related" owner characteristics are held constant. DBEs are often more likely than similarly situated non-DBEs to report that specific aspects of the regular business environment make it harder for them to conduct their businesses and often less likely than similarly situated non-DBEs to report that specific aspects of the regular business environment make it easier for them to conduct their businesses.

The Study also presents the results from a series of in-depth personal interviews conducted with DBE and non-DBE business owners in the WSDOT market area. The interviews suggest that Black American-, Asian Pacific American-, Subcontinent Asian American-, Hispanic American-, and Native American-owned DBE businesses continue to suffer discriminatory barriers to full and fair access to WSDOT, other public sector, and private sector contracts. Participants reported experiences with discriminatory barriers, attitudes and performance standards, exclusion from industry networks; difficulties obtaining public sector contracts; and obtaining work on private sector or WSDOT "non-goals" contracts.

In summary, the Study concluded that there is strong anecdotal evidence of large, adverse, and frequently statistically significant disparities with Black American-, Asian Pacific American-, Subcontinent Asian American-, Hispanic American-, and Native American-owned DBE businesses' participation in business enterprise activity in WSDOT's relevant market area and the actual current availability of those businesses. It further concluded that these disparities cannot be explained solely, or even mostly, by differences between DBE and non-DBE business populations in factors untainted by discrimination, and that these differences therefore give rise to a strong inference of the presence of discrimination.

Based on these findings, the Study recommended that WSDOT augment its race-neutral initiatives, including reviewing surety bonding and insurance requirements; increasing outreach to DBEs and other small firms; create a WSDOT business development program; adopt a small business target market program; improve data collection and retention procedures; and increase DBE Program administration resources and commitment.

D. Public Notice of Disparity Study Report, Public Notice of Reasons for Requesting Waiver, and Initial Request for Waiver Submitted in 2014

In June 2013 WSDOT held public meetings throughout the state to discuss the Disparity Study Results, including the waiver request. These occurred at the following locations:

- June 18, 2013 – North Seattle
- June 19, 2013 – Yakima
- June 20, 2013 – Spokane
- June 24, 2013 – Webinar
- June 25, 2013 – Vancouver
- June 26, 2013 – South Seattle
- June 27, 2013 – Tacoma
- January 7, 2014 – Spokane
- January 9, 2014 – North Seattle
- January 13, 2014 – Tacoma

During and after the study process WSDOT met on numerous occasions with groups such as Tabor 100, the National Association of Minority Contractors, Women's Transportation Seminar and other members of the DBE Advisory Group. On January 23, 2014 WSDOT met with stakeholder organizations such as the Women in Highway Construction to discuss the proposed waiver. See Disadvantaged Business Enterprise (DBE) Program Proposed Amended Three-Year Overall Goal & Methodology for Federal Fiscal Years 2014 and 2015 through 2017 available at: www.wsdot.wa.gov/EqualOpportunity/DisparityStudy/default.htm.

WSDOT requested a waiver by letter dated March 28, 2014, available at: www.wsdot.wa.gov/EqualOpportunity/DisparityStudy/default.htm. attached. On October 20, 2015, FHWA requested that WSDOT amend and re-submit its request for a waiver; this document is WSDOT's submission of the amended request.

II. CONCLUSION: WSDOT'S REQUEST FOR A WAIVER IS CONSISTENT WITH THE PURPOSE AND CRITERIA OF 42 CFR § 26.15.

Therefore, WSDOT hereby requests pursuant to 49 CFR §26.15(b) a waiver of the prohibition on sub-dividing goals into a group-by-group set of percentages. See 49 CFR § 26.51(e)(4) ("Your contract goals must provide for participation by all certified DBEs and must not be subdivided into group-specific goals.")

Based on the 2012 Disparity Study analyses and recommendations, WSDOT requests to limit its use of DBE contract goals to the following groups: Black American-, Asian Pacific American-, Subcontinent Asian American-, Hispanic American-, and Native American-owned DBE businesses, including women-owned businesses that also fall within one of the above categories.

As a result of the waiver, WSDOT would not consider non-Hispanic white WBE businesses as being eligible on a statistical basis for the presumption of disadvantaged status concerning DBE contract goals at this time. If a specific non-Hispanic white woman-owned firm has evidence on an individualized basis that it has been socially and economically disadvantaged for purposes of attempting to conduct business in industries and markets in which WSDOT participates with

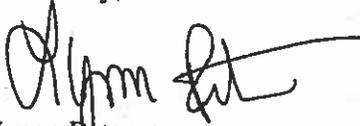
Mr. Dan Mathis
November 9, 2015
Page 13

respect to public contracting, then such a firm would still have the option of applying for certification under 49 CFR § 26.61(d), 26.67(d) and Appendix E. WSDOT's waiver request complies with all applicable laws and program requirements. Approval of the waiver will also be consistent with WSDOT's implementation of the Federal DBE Program in a narrowly tailored manner.

WSDOT asserts that this approach will achieve the objectives of 49 CFR Part 26. In addition, this request for a waiver conforms to the guidance from the USDOT's General Counsel on responding to the opinion of the United States Court of Appeals for the Ninth Circuit in Western States Paving.

If you have any questions regarding this submission, please contact Mike North at 360.705.7095 or NorthM@wsdot.wa.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Lynn Peterson", with a long horizontal flourish extending to the right.

Lynn Peterson
Secretary of Transportation

LP:jd

cc: Roger Millar, WSDOT
Mike North, WSDOT