

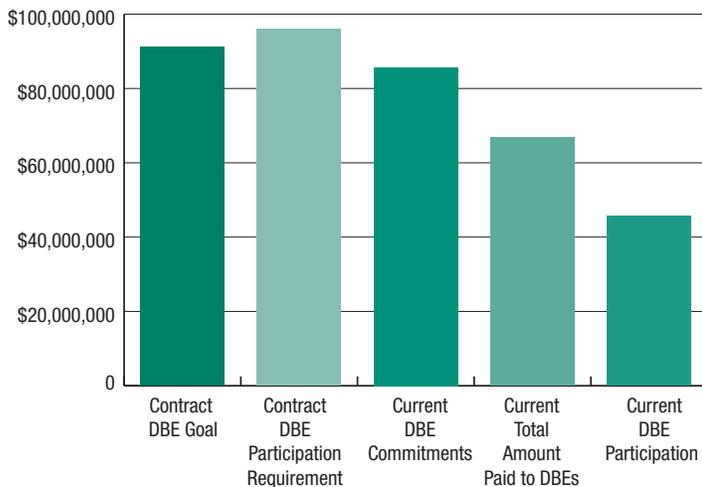
# WSDOT Disadvantaged Business Enterprise program: Monthly progress report to FHWA, November 2014

## Overview

The Washington State Department of Transportation (WSDOT) provides monthly progress reports to the Federal Highway Administration (FHWA) on both project and program-level Disadvantaged Business Enterprise (DBE) program participation, pursuant to the Conciliation Agreement between FHWA and WSDOT executed on March 20, 2014. This monthly 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 represent information verified through September 2014; other activities noted reflect work performed through November 2014.

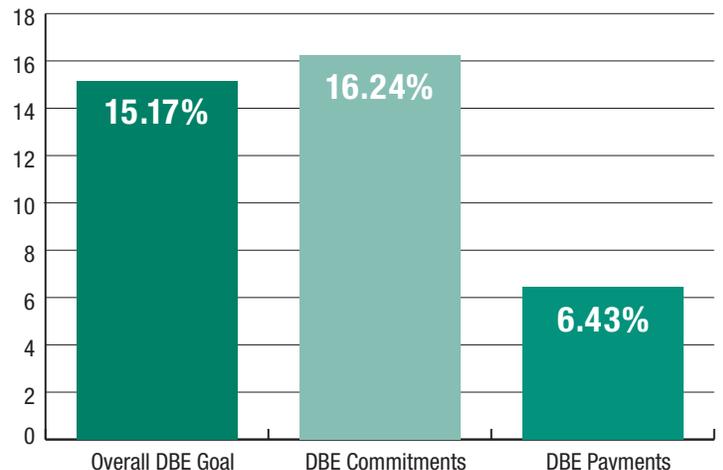
## Progress At a Glance

### AWV project-specific efforts



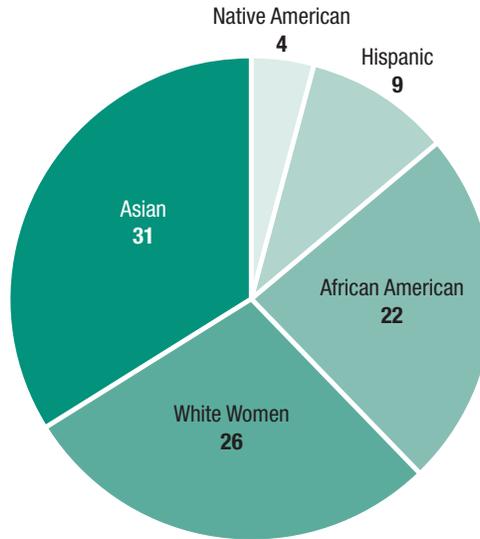
### Agency progress

For the month of October, WSDOT (Local Programs, Consultant Services and HQ Construction) is presently attaining 16.24 percent in DBE commitments (goals 13.29 percent and voluntary participation 2.96 percent) and 6.43 percent in payments to DBE firms. This includes only one month's DBE data and is not an accurate depiction of the agency's Federal Fiscal Year 2015 overall DBE participation.



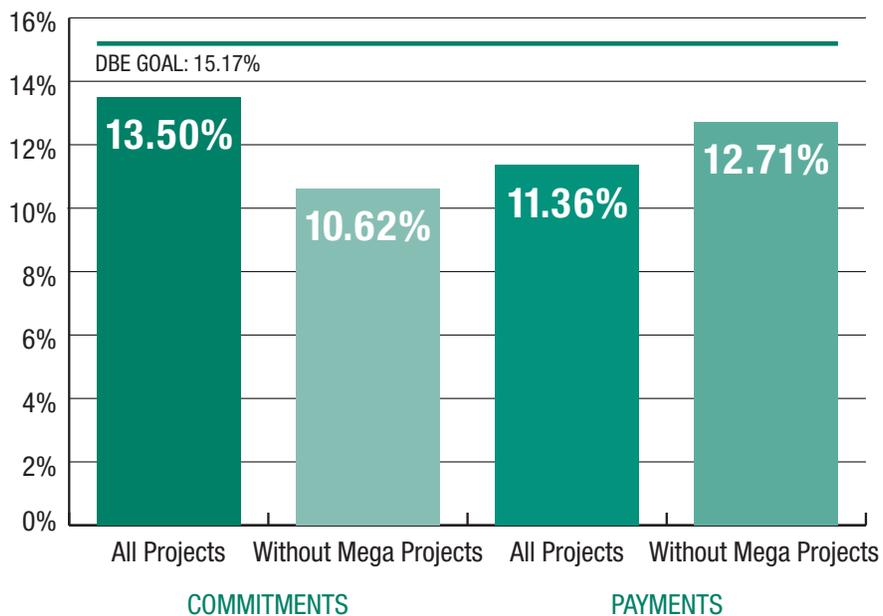
## Improving oversight, expanding opportunities:

WSDOT conducted an updated analysis of the race/ethnicity and gender of the DBE firm owners working on the AWV project for the STP outreach event on November 12. This information is provided below:



## Effect of mega-projects on DBE participation:

To determine how the mega-projects (projects over \$100 million) affect WSDOT DBE participation results, an analysis of Federal Fiscal Year 2014 participation was performed. This analysis included a comparison of all FHWA funded projects and FHWA funded projects excluding all mega-projects. The chart below illustrates that DBE commitments are greater with the mega-projects included (13.5 percent versus 10.62 percent) while DBE payments are lower with the mega-projects included (11.36 percent versus 12.71 percent). The mega-projects were awarded in previous years and due to the nature of design-build, DBE commitments are counted in later years. There is lag between design-build award and DBE commitments; the prime contract award amount is not taken into consideration when calculating the commitment percentage. Historically, due to the specialized nature of design-build, lower DBE goals were placed on mega-projects. These issues may be rectified in the future, with the new semi-annual reporting requirement and design-build projects over \$100 million having their own programmatic DBE goal and reporting.



## AWV project-specific progress, based on DBE Progress Report #43, Sept. 2014

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

- **DBE Subcontracting Oversight Committee.** Topics of discussion during the month of September included status reports on procurements that were underway and procurements that were identified as potential future opportunities for the DBE community. No new procurements were posted during the month of September due to on-going focus on repairing the Tunnel Boring Machine. Additional procurements are anticipated to occur by the end of December or January.
  - The STP Subcontracting Oversight Committee operating guidelines and the STP Procurement Procedures guidance document are still under development. STP's finalization of these documents is crucial in moving forward.
    - STP's Procurement Procedures are under final review by their executive committee, with the expectation of approval by mid-December.
    - STP leadership is working more closely with the Oversight Committee to receive endorsement prior to advertising Requests for Proposals.
- **DBE Communications.** In DBE Progress Report #43, STP reported that they advertised with a local minority newspaper and attended the Washington Construction and Design Conference during the month of September. (See Exhibit A, Attachment #1: STP Monthly DBE Progress Report # 43). A review of the Progress Report indicates that STP is planning events through the end of December. Planned outreach includes the following:
  - October 2014: Tabor 100 Captain of Industry Gala and the Tabor 100 monthly meeting.
  - November 2014: Will advertise in a local Hispanic newspaper, El Mundo, and will launch their own monthly outreach sessions with the greater DBE community.
  - December 2014: STP will hold the second of their planned monthly DBE outreach events, attend the University of Washington Business and Student Achievement Banquet, attend the monthly National Association of Minority Contractors (NAMC) meeting, and Northwest Mountain Minority Supplier Development Council Economic Summit.
- **Commercially Reasonable Discussions.** During the month of September, WSDOT issued a letter to STP finding that STP had concluded the Commercially Reasonable Discussions with seven of the eight complainants listed in the FHWA Investigative Report. Subcontracting negotiations are still underway with one of the complainants.
  - Since issuance of that letter, STP had some contract administration issues with some of the complainants. As of this report, many of these issues have been resolved.
- **DBE Opportunities.** DBE opportunities generated through the purchase of materials, technical and professional consulting and assistance through the procurement of services, personnel, or equipment necessary for the project are included in STP's DBE Quarterly Action Plan. This Action Plan was prepared and submitted in conjunction with DBE Progress Report #43 (September 2014). This Action Plan is the first such submittal, as required by Contract Change Order #91. As shown on the Quarterly Action Plan (See Exhibit B: STP DBE Quarterly Action Plan), STP is estimating:
  - \$7.4 million in additional DBE participation if they maximize the Not to Exceed contracts and agreements executed to date.
  - \$4.1 million in actual pending contracts and agreements with DBE firms.
  - Approximately \$2.4 million in possible future change ordered work.
  - Approximately \$17 million in potential bidding opportunities for the DBE community between now and the end of the project.
- **Related STP activities anticipated for the next reporting period:**
  - During the month of September, STP continued their Commercially Reasonable Discussions with the remaining complainant and addressed emerging issues.
  - The Subcontracting Oversight Committee will continue to meet and advise STP on potential subcontracting opportunities.
  - STP will continue communications and outreach to the DBE Community.
- **DBE Outreach.** Outreach activities performed by the WSDOT HQ DBE Administrator for the AWV Replacement Program included:
  - Attended the Tabor 100 Monthly Membership meeting and presented a project update.
  - Attended the NAMC and provided updates regarding project progress and upcoming STP Outreach events.
  - Attended STP's Outreach and Engagement event. Spoke to DBE firms on what they need to do to be ready for AWV DBE

- o opportunities. Met with multiple DBE firms individually. Collected businesses cards and talked about more targeted opportunities.
- o Attended the Port of Seattle, Sound Transit and the Washington State Department of Transportation's Fifth Annual Champion of Inclusion Awards and Business After-Hours Reception. Met with multiple DBE firms and provided information regarding upcoming STP outreach events (Scheduled for December 3), as well as forecasted AWV project opportunities.
- o Sent notifications of Outreach and Engagement events being held by STP to Tabor 100, NAMC, the Northwest Minority Supplier Diversity Council, the Trucker Consortium and several specific targeted DBE firms.
- o Met with three DBE firms regarding AWV DBE opportunities.
- o Met with first and second tier AWV low voltage sub-contractor to discuss possible DBE opportunities.

**Certification of Monetary Commitments**

- AWV Project Staff followed the Monthly DBE Progress Report Verification Procedures in performing our verification of the commitments and participation reported by STP in Progress Report #43. (See Exhibit A: Memorandum, Validation STP Monthly DBE Progress Report #43).
- The entire \$2.8 million amount claimed in DBE participation in DBE Progress Report #43 has been verified. (See Exhibit A, Attachment #5, DBE Amounts (As Amended) Validation).
  - o This Progress Report did not include any additional claims of DBE participation for OMA Construction, Inc.
    - WSDOT is currently working on validating \$8.5 million in trucking participation, as claimed by STP in prior Progress Reports.
    - WSDOT OEO and FHWA have approved the AWV proposed trucking verification process.
    - In the instances where the results of WSDOT's verification process conflicts with the information submitted by STP, WSDOT is working with STP to determine the cause and reach resolution on any discrepancies.
- **Work site Monitoring.** WSDOT monitors work sites to ensure work committed to each DBE is/has been actually performed by the DBE. During the reporting period of September:
  - o Four on-site reviews performed on the project.
  - o DBE onsite reviews will continue to be performed as new DBE firms are given work on the project or DBE firms come onto the project to work on current contracts.
  - o A review of payroll reports showed the total hours reported on verified Certified Payrolls were 3,446. This was 95 hours more than the 3,351 hours reported by the contractor. The breakdown, by skill craft, may be found in Exhibit C: DBE Certified Payrolls Hours Verification, September 2014.
    - The discrepancy between the STP reported hours and the certified payroll hours can be attributed to three contributing factors:
      - Subcontractor reports of utilization, which is what STP's reported hours are based on for "week ending", so a month utilization report could include hours from the previous month.
      - Certified payroll comparison is based on a calendar month.
      - Subcontractors may be late in submitting their certified payroll, resulting in missing hours.
- **Monetary commitments.**
  - o AWV received STP Progress Report #43, on November 3, 2014. (See Exhibit A: Attachment #1, STP Monthly DBE Progress Report #43)
 

- Contract DBE Goal	\$91,176,000.00
- Contract DBE Participation Requirement	\$96,000,000.00
- Current DBE Commitments	\$85,639,772.37
- Current Total Amount Paid to DBEs	\$66,815,013.56
- Current DBE Participation	\$45,596,203.17

## Utilization, prompt payment and retainage

- STP has submitted information along with Progress Report #43, as required by Change Order #91. The documentation is under review at this time by WSDOT for accuracy and completion.

## Monitoring and investigation of complaints regarding DBE participation

- **AWV Commercially Useful Function Reviews.** No changes to report.
- **Resolved issues**
  - One Commercially Reasonable Discussion between STP and a DBE firm continues. As a result, a first tier sub-contractor is requesting prequalifying documentation from the second tier sub-contractor. AWV project staff continues to monitor STP's efforts to ensure that any request for pre-qualifying documentation by the first tier sub-contractor is a consistent business practice/requirement for all sub-contractors, including DBEs.
  - One DBE raised an issue of contract language related to lien releases in an amended contract closeout. AWV Project staff worked with STP and the affected DBE firm. STP has modified the closeout language and has provided the DBE with new amended language. The DBE has signed the closeout contract and has begun a new contracted scope. The issue is now resolved.
- **Payment Resolution:**
  - One DBE had an end of work contract closeout payment issue. Final payment has been made based on presentation and verification of closeout documentation, including certified payroll, proof of account, and current account standing with the Teamsters Union.
- **Other issues:**
  - A letter dated Oct. 20, 2014, was received from Warren Whitlock, FHWA Civil Rights Division, regarding his visit to the AWV Office on August 28 and 29.
- The letter identified seven areas of consideration for WSDOT.
- WSDOT responded via letter, dated Nov. 5, 2014, providing an update to the seven areas.
  - An issue emerged since September regarding on-site behavior between STP and one of their subcontractors. The situation is under review by WSDOT.

## WSDOT DBE program-level progress

### DBE monitoring process and procedures

- **Prompt Payment.** HQ Construction is developing a form (Monthly Certification) required to be submitted by prime contractors monthly as a part of the payment process. This Monthly Certification (a draft is included as Exhibit D) will require the prime contractors to certify what they paid subcontractors (both DBE and non-DBE) for the work performed to date. If a prime contractor has not paid a subcontractor for work performed, the prime is required to report the amount with an explanation as to why payment is being withheld, and how the prime plans to resolve the payment issue.
  - If WSDOT determines that the withholding is not warranted, further sanctions may be employed as provided by contract.
  - If WSDOT determines that the withholding is warranted from a subcontractor, on the subsequent certification, WSDOT will deduct an equal amount from the prime contractor's payment. WSDOT will retain this amount until the prime contractor certifies that the monies in question have been released to the subcontractor or the issue of payment has been resolved through negotiations.
- **Forecasting Tool.** OEO, HQ Construction, and the Capital Program Development and Management Office will continue to work on a forecasting tool to evaluate progress WSDOT is making in meeting the Federal Fiscal Year 2015 overall DBE goal. This forecast is based upon goal percentage results and trends applied to upcoming projects. WSDOT is working on creating more detailed upcoming project information to create a more accurate forecast.

## DBE Payment Program

- The Local Programs Division nearly completed testing of the DBE Payment System and was on schedule to implement the system by November 17. Since the new DBE program rules require the Local Programs Division to collect additional information from local jurisdictions that it presently does not collect, the Division is currently determining how to collect this data and modify the DBE Payment System accordingly. Once it is determined how to collect the additional data, the necessary changes will be made and the DBE Payment System will be modified with the goal of implementing on local agency projects by the end of December.
- The Consultant Services Office continues to make progress on implementing the DBE Payment System. They anticipate having agreements loaded into the system and ready to be tested in January 2015.

## Design-build specifications, goals and performance

- **US DOT Bonding Education Program.** On November 4, OEO staff provided information on How to do Business with WSDOT to participants in the USDOT Small Business Transportation Resource Center's Bonding Education Program. WSDOT along with other transportation local agencies sponsored a portion of this workshop.
- **DBE Long Term Business Development Program.** WSDOT has developed and implemented a Long Term Business Development Program. The pilot program contains a six week intensive business planning workshop which began on November 5. Seven DBE firms are enrolled in the pilot program. After the business planning is complete, the firms are eligible for gap analysis and technical assistance. WSDOT and the consultant decided to implement the program with a smaller pilot group to determine how to best deliver and scope the project for future classes. The next, larger round of classes is tentatively scheduled to start in late January 2015.
- **NAMC Meeting.** The Secretary of Transportation, the interim DBE Liaison Officer and interim Director of the OEO attended the November 6 NAMC meeting. The new WSDOT staff attended the meeting to introduce themselves to the NAMC members of the minority contracting community.
- **DBE Program Newsletter.** WSDOT developed and distributed its first DBE Program Newsletter (attached as Exhibit E) in the beginning of November. This issue introduced new WSDOT staff members connected to the DBE program. It also provided information about upcoming events, DBE participation, the Disparity Study status, DBE program reforms, and the DBE Long Term Business Development Program.
- **Business After Hours:** On November 13, WSDOT, partnering with Sound Transit and the Port of Seattle, hosted the fifth annual Business After Hours networking event. During this event, each hosting agency presented a Champion of Inclusion award to a business that exemplifies the value of inclusion. The event is primarily for networking between primes and subcontractors (specifically DBEs), comprised of both consultants and contractors. This year's event had the largest turn-out to date with approximately 250 people attending.

## Exhibits:

Exhibit A: Memorandum, Validation STP Monthly DBE Progress Report #43

Attachment #1, STP DBE Progress Report No. 43, September 2014

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

Exhibit B: DBE Quarterly Action Plan, November 5, 2014

Exhibit C: DBE Certified Payrolls Hours Verification, September 2014

Exhibit D: Draft Prompt Payment Mechanism

Exhibit E: DBE Program Newsletter

**Americans with Disabilities Act (ADA) Information:** This material can be made available in an alternate format by emailing the WSDOT Diversity/ADA Affairs team at [wsdotada@wsdot.wa.gov](mailto: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, Jonté Robinson at (360) 705-7082.



**EXHIBIT A**

November 18, 2014

TO: Bobby Forch, DBE Administrator AWW *Bfk*

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

SUBJECT: Validation STP Monthly DBE Progress Report No. 43

Review of STP Monthly DBE Progress Report No. 43 (Report No. 43) began 11/7/2014 and was completed on 11/18/2014. (See Attachment 1).

- DBE Contractual Requirement (Change Order 91)= \$96,000,000
- DBE 8% Goal= \$91,176,000
- Commitments= \$85,639,772.37
- DBE Participation= \$45,596,203.17

STP reported 92 subcontractors with 150 subcontracts. Comparing Report No. 43 to Report No. 42 resulted in changes as follows:

- 28 Commitment changes totaling \$4,325,869.52 increase (Attachment 2)
- 29 Invoiced to Date changes totaling \$4,608,721.16 increase (Attachment 3)
- 34 Payments to Date changes totaling \$4,855,294.88 increase (Attachment 4)
- 26 DBE Amount (as Amended) changes totaling \$2,840,311.25 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. 43 (September 2014) 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 less than DBE Amount (as Amended) and all DBE Amounts (as Amended) were validated.

- It should be noted that the DBE Amount (As Amended) being claimed by STP for work performed by OMA Trucking (including lower tiers) has not been verified by WSDOT.
- This increase in participation is for work that has been invoiced by and paid to OMA but not previously counted toward DBE participation.
- According to STP, they had not received the documentation required from OMA and had not performed their internal review in order to justify the increase in claimed DBE Amount (As Amended) prior to this time.
- Discussions are currently underway between the AWV Office, HQ OEO and FHWA regarding the process for reviewing and approving the \$8.6 million in DBE participation claimed for OMA under DBE Progress Reports #40, #41, and #42.

The following new DBE subcontractors were added under this Report, bringing the total count of DBE firms with subcontracts to 92:

- Advanced Underground Utilities
- 1 Alliance Geomatics (Lower Tier to Malcolm)
- BC Traffic (Lower Tier to Malcolm)

Existing subcontractors receiving new work under this report:

- Mobile Electrical Distributors, Inc. (Lower Tier to FISK, 3<sup>rd</sup> Tier under JH Kelly)
- Transcon (Lower Tier to Malcolm)
- Wayron (Lower Tier to Desert Mechanical, 3<sup>rd</sup> Tier under JH Kelly)

Conclusion:

STP's Report No. 43 is acceptable. Additional work will be required to verify the DBE claimed participation for OMA Trucking once agreement is reached between the AWV Office, HQ OEO, and FHWA regarding the verification process.

The STP Binder for Report No. 43 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 and a few of the invoiced amounts it was necessary to review the STP files in order to complete validation documents.

November 18, 2014

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**Attachments:**

1. STP DBE Progress Report No. 43
2. DBE Commitment Validation
3. DBE Invoiced to Date Validation
4. DBE Total Payments Validation
5. DBE Amount (as amended) Validation

cc: Paul Johnson. P.E.



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

# Seattle Tunnel Partners

## SR 99 Tunnel Project

### Monthly DBE Progress Report No. 43

**Progress Report Period:** September 1, 2014 – September 31, 2014

**Submission Date:** Friday, October 31, 2014

#### DBE participation progress

Change Order 91 – Contractual Requirement:	\$96,000,000
DBE Goal:	\$91,176,000
Current DBE commitments:	\$85,639,772.37
Percent of DBE commitments:	7.514%
DBE participation:	\$45,596,203.17
Percent of DBE participation :	4.001%

Please see attached STP Form DBE09 for further details.

#### Current DBE Efforts

##### Opportunities

STP is submitting our quarterly DBE action plan with this monthly report. The action plan provides details of DBE work that is anticipated, but not listed on our report under DBE commitments (such as DBE awards pending executed contracts). This plan also provides potential 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.

As a result of STP's efforts in working with our subcontractors on lower tier DBE opportunities, several lower tier contracts were added to this month's report. This includes Malcolm Drilling identifying and carving out scopes of work for DBE firms in surveying, traffic control, and excavation. JH Kelly made additional progress towards their 8% DBE goal and executed lower tier agreements for a 3<sup>rd</sup> tier fabrication contract and 3<sup>rd</sup> tier purchase orders for electrical supply.

STP negotiated lower tier DBE trucking (freight) commitment for \$647,539 with Concrete Technology Corp. STP worked with Hitachi Zosen to identify lower tier DBE engineering opportunities.

STP has actively been working with STP's Subcontract Oversight Committee with management level involvement from STP, WSDOT, OMWBE, and independent consultants. This has included looking at STP's contracting processes and making revisions based on suggestions from the Oversight Committee. One of the changes to STP's process is to including the Oversight Committee as part of

STP's contracting procedures (discuss opportunities prior to RFP, during the RFP process, and prior to contract award).

STP made the following changes to recent RFPs and/or bid evaluations during September to provide greater opportunities for DBE firms:

1. Tunnel Joints & Sealants: STP took a portion of work that was originally looked at as one RFP and broke it into 7 different scopes. The portion of work that was first scheduled to be performed was awarded to a DBE firm and an agreement was executed back in August 2014. The remaining 6 scopes were then bid and only one of the bidders (a non-DBE) met the technical specifications. STP followed up with the other bidders and provided additional opportunities for them to meet the technical requirements, which firms were not able to provide. STP then worked with the awarding firm and has requested that they provide more efforts to utilize DBE firm(s) before STP will execute an agreement. In addition, STP took the remaining 5 scopes and encouraged DBE bids for any of the scopes remaining (one or multiple). STP is currently evaluating the bids (to include 1 DBE bidder).
2. STP awarded sign work to a DBE firm who submitted their bid February 2014. STP has been working with the awarded firm to provide additional time for the firm to request certification under the specific division of work for sign installation so that the contract can be considered available for DBE participation.

#### **September DBE Contract Negotiations**

STP negotiated an agreement with DBE firm Advanced Underground Utilities during the reporting period. STP accepted lower limits for umbrella insurance policy and bonding as part of our DBE contract negotiations. To date, STP has waived bonding for every DBE firm that has requested it during their contract negotiations with STP.

#### **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 to provide information to the broader women and minority community.

#### **September Outreach**

##### *Ad in the MBE Edition of The Skanner*

STP purchased an ad in The Skanner for their Minority Business Enterprise Edition. The Skanner News Group is a Black news group reporting to inform and help others including the minority community. STP purchased the ad as an opportunity to share successes on the project; hoping this will encourage DBE (and MBE firms that might be able to become DBE certified) to contact STP to learn about future opportunities. STP further hopes that providing updates about what STP is doing, will encourage firms to respond to future bid invitations.

##### *September 19, 2014, Washington Construction & Design (CDE)*

STP provided project updates and upcoming opportunities at the September 19<sup>th</sup> Washington Construction & Design Entrepreneurs (CDE) meeting. STP's project manager and DBE compliance

manager provided information, answered questions, and talked one-on-one with DBE and local small, minority, and women businesses. STP reconnected with a local DBE sign company, discussed low voltage opportunities on the project with two DBE firms, and provided an update to a DBE survey company that historically expressed interest on the project.

### **October Outreach**

#### October 4, 2014, Tabor 100 Captain of Industry Gala

STP purchased a table at the Tabor 100 Gala that took place on October 4, 2014. STP management attended the event: Dragados vice president, STP project manager, STP deputy project manager, and STP DBE compliance manager and DBE firms. This was an opportunity for STP to support the local African American business community and youth. STP was able to connect with business attendees. This included talking with the president of Tabor 100 and board member. STP also connected with a Tabor 100 reward recipient (DBE firm) and has since communicated with the firm about potential future opportunities with STP.

#### October 25, 2014, Tabor 100 membership meeting

STP Project Manager and WSDOT HQ DBE Program Administrator presented at the October 25, 2014 Tabor 100 monthly membership meeting in Seattle, WA. STP's attendance at this event served as an opportunity to touch base with Tabor members as well as an opportunity to speak about STP's November 12th outreach and engagement meeting.

### **Planned November Outreach**

#### Ad in El Mundo

STP intends to advertise in El Mundo November 2014. El Mundo provides editorial content available for Washington's Hispanic community. El Mundo's digital and hard copy newspaper is published in Spanish.

STP has exceeded the percent of contract awards and dollars for each ethnic/race group represented by DBE firms (African American, Asian American, Hispanic, Native American, and women), as a percent of the region's population, except Hispanic owned firms. It is important to STP to be inclusive of all diverse community groups and hopes our ad will provide more awareness about the DBE program, our project, and interest in bidding.

#### November 12, 2014, STP DBE Meeting

STP is launching monthly DBE outreach and engagement meetings to provide updates to DBE firms about upcoming opportunities, project updates, and engage community members in discussing STP's efforts and progress towards the DBE goal. The first event is planned for November 12, 2014 at South Seattle Community College Georgetown Campus from 8:00 a.m. – 10:00 a.m.

### **Planned December Outreach**

#### December 2, 2014, STP DBE Meeting

The second DBE outreach and engagement meeting is scheduled for December 2, 2014 at South Seattle Community College Georgetown Campus.

*December 3, 2014, UW Business & Student Achievement Banquet*

STP plans to attend the December 3, 2014 UW Business & Student Achievement Banquet in Seattle, WA. STP plans to attend this event in order to talk one-on-one with DBE firms interested in working with STP and answer questions about how DBE contractors can obtain work on the project. STP hopes their involvement will encourage DBE firms to bid on upcoming work.

*December 4, 2014, National Association of Minority Contractors of Washington*

STP plans to attend the December 4, 2014 National Association of Minority Contractors of Washington (NAMC WA) meeting in Seattle, WA. STP plans to attend this event in order to answer questions about how DBE contractors can obtain work on the project and follow up with requests for DBE project updates. STP will also notify attendees about STP's upcoming DBE outreach and engagement meeting scheduled for January 14, 2015. STP hopes our attendance will encourage DBE contractors to participate in upcoming opportunities.

*December 18, 2014, Northwest Mountain Minority Supplier Development Council Economic Summit*

STP plans to attend the December 18, 2014 Northwest Mountain Minority Supplier Development Council Economic Summit in SeaTac, WA. STP plans to attend this event in order to talk one-on-one with DBE firms interested in working with STP and answer questions about how DBE contractors can obtain work on the project. STP hopes their involvement will encourage DBE firms to bid on upcoming work.

MONTHLY DBE PROGRESS REPORT (From DBE-09)  
REPORT FOR MONTH ENDING: 9/30/14

Contract:  
Number: 007999

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

Contract Amount (as amended): \$ 1,362,979,570.58 % Complete: 69%  
DBE Goal Dollar Value: \$ 91,176,000.00  
DBE Goal: 8%

Prime Contractor:  
Seattle Tunnel Partners

Through 8/31/2014 (all numbers exclude WSST)  
Total payment to Prime to date: \$ 936,103,493.62  
Total amount invoiced to date: \$ 953,331,003.87  
Amount of last payment to Prime: \$ 12,385,602.41

Date of last payment to Prime: 9/5/2014  
Total of last payment to Prime: \$ 12,385,602.41  
Total value of DBE commitments: \$ 85,639,772.37  
% of DBE Commitments: 7.514%

Total value of DBE amount (as Amended): \$ 45,596,203.17  
% of DBE Amount (as Amended): 4.001%

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)
<b>FIRST TIER</b>	<b>FIRST TIER</b>								
AAR Testing Laboratories, Inc.	#D2F4708231	Testing	19-Dec-12	100%	\$ 720.00	\$ 720.00	Closed	\$ 720.00	\$ 720.00
Advanced Underground Utilities	#D4M0023433	NOB Underground Utilities	12-Sep-14	0%	\$ 285,647.50	\$ -	\$ -	\$ -	\$ -
Amaya Electric	#D5M0200177	Mitigation Buildings - Electrical	1-Aug-13	100%	\$ 24,237.20	\$ 24,237.20	Closed	\$ 24,237.20	\$ 24,237.20
Bear Wood Windows	#D4F0022489	NOB/SOB - Furnish & Install Shades, Kitchen Cabinets	1-Aug-14	0%	\$ 31,605.00	\$ -	\$ -	\$ -	\$ -
BESTCCLS INC	#D3M9319663	Survey	8-Feb-12	100%	\$ 189,938.00	\$ 189,938.00	Closed	\$ 189,938.00	\$ 189,938.00
CZPM	#D4F9620654	Design Quality Assurance Manager	1-Sep-11	100%	\$ 416,500.00	\$ 416,500.00	Closed	\$ 416,500.00	\$ 416,000.00
Catherine Bassett	#D2F2313819	Progress photography	5-Mar-12	100%	\$ 25,035.86	\$ 25,035.86	\$ 2,480.00	\$ 25,035.86	\$ 24,444.36
CivilTech Engineering	#D4M0018825	Design & Consulting	31-Jul-2012	100%	\$ 521,078.53	\$ 521,078.53	\$ 32,665.00	\$ 492,723.53	\$ 492,723.53
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%	\$ 1,038,212.50	\$ 1,038,212.50	\$ 43,920.00	\$ 1,028,852.50	\$ 1,028,852.50
Duncan Asphalt	#DM5M9822253	MOT-2 SB & SBOFF Paving and CSBC Supply	11-Apr-04	15%	\$ 40,000.00	\$ 40,000.00	\$ -	\$ 38,000.00	\$ -
Environmental Management Training	#D3M9820748	Safety Training	3-Jan-12	100%	\$ 22,575.00	\$ 22,575.00	\$ -	\$ 22,345.00	\$ 22,345.00
EPC Consultants, Inc.	#D4M0022954	Tunnel Quality Assurance	8-Jul-2013	100%	\$ 838,208.00	\$ 838,208.00	\$ 57,362.00	\$ 780,846.00	\$ 745,706.00
Exeltech Consulting Inc	#D4M2304220	PreConstruction Condition Survey	4-Aug-2011	100%	\$ 354,893.66	\$ 354,893.66	\$ -	\$ 337,551.25	\$ 337,551.25
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	0%	\$ -	\$ -	\$ -	\$ -	\$ -
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%	\$ 427,740.39	\$ 427,740.39	\$ -	\$ 427,740.39	\$ 427,740.39
Grady Excavating	#D2W0020267	South Portal Trucking	11-Apr-2012	100%	\$ 881,412.65	\$ 881,412.65	Closed	\$ 881,412.65	\$ 724,412.60
Pro USA (LT to Grady)	#D3M9422332	South Portal Trucking	24-Jul-2012	100%	\$ -	\$ -	\$ -	\$ -	\$ 30,469.50
Greylock Consulting LLC	#D2F8019850	Environmental Consulting Services	1-Oct-2011	100%	\$ 266,876.07	\$ 267,824.82	\$ 361.25	\$ 267,553.57	\$ 142,473.22
On-Site Environmental Inc (LT to Greylock)	#M3M1010381	Environmental Analytical Testing	14-Dec-2011	100%	\$ -	\$ -	\$ -	\$ -	\$ 69,299.75
J. Harper Contractors Inc.	#D4M5310119	Demolition and Material Crushing	1-Nov-2011	100%	\$ 1,473,764.00	\$ 1,473,764.00	Closed	\$ 1,473,764.00	\$ 1,455,382.26
J. Kalser & Associates	#D5F0023416	DBE Coordinator - Consulting	30-Apr-2014	129%	\$ 31,271.20	\$ 40,221.20	\$ 8,950.00	\$ 40,221.20	\$ -
JP Francis & Associates, Inc.	#M3M0018112	Mitigation building - plumbing and mechanical	24-Jul-2013	100%	\$ 53,510.86	\$ 53,510.86	\$ -	\$ 50,835.32	\$ 49,999.54
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	8-May-2012	100%	\$ 739,114.07	\$ 739,114.07	Closed	\$ 739,114.07	\$ -
Global Concrete Cutting (LT to Leajak)	#D3M0022412	Concrete cutting	26-Jun-12	100%	\$ -	\$ -	Closed	\$ -	\$ -
Kiawa Trucking LLC (LT to Leajak)	#D3M8019933	Trucking	28-Jun-12	100%	\$ -	\$ -	Closed	\$ -	\$ -
Sunset Welding Inc. (LT to Leajak)	#D5M0018072	Febar	30-Jun-12	100%	\$ -	\$ -	Closed	\$ -	\$ -
Lorsche 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 Lorsche)	#E3M5310714	Excavating, install crush rock and pour concrete	1-Jul-2012	100%	\$ -	\$ -	\$ -	\$ -	\$ 42,257.94

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Sunset Welding Inc. (Subcontract to Leajak, 3rd tier under Lorache)	#D5M0018072	Rebar	10-Jul-2012	100%					\$ 7,800.00
Magnum Crane LLC	#D1M8719508	Crane, Maint, Operator, fuel, riggings	17-Dec-2012	100%	\$ 53,712.51	\$ 53,712.51	\$ -	\$ 53,712.51	\$ 53,712.51
Marshbank	#D1M0011507	Sewer Relocation	7-Aug-2012	96%	\$ 1,339,049.47	\$ 1,279,562.53	\$ 115,398.23	\$ 1,215,584.39	\$ 547,570.12
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Remove Underground Tank near Western Building	24-Oct-2012	100%	\$ 10,802.00	\$ 10,802.00	Closed	\$ 10,802.00	\$ 10,802.00
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Vac-truck services	18-Jul-2012	100%	\$ 169,618.08	\$ 169,618.08	\$ -	\$ 162,467.29	\$ 162,467.29
MindSeekers, LLC	#D3M6917745	Temporary Staffing	27-Feb-2013	100%	\$ 211,836.08	\$ 211,836.08	\$ 15,582.50	\$ 200,794.64	\$ 200,794.64
Neppel Electrical	#D5M0017938	Harrison Street Hangers and Conduit	31-Jul-2014	0%	\$ 473,613.72	\$ -	\$ -	\$ -	\$ -
Nolan Morrison	#D2F5522304	Document Control Consulting Svcs.	19-Sep-2011	100%	\$ 39,800.00	\$ 39,800.00	Closed	\$ 39,800.00	\$ -
Oatridge Security Group Inc	#D5M8421939	Security Guard Services	10-Oct-2011	100%	\$ 3,542,102.00	\$ 3,542,102.00	\$ 120,343.00	\$ 3,542,102.00	\$ 3,528,608.00
OMA Construction Inc.	#D4M2316494	North & South Portal Hauling; Trucking hourly	25-Sep-2012	99%	\$ 16,237,698.79	\$ 16,105,693.39	\$ 1,455,185.99	\$ 15,867,410.39	\$ 11,559,521.75
C & E Transport Corp (LT to OMA)	#D3M0022750	Trucking	18-Nov-2013	100%					\$ -
JMR Trucking (LT to OMA)	#D3M6917511	Trucking	1-Dec-2012	100%					\$ 52,196.18
Maks Dump Truck (LT to OMA)	#D3M0019934	Trucking	1-Dec-2012	100%					\$ 133,755.00
Ponglia Trucking Inc. (LT to OMA)	#M4M0019913	Trucking	17-Jan-2013	100%					\$ 132,683.75
Puget Sound Utilities (LT to OMA)	#D2F0022597	Trucking	17-Jul-2013	100%					\$ 12,622.50
SSB Trucking & Construction (LT to OMA)	#D4M1020033	Trucking	26-Jun-2013	100%					\$ -
Trinity Development (LT to OMA)	#D3M7217852	Trucking	17-Oct-2012	100%					\$ 41,630.00
OMA Construction Inc.	#D4M2316494	Safe Haven No. 003	11-Jan-2013	25%	\$ 300,000.00	\$ 73,603.70		\$ 73,603.70	\$ -
Oneill Service Group	#D5M9820775	Environmental Inspection & compliance, stormwater, scientist/documentation services	13-Feb-2012	100%	\$ 572,456.53	\$ 572,456.53	\$ -	\$ 547,437.28	\$ 424,599.40
Osiris Enterprises LLC	#D3M1021155	Janitorial Services	12-Jan-2012	100%	\$ 220,683.50	\$ 220,683.50	\$ 10,829.00	\$ 209,854.50	\$ 113,783.96
Rose Super Clean and Park Management (LT to Osiris)	#D3M0020597	Janitorial Services	6-Apr-2012	100%					\$ 91,197.54
PRR, Inc.	#D4F3908454	Subconsultant - Public Information	22-Feb-2011	85%	\$ 779,490.00	\$ 665,900.77	\$ 13,556.00	\$ 652,344.77	\$ 646,532.84
Saez Consulting Engineers Inc. (dba SCE, Inc.)	#M5M0019808	Utility Monitoring Professional Services	31-Aug-2012	100%	\$ 167,212.40	\$ 167,212.40	\$ 25,283.30	\$ 167,212.40	\$ 167,212.40
Savage Logistics, LLC	#D2F8020092	Freight	28-Mar-2013	106%	\$ 555,363.00	\$ 587,848.50	\$ 22,480.50	\$ 577,843.50	\$ 577,843.50
Sea Tac Sweeping Service (dba Al Vinson)	#D3M6015063	Street Sweeping	5-Dec-2011	100%	\$ 8,360.00	\$ 8,360.00	Closed	\$ 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	\$ 47,801.31	\$ 1,848,973.12	\$ -
Adept Mechanical (LT to ST Fabrication)	#D3M0018841	Mechanical	25-Sep-2012	100%					\$ -
Emerald City Weatherproofers (LT to ST Fabrication)	#D4M5111591	Weather Barrier Waterproofing	1-Oct-2012	100%			Closed		\$ 33,703.35
Gibson Door & Millwork (LT to ST Fabrication)	#D2F5112317	Door and Hardware Installation	17-Sep-2012	100%			Closed		\$ 10,452.00
ST Fabrication/ Jabez	#D4M0018443	T-46 Reefer Racks	30-May-2012	100%	\$ 1,949,279.54	\$ 1,946,410.88	\$ 9,384.80	\$ 1,946,410.88	\$ 1,162,632.72
SteeleKorr	#D4M8822652	Furnish and install all structural steel	31-Oct-2013	32%	\$ 7,639,052.00	\$ 2,454,530.43	\$ 610,616.25	\$ 2,331,803.92	\$ 165,986.33
Sundancer Electric Inc.	#D1M8522607	Tunnel Electrical	17-Jan-2013	100%	\$ 3,798,363.84	\$ 3,798,363.84	\$ 64,385.90	\$ 3,757,740.89	\$ -
Trancon Company LLC	#D4M1022071	Underground Electrical Duct Bank Work	12-Dec-2013	100%	\$ 2,312,336.49	\$ 2,302,776.64	\$ 54,931.29	\$ 2,302,776.64	\$ 2,006,706.13
TripleNet Technologies	#D5M0018439	STP Website	9-Jan-2012	100%	\$ 7,762.00	\$ 7,762.00	Closed	\$ 7,762.00	\$ 7,762.00
United Professional Caulking	#D5F0016236	Harrison Street Expansion Joints	12-Aug-2014	0%	\$ 79,250.00	\$ -	\$ -	\$ -	\$ -
Washington State Trucking	#D3M0021431	Haul and dispose of 130 tunnel segments	12-Aug-2014	16%	\$ 184,470.00	\$ 30,000.10	\$ 30,000.10	\$ 30,000.10	\$ -
<b>VENDORS</b>	<b>VENDORS</b>								
Birch Equipment Rental & Sales, Inc.	#D2F0022284	Equipment: Blast Pots, Light Tower, Generator, Air Comp,	NA	100%	\$ 286,335.54	\$ 286,335.54	\$ -	\$ 286,335.54	\$ 171,801.32
Excel Supply Company	#D4F2312899	Safety Supplies	NA	100%	\$ 17,885.69	\$ 17,885.69	\$ -	\$ 17,885.69	\$ 10,731.41
Highway Specialties LLC	#D2F0019389	Construction Signage, Traffic Drums, lights, safety, TMA's	NA	100%	\$ 230,806.79	\$ 230,806.79	\$ 832.20	\$ 230,806.79	\$ 138,484.07
Quality Discount Supplies & Services (John W. Quarles)	#D3M0700021	Office Supplies	NA	100%	\$ 4,710.82	\$ 4,710.82	\$ -	\$ 4,710.82	\$ 2,826.49
ST Fabrication/ Jabez	#D4M0018443	Fabrication & Supply	NA	86%	\$ 2,325,362.11	\$ 2,010,682.99	\$ 34,900.00	\$ 2,010,682.99	\$ 1,228,697.79
The Bag Lady	#D2F0016394	Costruction Entrance Plates & Straw bales	NA	100%	\$ 281,427.50	\$ 281,427.50	\$ -	\$ 281,427.50	\$ 168,856.50
Wayron	#D6F0021571	Fabrication	9-Jan-2012	100%	\$ 2,579,919.86	\$ 2,579,919.86	\$ 221,716.00	\$ 2,579,919.86	\$ 2,578,369.86
West Coast Printing	#D4M0100930	Business Cards	NA	100%	\$ 19,402.45	\$ 19,402.45	\$ -	\$ 19,402.45	\$ 19,402.45
<b>LOWER TIER</b>	<b>LOWER TIER</b>								
AMEC (Non-DBE sub)	AMEC								
NVL Laboratories (LT to AMEC)	#D4M5014199	Asbestos Analysis, sampling	12-Dec-2011	100%	\$ 16,255.02	\$ 16,255.02		\$ 16,255.02	\$ 16,029.02
BASF (Non-DBE sub)	BASF								
JP Francis & Associates (LT to BASF)	#M3M0018112			100%	\$ -	\$ -		\$ -	\$ -

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<b>BASF - KTI Logistics (Non-DBE sub)</b>	<b>BASF</b>								
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
<b>FD THOMAS (Non-DBE sub)</b>	<b>FD THOMAS</b>								
Cascade Concrete Products Co., Inc. (LT to FD Thomas)	#D2F4817643	Waterproofing Material Supplier	4-Sep-2013	100%	\$ 819,370.21	\$ 819,370.21		\$ 789,750.05	\$ 473,850.03
<b>Frank Coluccio Construction Company (FCCC) (Non-DBE sub)</b>	<b>FCCC</b>								
CivilTech Engineering (LT to FCCC)	#D4M0018825	Design services	1-Sep-2011	100%	\$ 92,527.50	\$ 92,527.50		\$ 92,527.50	\$ 92,527.50
DBE Electric (LT to FCCC)	#2F1021272	Electrical MOT Ph. 1A.2	3-Dec-2011	100%	\$ 172,944.68	\$ 172,944.68		\$ 172,944.68	\$ 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
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
Transcon (LT to FCCC)	#D4M1022071	Install electrical conduit	12-Jan-2012	100%	\$ 201,995.69	\$ 201,995.69		\$ 201,995.69	\$ 201,995.69
<b>Frank Coluccio Construction Company - FD Thomas (Non-DBE sub)</b>	<b>FCCC - FD Thomas</b>								
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	\$ -
<b>FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)</b>	<b>FPS ENCON PRECAST, LLC</b>								
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
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	23-Jul-2013	100%	\$ 1,674,189.37	\$ 1,674,189.37		\$ 1,674,189.37	\$ 1,674,189.37
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Pick up trailer & insurance monthly payment (PO 1279)	20-Nov-2013	100%	\$ 9,816.08	\$ 9,816.08		\$ 9,816.08	
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
<b>HARRIS REBAR (Non-DBE sub)</b>	<b>HARRIS REBAR</b>								
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	\$ -
<b>HNTB (Non-DBE sub)</b>	<b>HNTB</b>								
3D InFusion (LT to HNTB)	#D4M0018480	CADD Drafting	23-Apr-2012	100%	\$ 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		\$ 122,373.76	\$ 122,373.76
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
Casseday Consulting (LT to HNTB)	#D2F9821042	Traffic & Transportation	29-Jul-2011	100%	\$ 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
CivilTech Engineering (LT to HNTB)	#D4M0018825	Utility & Structural Engineering Services & Staff Augmentation	25-Aug-2011	100%	\$ 771,156.25	\$ 771,156.25		\$ 754,354.87	\$ 754,354.87
Convergent Pacific (LT to HNTB)	#D4M0018854	Structural Engineering	28-Oct-2011	100%	\$ 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
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%	\$ 949,187.50	\$ 949,187.50	\$ 39,196.05	\$ 939,093.58	\$ 939,093.58
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
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
Saez Consulting Engineers Inc. (LT to HNTB)	#M5M0019808	Utility Engineering Services & Structural Engineering	1-May-2011	100%	\$ 379,909.36	\$ 379,909.36		\$ 377,156.13	\$ 373,693.63
Schemata Workshop (LT to HNTB)	#D4F0021115	Architectural Specifications	16-Apr-2012	100%	\$ 182,837.53	\$ 182,837.53		\$ 182,659.93	\$ 182,659.93
Wakerobin (LT to HNTB)	#D2F0019744	Document Control General Mngt. Consulting Svcs.	26-Sep-2011	100%	\$ 77,718.00	\$ 77,718.00		\$ 65,018.00	\$ 65,018.00
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
<b>HNTB - HART CROWSER INC. (Non-DBE sub)</b>	<b>HNTB - HART CROWSER INC.</b>								
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
<b>Holocene Drilling Inc (Non-DBE sub)</b>	<b>HOLOCENE DRILLING</b>								
Yonemitsu Geological Services	#D4M0013447	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	20-Jul-2012	100%	\$ 83,437.56	\$ 83,437.56		\$ 27,916.25	\$ 27,916.25

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<b>HOS BROS. CONSTRUCTION (Non-DBE sub)</b>	<b>HOS BROS</b>								
ProUSA	#D3M0022332	Trucking	23-Nov-2013	100%	\$ 99,985.00	\$ 99,985.00		\$ 99,985.00	\$ -
<b>JH KELLY (Non-DBE sub)</b>	<b>JH KELLY</b>								
Scheduling and Information Services (LT to JH Kelly)	#D2F8218862	Project Controls and Scheduling	8-Apr-2013	43%	\$ 550,000.00	\$ 236,612.50		\$ 197,920.63	\$ 156,357.30
<b>JH KELLY - DESERT MECHANICAL (Non-DBE sub)</b>	<b>JH KELLY - DESERT MECHANICAL</b>								
OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D4M2316494	Underground Piping	1-Oct-2012	8%	\$ 112,640.00	\$ 9,395.00		\$ 8,925.25	\$ 8,925.25
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Tunnel Ventilation Stacks	13-Feb-2013	34%	\$ 546,350.25	\$ 185,026.77		\$ 185,026.77	\$ 185,026.77
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D6F0021571	Fabricating Transition Ductwork of Tunnel	19-Sep-2014	0%	\$ 207,297.74	\$ -			
<b>JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)</b>	<b>JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL</b>								
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1488	#M3M0018112	Mechanical	1-May-2013	70%	\$ 628,176.43	\$ 441,111.36		\$ 419,055.78	\$ 394,291.14
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1533	#M3M0018112	Mechanical	1-Aug-2013	15%	\$ 4,148,128.32	\$ 629,809.80		\$ 511,990.31	\$ 467,090.22
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>	<b>JH KELLY - FISK ELECTRIC</b>								
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	\$ 2,624.72
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0444A	20-Apr-2013	76%	\$ 5,688,963.90	\$ 4,300,009.39	\$ 1,183,940.10	\$ 2,831,299.61	\$ 1,698,779.77
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0572A	10-Jul-2013	62%	\$ 5,021,007.00	\$ 3,104,541.40	\$ 350,354.48	\$ 2,926,486.83	\$ 1,755,892.10
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	\$ 104.79
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	\$ 149.77
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	\$ 28.45
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	\$ 1,656.34
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	\$ 944.36
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #32814		100%	\$ 64,000.00	\$ 64,000.00	\$ 2,103.86	\$ 64,000.00	\$ 38,400.00
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	\$ 365.04
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	\$ 114.98
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	\$ 867.24
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		\$ -	\$ -
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	\$ 21,099.00
<b>JH KELLY - SICE (Non-DBE sub)</b>	<b>JH KELLY - SICE ELECTRIC</b>								
Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	#D1M8522607	Electrical contractor	1-Jan-2014	100%	\$ 3,331.29	\$ 3,331.29	\$ 450.67	\$ 3,331.29	\$ -
<b>MALCOLM (Non-DBE sub)</b>	<b>MALCOM</b>								
1 Alliance Geomatics (LT to Malcolm)	#D4M0022928	Onsite Survey Assistance	5/14/2014	0%	\$ 254,160.00	\$ -		\$ -	\$ -
BC Traffic (LT to Malcolm)	#D4M0011474	Traffic Control	5/12/2014	0%	\$ 367,924.00	\$ -		\$ -	\$ -
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		\$ -	\$ -		\$ -	\$ -
<b>MAYES TESTING ENGINEERS, INC (Non-DBE sub)</b>	<b>MAYES TESTING ENGINEERS, INC</b>								
Pacific Geo Engineering (LT to Mayes)	#D4M9620410	Soil Compaction Testing Services	4-Jan-2013	100%	\$ 27,440.00	\$ 27,440.00		\$ 27,440.00	\$ 27,440.00

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)
<b>NCM (Non-DBE sub)</b>	<b>NCM</b>								
OMA (LT to NCM)	#D4M2316494	Demo, Trucking Secants, Wall Openings and Cradle	25-Mar-2014	100%	\$ 154,702.50	\$ 154,702.50		\$ 154,702.50	
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM)	#M4M0002341	Vac-truck services	26-Jun-2014	100%	\$ 4,468.70	\$ 4,468.70		\$ 4,468.70	\$ 4,468.70
<b>NORTHWEST ASPHALT</b>	<b>NW ASPHALT</b>								
OMA (LT to Northwest Asphalt)	#D4M2316494	Trucking	26-Feb-2014	100%	\$ 57,236.25	\$ 57,236.25		\$ 17,723.44	
ProUSA (LT to Northwest Asphalt)	#D3M0022332	Trucking	24-Feb-2014	100%	\$ 11,756.41	\$ 11,756.41		\$ 11,576.41	
<b>OTTO ROSENAU &amp; ASSOCIATES, INC. (Non-DBE sub)</b>	<b>OTTO ROSENAU &amp; ASSOCIATES, INC.</b>								
AAR Testing Laboratories, Inc. (LT to Otto)	#D2F4708231	Outside Testing & Inspection	25-Oct-2011	100%	\$ 68,602.74	\$ 68,602.74	Closed	\$ 68,602.74	\$ 68,602.74
<b>PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)</b>	<b>PROFESSIONAL SERVICES INDUSTRY (PSI)</b>								
Pacific Geo Engineering (LT to PSI)	#D4M9620410	Concrete testing and laboratory testing	4-Jan-2013	100%	\$ 14,693.00	\$ 18,451.00		\$ 18,451.00	\$ 18,451.00
<b>SOLDATA - KPG (Non-DBE sub)</b>	<b>SOLDATA - KPG</b>								
Saez Consulting Engineers Inc. (LT to KPG, 3rd tier under SolData)	#M5M0019808	Settlement Monitoring	1-Apr-2012	66%	\$ 691,769.75	\$ 459,284.53		\$ 468,712.74	\$ -
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	#D4M2316494	Settlement Point Installations	6-Sep-2012	100%	\$ 103,950.00	\$ 103,950.00	\$ 5,197.50	\$ 103,950.00	\$ 60,280.00
<b>SOLDATA - HART CROWSER (Non-DBE sub)</b>	<b>SOLDATA - HART CROWSER</b>								
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
<b>VECA (Non-DBE sub)</b>	<b>VECA</b>								
Mobile Electrical Distributors Inc. (LT to VECA)	#D2F0017012	Electrical Supply		100%	\$ 9,803.15	\$ 9,803.15	Closed	\$ 9,803.15	\$ 5,881.89
					\$ 85,639,772.37	\$ 69,540,640.79	\$ 4,580,207.28	\$ 66,815,013.56	\$ 45,596,203.17

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. The following have been added: 1 Alliance Geomatics (LT to Malcolm), Advanced Underground Utilities (under STP), and BC Traffic (LT to Malcolm).
- 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 9/30/14
- 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  
 CHRIS DIXON

TITLE: Project Manager

DATE: 10/31/14

Commitments increased as of month ending September 30, 2014

\* First time reported

Name of DBE Subcontractor * (LT = lower tier)	August 2014 Commitment	September 2014 Commitments	Increase
<b>FIRST TIER</b>			
*Advanced Underground Utilities		\$ 285,647.50	\$ 285,647.50
Catherine Bassetti	\$ 22,555.86	\$ 25,035.86	\$ 2,480.00
CivilTech Engineering	\$ 460,058.53	\$ 521,078.53	\$ 61,020.00
DHD Trucking	\$ 1,004,282.50	\$ 1,038,212.50	\$ 33,930.00
EPC Consultants, Inc.	\$ 780,846.00	\$ 838,208.00	\$ 57,362.00
MindSeekers, LLC	\$ 195,016.64	\$ 211,836.08	\$ 16,819.44
OMA Construction Inc.	\$ 15,304,523.89	\$ 16,237,698.79	\$ 933,174.90
Onell Service Group	\$ 547,437.28	\$ 572,456.53	\$ 25,019.25
Osiris Enterprises LLC	\$ 209,854.50	\$ 220,683.50	\$ 10,829.00
Saez Consulting Engineers Inc. (dba SCE, Inc.)	\$ 141,929.15	\$ 167,212.40	\$ 25,283.25
Sundancer Electric Inc.	\$ 3,707,436.42	\$ 3,798,363.84	\$ 90,927.42
<b>LOWER TIER</b>			
<b>HNTB (Non-DBE sub)</b>			
Integrated Design Engineers, LLC (LT to HNTB)	\$ 906,204.38	\$ 949,187.50	\$ 42,983.12
Saez Consulting Engineers Inc. (LT to HNTB)	\$ 374,654.36	\$ 379,909.36	\$ 5,255.00
Wakerobin (LT to HNTB)	\$ 65,558.00	\$ 77,718.00	\$ 12,160.00
<b>Holocene Drilling Inc (Non-DBE sub)</b>			
Yonemitsu Geological Services	\$ 52,650.06	\$ 83,437.56	\$ 30,787.50
<b>JH KELLY - DESERT MECHANICAL (Non-DBE sub)</b>			
*Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)		\$ 207,297.74	\$ 207,297.74
<b>JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)</b>			
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	\$ 607,875.00	\$ 628,176.43	\$ 20,301.43
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	\$ 4,117,572.00	\$ 4,148,128.32	\$ 30,556.32
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>			
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #0444A	\$ 4,010,903.00	\$ 5,688,963.90	\$ 1,678,060.90
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #0572A	\$ 4,900,000.00	\$ 5,021,007.00	\$ 121,007.00
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #0632A	\$ 2,760.06	\$ 2,760.56	\$ 0.50
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #29250	\$ 1,573.96	\$ 1,573.93	\$ (0.03)
*Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #7747		\$ 191.63	\$ 191.63
*Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #31840		\$ 1,445.40	\$ 1,445.40
*Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) #118390		\$ 6,296.25	\$ 6,296.25
<b>MALCOLM (Non-DBE sub)</b>			
* 1 Alliance Geomatics (LT to Malcolm)		\$ 254,160.00	\$ 254,160.00
*BC Traffic (LT to Malcom)		\$ 367,924.00	\$ 367,924.00
<b>SOLDATA - KPG (Non-DBE sub)</b>			
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	\$ 99,000.00	\$ 103,950.00	\$ 4,950.00
			<b>\$ 4,325,869.52</b>

**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 II R = Regular Dealer V = Service Provider	Subcontract Start Date	Subcontract End Date	% of work completed	#43 Invoiced to Date	#43 Commitment	#42 Commitment	#43 - #42 Commitment Change	REMARKS
<b>FIRST TIER</b>										
Advanced Underground Utilities (Added on #43)	NOB Underground Utilities		9/12/2014		0%	\$ -	\$ 285,647.50		\$ 285,647.50	Subcontract (#5015-01) for \$285,647.50 in binder
Catherine Bassetti	Progress photography	V	3/5/2012	Active	100%	\$ 25,035.86	\$ 25,035.86	\$ 22,555.86	\$ 2,480.00	Equals Invoiced to date; Subconsultant Agreement (Not to Exceed \$50,000) in binder
CivilTech Engineering	Design & Consulting	V	7/31/2012	Active	100%	\$ 521,078.53	\$ 521,078.53	\$ 460,058.53	\$ 61,020.00	Equals Invoiced to date totals; CO 040 Total Revised Agreement Amount = \$525,611.02
DHD Trucking	Street Sweeping	S	1/10/2012	Active	100%	\$ 1,038,212.50	\$ 1,038,212.50	\$ 1,004,282.50	\$ 33,930.00	Total of all Purchase Orders, Change Orders, and Contract for street sweeping in STP files = \$1,391,070.69
EPC Consultants, Inc.	Tunnel Quality Assurance	V	7/8/2013		100%	\$ 838,208.00	\$ 838,208.00	\$ 780,846.00	\$ 57,362.00	Equals Invoiced to date total; Unit Price Service Agreements in STP file
MindSeekers, LLC	Temporary Staffing	V	2/27/2013	Active	100%	\$ 211,836.08	\$ 211,836.08	\$ 195,016.64	\$ 16,819.44	Equals Invoiced to date total; CO 001 Total Revised Final Agreement Amount = \$931,260.00
OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	9/25/2012	Active	99%	\$ 16,105,693.39	\$ 16,237,698.79	\$ 15,304,523.89	\$ 933,174.90	CO 008 (Subcontract #3127-01) Total Revised Agreement Amount Not To Exceed = \$16,237,698.79 in binder
Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	2/13/2012	Active	100%	\$ 572,456.53	\$ 572,456.53	\$ 547,437.28	\$ 25,019.25	Total Value Contract and Change Orders in STP files (through #010) = \$761,077.00 (Total Not to Exceed - Unit Price Agreement)
Osiris Enterprises LLC	Janitorial Services	V	1/12/2012	Active	100%	\$ 220,683.50	\$ 220,683.50	\$ 209,854.50	\$ 10,829.00	Equals Invoiced to date total; CO 008 (PO No 2399-DB10) Total Revised Final Agreement Amount = \$408,678.28 in binder
Saez Consulting Engineers Inc. (dba SCE, Inc.)	Utility Monitoring Professional Services	V	8/31/2012	Active	100%	\$ 167,212.40	\$ 167,212.40	\$ 141,929.15	\$ 25,283.25	CO# 006 (Subcontract #3016-01) Total Revised Agreement Amount = \$297,770.00 (for Utility Monitoring Program Coordination of Professional Services)
Sundancer Electric Inc.	Tunnel Electrical	S	1/17/2013	Active	100%	\$ 3,798,363.84	\$ 3,798,363.84	\$ 3,707,436.42	\$ 90,927.42	Equals Invoiced to date total
<b>VENDORS</b>										
<b>LOWER TIER</b>										
<b>HNTB (Non-DBE sub)</b>										
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	1/6/2012	Active	100%	\$ 949,187.50	\$ 949,187.50	\$ 906,204.38	\$ 42,983.12	Equals Invoiced to date total; Supplement No. 3 Revised Budget = \$958,854.00
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	5/1/2011	Active	100%	\$ 379,909.36	\$ 379,909.36	\$ 374,654.36	\$ 5,255.00	Equals Invoiced to date total; Supplement No. 13 Revised Budget = \$387,538
Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	9/26/2011	1/14/2013	100%	\$ 77,718.00	\$ 77,718.00	\$ 65,558.00	\$ 12,160.00	Supplemental Agreement No. 1, dated 7/1/2014, Not to Exceed Amount = \$87,200.00
<b>Holocene Drilling Inc (Non-DBE sub)</b>										
Yonemitsu Geological Services	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	V	7/20/2012	Active	100%	\$ 83,437.56	\$ 83,437.56	\$ 52,650.06	\$ 30,787.50	Subcontract Agreement (v. 1.3, CO #003) Total Subcontract (Not to Exceed) = \$150,000.00
<b>JH KELLY - DESERT MECHANICAL (Non-DBE sub)</b>										
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly) (Added on #43)	Fabricating Transition Ductwork of Tunnel	M	2/19/2014		0%	\$ -	\$ 207,297.74	\$ -	\$ 207,297.74	Purchase Order (15615800-116168-OJ) Total including Tax & Freight = \$207,297.74
<b>JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)</b>										
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical (Agreement #1 - 2454-14885)	S	5/1/2013	4/1/2015	70%	\$ 441,111.36	\$ 628,176.43	\$ 607,875.00	\$ 20,301.43	CO 004 (Subcontract #1488) New Total Subcontract Amount = \$628,176.43
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical (Agreement #2 - 2783-1533)	S	8/1/2013	4/1/2015	15%	\$ 629,809.80	\$ 4,148,128.32	\$ 4,117,572.00	\$ 30,556.32	CO 005 (Subcontract #1533) New Total Subcontract Amount = \$4,148,128.32
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>										
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R			76%	\$ 4,300,009.39	\$ 5,688,963.90	\$ 4,010,903.00	\$ 1,678,060.90	Total value of Purchase Order (including Change Orders) in STP file = \$5,688,963.90
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	7/10/2013		62%	\$ 3,104,541.40	\$ 5,021,007.00	\$ 4,900,000.00	\$ 121,007.00	Total value of Purchase Order (PO801006-0572A) and Change Orders (thru #3) in STP file = \$5,021,007.00
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #0632A	R	4/1/2013		100%	\$ 2,760.56	\$ 2,760.56	\$ 2,760.06	\$ 0.50	Per STP accounting, there was a typo on #42, correct total is on #43 (\$2,760.56)
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #29250	R	10/1/2013		100%	\$ 1,573.93	\$ 1,573.93	\$ 1,573.96	\$ (0.03)	Per STP accounting, there was a typo on #42, correct total is on #43 (\$1,573.93)
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #7747	R			100%	\$ 191.63	\$ 191.63		\$ 191.63	Total value of Purchase Order (PO801006-7747) in STP file = \$191.63
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #31840	R			100%	\$ 1,445.40	\$ 1,445.40		\$ 1,445.40	Total value of Purchase Order (PO801006-31840) in STP file = \$1,445.40
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #118390	R			100%	\$ 6,296.25	\$ 6,296.25		\$ 6,296.25	Total value of Purchase Order (PO801006-118390) in STP file = \$6,296.25
<b>MALCOLM (Non-DBE sub)</b>										
1 Alliance Geomatics (LT to Malcolm) (Added on #43)	Onsite Survey Assistance		5/14/2014		0%	\$ -	\$ 254,160.00		\$ 254,160.00	Subcontract Agreement (No. 2) - Agreement Estimated Total = \$254,160.00
BC Traffic (LT to Malcolm) (Added on #43)	Traffic Control		5/12/2014		0%	\$ -	\$ 367,924.00		\$ 367,924.00	Subcontract Agreement (No. 4) - Agreement Estimated Total = \$367,924.00
<b>SOLDATA - KPG (Non-DBE sub)</b>										
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	Settlement Point Installations	S	9/6/2012	Active	100%	\$ 103,950.00	\$ 103,950.00	\$ 99,000.00	\$ 4,950.00	Equals Invoiced to date total; Supplement No. 1 (Unit Price Agreement) Actual Budget = \$103,950.00
						<b>\$ 69,540,640.79</b>	<b>\$ 85,639,772.37</b>	<b>\$ 81,313,902.85</b>	<b>\$ 4,325,869.52</b>	

**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	#43 Invoiced to Date	#42 Invoiced to Date	#43 - #42 Invoiced For Sept	Invoiced for Sept 2014	Verified work done prior to Invoice Date	REMARKS
<b>FIRST TIER</b>												
1	Catherine Bassetti	Progress photography	V	3/5/2012	Active	100%	\$ 25,035.86	\$ 22,555.86	\$ 2,480.00	Inv #179	Yes	Invoice in binder
2	CivilTech Engineering	Design & Consulting	V	7/31/2012	Active	100%	\$ 521,078.53	\$ 460,058.53	\$ 61,020.00	Inv #'s 43137, 43165, 43166	Yes	Invoices in binder
3	DHD Trucking	Street Sweeping	S	1/10/2012	Active	100%	\$ 1,038,212.50	\$ 1,004,282.50	\$ 33,930.00	Inv #'s 485, 493, 494, 499, 504	Yes	Invoices in binder
4	EPC Consultants, Inc.	Tunnel Quality Assurance	V	7/8/2013		100%	\$ 838,208.00	\$ 780,846.00	\$ 57,362.00	Inv #5TP7999-016	Yes	Invoice in binder
5	Greylock Consulting LLC	Environmental Consulting Services	V	10/1/2011	Active	100%	\$ 267,824.82	\$ 267,192.32	\$ 632.50	Inv #'s 707, 715	Yes	Invoices in binder
6	J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	V	4/30/2014	Active	129%	\$ 40,221.20	\$ 31,271.20	\$ 8,950.00	Inv #JK111762	Yes	Invoice in binder
7	MindSeekers, LLC	Temporary Staffing	V	2/27/2013	Active	100%	\$ 211,836.08	\$ 195,016.64	\$ 16,819.44	Inv #'s 032937, 032939, 032938, 032944, 032943, 032945, 032950, 032949, 032951, 032956, 032957, 032955, 032962, 032961, 032963, 032964	Yes	Invoices in binder
8	OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	9/25/2012	Active	99%	\$ 16,105,693.39	\$ 14,388,884.53	\$ 1,716,808.86	Inv #s - Numerous		All Invoices in binder except for Inv #202828 in STP files
9	Oneill Service Group	Environmental inspection & compliance, stormwater, scientist/documentation services	V	2/13/2012	Active	100%	\$ 572,456.53	\$ 547,437.28	\$ 25,019.25	Inv # 2384, 1407337, 1408170	Yes	Invoices in binder
10	Osiris Enterprises LLC	Janitorial Services	V	1/12/2012	Active	100%	\$ 220,683.50	\$ 209,854.50	\$ 10,829.00	Inv # 02029	Yes	Invoice in binder
11	PRR, Inc.	Subconsultant - Public Information	V	2/22/2011	Active	85%	\$ 665,900.77	\$ 638,788.77	\$ 27,112.00	Inv # 3656-42	Yes	Invoice in binder
12	Saez Consulting Engineers Inc. (dba SCE, Inc.)	Utility Monitoring Professional Services	V	8/31/2012	Active	100%	\$ 167,212.40	\$ 141,929.15	\$ 25,283.25	Inv # 881, 916, 930, 1016, 1029, 1044	Yes	Invoices in binder
13	Savage Logistics, LLC	Freight	V	3/28/2013	Active	106%	\$ 587,848.50	\$ 555,363.00	\$ 32,485.50	Inv #'s 39, 40, 41	Yes	Invoices in binder
14	Steelkorr	Furnish and install all structural steel	S	10/31/2013	Active	32%	\$ 2,454,530.43	\$ 1,811,776.49	\$ 642,753.94	Inv # 7	Yes	Invoice in binder
15	Sundancer Electric Inc.	Tunnel Electrical	S	1/17/2013	Active	100%	\$ 3,798,363.84	\$ 3,707,436.42	\$ 90,927.42	Inv # 83, 84, 83, 85		Invoices #83 - 85 in binder; copy of Inv #82 in STP files
16	Transcon Company LLC	Underground Electrical Duct Bank Work	S	12/12/2013	Active	100%	\$ 2,302,776.64	\$ 2,247,845.35	\$ 54,931.29	Inv # 8 in book	Yes	Invoice in binder
<b>LOWER TIER</b>												
<b>HNTB (Non-DBE sub)</b>												
17	Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	1/6/2012	Active	100%	\$ 949,187.50	\$ 906,204.38	\$ 42,983.12	Inv #6665R	Yes	Total of Invoices in binder (\$41,259.00) does not match increase in Invoiced to Date from #43 (\$949,187.50) to #42 (\$906,204.38) = \$42,983.12; variance = \$1,724.12; Per STP accounting, total reported on #43 (\$949,187.50) is correct total after full reconcile of invoices
18	Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	5/1/2011	Active	100%	\$ 379,909.36	\$ 374,654.36	\$ 5,255.00	Inv #'s 984, 1049	Yes	Invoices in binder
19	Wakerobin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	V	9/26/2011	1/14/2013	100%	\$ 77,718.00	\$ 65,558.00	\$ 12,160.00	Inv #'s 1408a, 1408b	Yes	Invoices in binder
<b>Holocene Drilling Inc (Non-DBE sub)</b>												
20	Yonemitsu Geological Services	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	V	7/20/2012	Active	100%	\$ 83,437.56	\$ 52,650.06	\$ 30,787.50	Inv #14-1924 Inv 2	Yes	Invoice in binder
<b>JH KELLY (Non-DBE sub)</b>												
21	Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	4/8/2013	12/29/2015	43%	\$ 236,612.50	\$ 212,037.50	\$ 24,575.00	Inv #'s 415140, 414830	Yes	Invoices in binder
<b>JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)</b>												
22	JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical (Agreement #2 - 2783-1533)	S	8/1/2013	4/1/2015	15%	\$ 629,809.80	\$ 538,937.16	\$ 90,872.64	Inv #'s 2013-14-12, 2013-14-13	Yes	Invoices in binder
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>												
23	Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R			76%	\$ 4,300,009.39	\$ 3,357,915.10	\$ 942,094.29	Inv #'s 54375, 54376, 54486, 55226, 55299, 55244, 55475, 55476, 55624	Yes	Total of Invoices in binder (\$915,109.78) does not match increase in Invoiced to Date from #43 (4,300,009.39) to #42 (\$3,357,915.10) = \$942,094.29; variance = \$26,984.51; Per STP accounting, variance is due to Inv #181 (Credit of \$26,984.51) being moved to PO #0572A after full reconcile of invoices

**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	#43	#42	#43 - #42	Invoiced for Sept 2014	Verified work done prior to Invoice Date	REMARKS
						Invoiced to Date	Invoiced to Date	Invoiced For Sept			
24 Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	7/10/2013		62%	\$ 3,104,541.40	\$ 2,468,076.02	\$ 636,465.38	Inv #'s 55450, 55581	Yes	Total of Invoices in binder (\$178,144.57) does not match increase in Invoiced to Date from #43 (3,104,541.40) to #42 (\$2,468,076.02) = \$636,465.38; variance = \$431,336.30; Per STP accounting, total reported on #43 (\$3,104,541.40) is correct total after full reconcile of invoices
25 Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #0632A	R	4/1/2013		100%	\$ 2,760.56	\$ 2,760.06	\$ 0.50			Per STP accounting, there was a typo on #42, correct total is on #43 (\$2,760.56)
26 Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #7747	R			100%	\$ 191.63		\$ 191.63	Inv #47522	Yes	Invoice in binder
27 Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #31840	R			100%	\$ 1,445.40		\$ 1,445.40	Inv #49328	Yes	Invoice in binder
28 Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #118390	R			100%	\$ 6,296.25		\$ 6,296.25	Inv # 55626	Yes	Invoice in binder
SOLDATA - KPG (Non-DBE sub)											
29 OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	Settlement Point Installations	S	9/6/2012	Active	100%	\$ 103,950.00	\$ 95,700.00	\$ 8,250.00	Inv #6	Yes	Invoice in binder
						<b>\$ 69,540,640.79</b>	<b>\$ 64,931,919.63</b>	<b>\$ 4,608,721.16</b>			
						\$ 69,540,640.79	\$ 64,931,919.63	\$ 4,608,721.16			
						\$ -	\$ -	\$ -			
						\$ 69,540,640.79	\$ 64,931,919.63	\$ 4,608,721.16			
						\$ (64,931,919.63)	\$ 4,608,721.16	\$ 69,540,640.79			
						\$ 4,608,721.16	\$ 69,540,640.79	\$ (69,540,640.79)			
						\$ (4,608,721.16)	\$ (69,540,640.79)	\$ -	variance		

**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	#43 Commitment	#43 Invoiced to Date	#43 Total Payments this Report (Sept)	#43 Total Payments to Date	#42 Total Payments to Date	Compare Total Pymts to Date (#43 - #42)	Variance	REMARKS
<b>FIRST TIER</b>													
Catherine Bassetti	Progress photography	V	3/5/2012	Active	100%	\$ 25,035.86	\$ 25,035.86	\$ 2,480.00	\$ 25,035.86	\$ 22,555.86	\$ 2,480.00	\$ -	Check # 8461 in binder
CivilTech Engineering	Design & Consulting	V	7/31/2012	Active	100%	\$ 521,078.53	\$ 521,078.53	\$ 32,665.00	\$ 492,723.53	\$ 460,058.53	\$ 32,665.00	\$ -	Check # 8308 in binder
DHD Trucking	Street Sweeping	S	1/10/2012	Active	100%	\$ 1,038,212.50	\$ 1,038,212.50	\$ 43,920.00	\$ 1,028,852.50	\$ 944,612.50	\$ 84,240.00	\$ (40,320.00)	Check #'s 7957, 8020, 8102, 8147, 8543, 8242, 8372, 8459 in binder
EPC Consultants, Inc.	Tunnel Quality Assurance	V	7/8/2013		100%	\$ 838,208.00	\$ 838,208.00	\$ 57,362.00	\$ 780,846.00	\$ 723,484.00	\$ 57,362.00	\$ -	Check # 8248 in binder
Greylock Consulting LLC	Environmental Consulting Services	V	10/1/2011	Active	100%	\$ 266,876.07	\$ 267,824.82	\$ 361.25	\$ 267,553.57	\$ 267,192.32	\$ 361.25	\$ -	Check # 8371 in binder
J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	V	4/30/2014	Active	129%	\$ 31,271.20	\$ 40,221.20	\$ 8,950.00	\$ 40,221.20	\$ 31,271.20	\$ 8,950.00	\$ -	Check #8469 in binder
Marshbank	King Street - Sewer Relocation	S	8/7/2012	Active	96%	\$ 1,339,049.47	\$ 1,279,562.53	\$ 115,398.23	\$ 1,215,584.39	\$ 1,100,186.16	\$ 115,398.23	\$ -	Check # 8304 in binder
MindSeekers, LLC	Temporary Staffing	V	2/27/2013	Active	100%	\$ 211,836.08	\$ 211,836.08	\$ 15,582.50	\$ 200,794.64	\$ 185,212.14	\$ 15,582.50	\$ -	Check #'s 8233, 8387, 8277, 8407 in binder
Oatridge Security Group Inc	Security Guard Services	V	10/10/2011	Active	100%	\$ 3,542,102.00	\$ 3,542,102.00	\$ 120,343.00	\$ 3,542,102.00	\$ 3,421,759.00	\$ 120,343.00	\$ -	Check # 8370 in binder
OMA Construction Inc.	North & South Portal Hauling; Trucking hourly	V	9/25/2012	Active	99%	\$ 16,237,698.79	\$ 16,105,693.39	\$ 1,455,185.99	\$ 15,867,410.39	\$ 14,388,884.53	\$ 1,478,525.86	\$ (23,339.87)	Check #'s 8350, 7701 in binder
Osiris Enterprises LLC	Janitorial Services	V	1/12/2012	Active	100%	\$ 220,683.50	\$ 220,683.50	\$ 10,829.00	\$ 209,854.50	\$ 199,025.50	\$ 10,829.00	\$ -	Check # 8425 in binder
PRR, Inc.	Subconsultant - Public Information	V	2/22/2011	Active	85%	\$ 779,490.00	\$ 665,900.77	\$ 13,556.00	\$ 652,344.77	\$ 638,788.77	\$ 13,556.00	\$ -	Check #8241 in binder
Saez Consulting Engineers Inc. (dba SCE, Inc.)	Utility Monitoring Professional Services	V	8/31/2012	Active	100%	\$ 167,212.40	\$ 167,212.40	\$ 25,283.30	\$ 167,212.40	\$ 141,929.15	\$ 25,283.25	\$ 0.05	Check # 8375 in binder
Savage Logistics, LLC	Freight	V	3/28/2013	Active	106%	\$ 555,363.00	\$ 587,848.50	\$ 22,480.50	\$ 577,843.50	\$ 555,363.00	\$ 22,480.50	\$ -	Check #'s 8250, 8464 in binder
ST Fabrication/ Jabez	T-46 Crane Maintenance Facility	S	6/5/2012	2/28/2014	100%	\$ 1,858,973.12	\$ 1,858,973.12	\$ 47,801.31	\$ 1,848,973.12	\$ 1,801,171.81	\$ 47,801.31	\$ (0.00)	Check # 8248 in binder
ST Fabrication/ Jabez	T-46 Reefer Racks	S	5/30/2012		100%	\$ 1,949,279.54	\$ 1,946,410.88	\$ 9,384.80	\$ 1,946,410.88	\$ 1,937,026.08	\$ 9,384.80	\$ 0.00	Check # 8243 in binder
Steelkorr	Furnish and install all structural steel	S	10/31/2013	Active	32%	\$ 7,639,052.00	\$ 2,454,530.43	\$ 610,616.25	\$ 2,331,803.92	\$ 1,721,187.67	\$ 610,616.25	\$ -	Check # 8466 in binder
Sundancer Electric Inc.	Tunnel Electrical	S	1/17/2013	Active	100%	\$ 3,798,363.84	\$ 3,798,363.84	\$ 64,385.90	\$ 3,757,740.89	\$ 3,693,354.80	\$ 64,386.09	\$ (0.19)	Check #'s 82499, 8376, 8462 in binder
Transcon Company LLC	Underground Electrical Duct Bank Work	S	12/12/2013	Active	100%	\$ 2,312,336.49	\$ 2,302,776.64	\$ 54,931.29	\$ 2,302,776.64	\$ 2,247,845.35	\$ 54,931.29	\$ -	Check # 8247 in binder
Washington State Trucking (Added on #42)	Haul and dispose of 130 tunnel segments	S	8/12/2014		16%	\$ 184,470.00	\$ 30,000.10	\$ 30,000.10	\$ 30,000.10	\$ 30,000.10	\$ -	\$ 30,000.10	Check # 8130 (in binder #42); (Note: This payment was reported on DBE Report #42.)
<b>VENDORS</b>													
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMAs	R	NA	Active	100%	\$ 230,806.79	\$ 230,806.79	\$ 832.20	\$ 230,806.79	\$ 229,974.59	\$ 832.20	\$ (0.00)	Check #'s 8256, 8331
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		86%	\$ 2,325,362.11	\$ 2,010,682.99	\$ 34,900.00	\$ 2,010,682.99	\$ 1,975,782.99	\$ 34,900.00	\$ -	Check # 8229 in binder
Wayron	Fabrication	M	1/9/2012	Active	100%	\$ 2,579,919.86	\$ 2,579,919.86	\$ 221,716.00	\$ 2,579,919.86	\$ 2,358,204.25	\$ 221,715.61	\$ 0.39	Check # 8313 in binder
<b>LOWER TIER</b>													
<b>HNTB (Non-DBE sub)</b>													
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	1/6/2012	Active	100%	\$ 949,187.50	\$ 949,187.50	\$ 39,196.05	\$ 939,093.58	\$ 899,897.53	\$ 39,196.05	\$ 0.00	Check # 352336 in binder
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	5/1/2011	Active	100%	\$ 379,909.36	\$ 379,909.36	\$ -	\$ 377,156.13	\$ 374,596.13	\$ 2,560.00	\$ (2,560.00)	Check # 349622 in binder
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>													
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R			76%	\$ 5,688,963.90	\$ 4,300,009.39	\$ 1,183,940.10	\$ 2,831,299.61	\$ 1,620,375.00	\$ 1,210,924.61	\$ (26,984.51)	Check #'s 29811, 30139, 30496, 30756 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	7/10/2013		62%	\$ 5,021,007.00	\$ 3,104,541.40	\$ 350,354.48	\$ 2,926,486.83	\$ 2,369,547.21	\$ 556,939.62	\$ (206,585.14)	Check #'s 29811, 30496 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #0632A	R	4/1/2013		100%	\$ 2,760.56	\$ 2,760.56	\$ -	\$ 2,760.56	\$ 2,760.06	\$ 0.50	\$ (0.50)	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (added on #41)	Electrical Supply #32814	R			100%	\$ 64,000.00	\$ 64,000.00	\$ 2,103.86	\$ 64,000.00	\$ 61,896.14	\$ 2,103.86	\$ -	Check # 29811 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #45436	R	1/13/2014	2/13/2014	100%	\$ 608.40	\$ 608.40	\$ -	\$ 608.40	\$ -	\$ 608.40	\$ (608.40)	Check # 23903 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #7747	R			100%	\$ 191.63	\$ 191.63	\$ -	\$ 191.63	\$ -	\$ 191.63	\$ (191.63)	Check # 18046 in binder
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #31840	R			100%	\$ 1,445.40	\$ 1,445.40	\$ -	\$ 1,445.40	\$ -	\$ 1,445.40	\$ (1,445.40)	Check # 17460 in binder
<b>JH KELLY - SICE (Non-DBE sub)</b>													
Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	Electrical contractor	S	1/1/2014	1/1/2014	100%	\$ 3,331.29	\$ 3,331.29	\$ 450.67	\$ 3,331.29	\$ 2,880.62	\$ 450.67	\$ -	American Express receipt (Trans. ID: PD0004743913) in binder
<b>SOLDATA - KPG (Non-DBE sub)</b>													
OMA Construction Inc. (LT to KPG, 3rd tier under SolData)	Settlement Point Installations	S	9/6/2012	Active	100%	\$ 103,950.00	\$ 103,950.00	\$ 5,197.50	\$ 103,950.00	\$ 95,700.00	\$ 8,250.00	\$ (3,052.50)	Check # 3715 in binder
						<b>\$ 85,639,772.37</b>	<b>\$ 69,540,640.79</b>	<b>\$ 4,580,207.28</b>	<b>\$ 66,815,013.56</b>	<b>\$ 61,959,718.68</b>	<b>\$ 4,855,294.88</b>	<b>\$ (275,087.60)</b>	

**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	#43	#43	#43 Total	#43 Total	#43 DBE Amount	#42 DBE Amount	#43 - #42 DBE	(X)K	REMARKS
						Commitment	Invoiced to Date	Payments this Report (Sept)	Payments to Date	(as Amended)	(as Amended)	Amount (as Amended)	Pymt to Date <=#43 DBE Amt	
<b>FIRST TIER</b>														
Catherine Bassetti	Progress photography	V	3/5/2012	Active	100%	\$ 25,035.86	\$ 25,035.86	\$ 2,480.00	\$ 25,035.86	\$ 24,444.36	\$ 21,964.36	\$ 2,480.00	Yes	
CivilTech Engineering	Design & Consulting	V	7/31/2012	Active	100%	\$ 521,078.53	\$ 521,078.53	\$ 32,665.00	\$ 492,723.53	\$ 492,723.53	\$ 460,058.53	\$ 32,665.00	Yes	
DHD Trucking	Street Sweeping	S	1/10/2012	Active	100%	\$ 1,038,212.50	\$ 1,038,212.50	\$ 43,920.00	\$ 1,028,852.50	\$ 1,028,852.50	\$ 944,612.50	\$ 84,240.00	Yes	
EPC Consultants, Inc.	Tunnel Quality Assurance	V	7/8/2013	Active	100%	\$ 838,208.00	\$ 838,208.00	\$ 57,362.00	\$ 780,846.00	\$ 745,706.00	\$ 688,344.00	\$ 57,362.00	Yes	
Greylock Consulting LLC	Environmental Consulting Services	V	10/1/2011	Active	100%	\$ 266,876.07	\$ 267,824.82	\$ 361.25	\$ 267,553.57	\$ 142,473.22	\$ 142,287.97	\$ 185.25	Yes	
MindSeekers, LLC	Temporary Staffing	V	2/27/2013	Active	100%	\$ 211,836.08	\$ 211,836.08	\$ 15,582.50	\$ 200,794.64	\$ 200,794.64	\$ 185,212.14	\$ 15,582.50	Yes	
Oatridge Security Group Inc	Security Guard Services	V	10/10/2011	Active	100%	\$ 3,542,102.00	\$ 3,542,102.00	\$ 120,343.00	\$ 3,542,102.00	\$ 3,528,608.00	\$ 3,408,265.00	\$ 120,343.00	Yes	
Osiris Enterprises LLC	Janitorial Services	V	1/12/2012	Active	100%	\$ 220,683.50	\$ 220,683.50	\$ 10,829.00	\$ 209,854.50	\$ 113,783.96	\$ 99,523.96	\$ 14,260.00	Yes	
Rose Super Clean and Park Management (LT to Osiris)	Janitorial Services	V	4/6/2012	Active	100%					\$ 91,197.54	\$ 86,324.54	\$ 4,873.00	Yes	
PRR, Inc.	Subconsultant - Public Information	V	2/22/2011	Active	85%	\$ 779,490.00	\$ 665,900.77	\$ 13,556.00	\$ 652,344.77	\$ 646,532.84	\$ 632,976.84	\$ 13,556.00	Yes	
Saez Consulting Engineers Inc. (dba SCE, Inc.)	Utility Monitoring Professional Services	V	8/31/2012	Active	100%	\$ 167,212.40	\$ 167,212.40	\$ 25,283.30	\$ 167,212.40	\$ 167,212.40	\$ 141,929.15	\$ 25,283.25	Yes	
Savage Logistics, LLC	Freight	V	3/28/2013	Active	106%	\$ 555,363.00	\$ 587,848.50	\$ 22,480.50	\$ 577,843.50	\$ 577,843.50	\$ 555,363.00	\$ 22,480.50	Yes	
Transcon Company LLC	Underground Electrical Duct Bank Work	S	12/12/2013	Active	100%	\$ 2,312,336.49	\$ 2,302,776.64	\$ 54,931.29	\$ 2,302,776.64	\$ 2,006,706.13	\$ 1,951,774.84	\$ 54,931.29	Yes	
<b>VENDORS</b>														
Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMA's	R	NA	Active	100%	\$ 230,806.79	\$ 230,806.79	\$ 832.20	\$ 230,806.79	\$ 138,484.07	\$ 137,984.75	\$ 499.32	Yes	
ST Fabrication/ Jabez	Fabrication & Supply	M & R	NA		85%	\$ 2,325,362.11	\$ 2,010,682.99	\$ 34,900.00	\$ 2,010,682.99	\$ 1,228,697.79	\$ 1,185,469.79	\$ 43,228.00	Yes	
Wayron	Fabrication	M	1/9/2012	Active	100%	\$ 2,579,919.86	\$ 2,579,919.86	\$ 221,716.00	\$ 2,579,919.86	\$ 2,578,369.86	\$ 2,356,654.25	\$ 221,715.61	Yes	
<b>LOWER TIER</b>														
<b>HNTB (Non-DBE sub)</b>														
Integrated Design Engineers, LLC (LT to HNTB)	Structural & Civil Engineering	V	1/6/2012	Active	100%	\$ 949,187.50	\$ 949,187.50	\$ 39,196.05	\$ 939,093.58	\$ 939,093.58	\$ 899,897.53	\$ 39,196.05	Yes	
Saez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	5/1/2011	Active	100%	\$ 379,909.36	\$ 379,909.36		\$ 377,156.13	\$ 373,693.63	\$ 371,133.63	\$ 2,560.00	Yes	
<b>JH KELLY (Non-DBE sub)</b>														
Scheduling and Information Services (LT to JH Kelly)	Project Controls and Scheduling	V	4/8/2013	12/29/2015	43%	\$ 550,000.00	\$ 236,612.50		\$ 197,920.63	\$ 156,357.30	\$ 151,869.38	\$ 4,487.92	Yes	
<b>JH KELLY - FISK ELECTRIC (Non-DBE sub)</b>														
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0444A	R			76%	\$ 5,688,963.90	\$ 4,300,009.39	\$ 1,183,940.10	\$ 2,831,299.61	\$ 1,698,779.77	\$ 440,625.31	\$ 1,258,154.46	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	Electrical Supply #0572A	R	7/10/2013		62%	\$ 5,021,007.00	\$ 3,104,541.40	\$ 350,354.48	\$ 2,926,486.83	\$ 1,755,892.10	\$ 973,411.55	\$ 782,480.55	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #0632A	R	4/1/2013		100%	\$ 2,760.56	\$ 2,760.56	\$ -	\$ 2,760.56	\$ 1,656.34	\$ 1,656.04	\$ 0.30	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (added on #41)	Electrical Supply #32814	R			100%	\$ 64,000.00	\$ 64,000.00	\$ 2,103.86	\$ 64,000.00	\$ 38,400.00	\$ -	\$ 38,400.00	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) added	Electrical Supply #45436	R	1/13/2014	2/13/2014	100%	\$ 608.40	\$ 608.40	\$ -	\$ 608.40	\$ 365.04	\$ -	\$ 365.04	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #7747	R			100%	\$ 191.63	\$ 191.63	\$ -	\$ 191.63	\$ 114.98	\$ -	\$ 114.98	Yes	
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly) (Added on #43)	Electrical Supply #31840	R			100%	\$ 1,445.40	\$ 1,445.40	\$ -	\$ 1,445.40	\$ 867.24	\$ -	\$ 867.24	Yes	
						\$ 85,639,772.37	\$ 69,540,640.79	\$ 4,580,207.28	\$ 66,815,013.56	\$ 45,596,203.17	\$ 42,755,891.92	\$ 2,840,311.25		



**EXHIBIT B: SR 99 Bored Tunnel,  
STP DBE Quarterly Action Plan  
11/5/2014**

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

November 5, 2014

Serial Letter WSD-0663  
S-G-GEN-GEN-CR08-00654-01

Washington State Department of Transportation  
Alaskan Way Viaduct  
999 Third Avenue, Suite 2424  
Seattle, WA 98104  
Attn: Matt Preedy

RE: SR 99 Bored Tunnel Alternative Design-Build Project  
Contract No. 007999 / Federal-Aid No. BR-NH-STP-STPF-0099(111)  
DBE Quarterly Action Plan

Dear Mr. Preedy;

The Quarterly Action Plan is broken down into two sections: the first section provides a current status of work performed, contracted, or awarded to DBE firms and the second section outlines future opportunities to bid and change order opportunities that may be made available to DBE firms.

Table 1 below highlights the first section of the Quarterly Action Plan listing the current value of all commitments awarded to DBE firms. The below chart is not intended to be a statement of values STP is claiming towards the DBE goal. Instead, the below chart is a means of communicating STP's progress towards achieving the Federal DBE goal of \$91,176,000 and \$96,000,000 DBE Contractual Requirement by Change Order 91.

Table 1.

Item	Description	\$ Amount
1	Commitments from Report No. 43 (period ending 9/30/14)	\$ 85,639,772.37
2	Contracted Amounts not included in commitments; this is the difference between contracted amounts for NTE & T&M agreements and the amount of work invoiced to date (period ending 9/30/14).	\$ 7,433,599
3	Executed after Report No. 43 (as of 10/31/14)	\$ 2,626,063.31
4	DBE Agreements Pending Execution (as of 10/31/14)	\$ 1,516,551.41
	<b>Total</b>	<b>\$ 97,215,986.56</b>



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

Item 1, commitments are detailed in DBE Monthly Report No. 43 and executed contracts are validated by WSDOT.

Item 2, contracted amounts not included in commitments, is the difference between the total amount contracted for Not to Exceed (NTE) and Time and Material (T&M) agreements and the amount of work invoiced to date. STP only reports the amount of work invoiced to date as the commitment amount for NTE and T&M agreements. The amounts awarded under NTE and T&M agreements are based on estimated values and quantities at the time of award. STP acknowledges that not all NTE and/or T&M values may be fully utilized due to changes in means and methods or adverse schedule adjustment that may alter estimates to original values but it is STP's intent to utilize all DBE firms to the full value of their subcontract agreements. In addition, changes to means and methods or adjustments to schedule have increased NTE and T&M estimates and DBE firms have been issued change orders that have significantly exceeded their original estimated subcontract amounts.

Item 3, DBE Agreement Executed after October 1, 2014, represents new agreements & change orders to existing DBE subcontractors that will be added to the "Commitment" column on the Monthly DBE Participation Report in the following month's report.

Item 4, DBE Agreements Pending Execution (as of 10/31/14), summarizes work that has been awarded to DBE firms and is in the process being executed.

As described in Table 1, STP currently has agreement executed or pending in the amount of \$97,215,986.56. STP realizes that commitments to DBEs may not equate to actual DBE participation claimed towards the goal unless the contract and commitments are performed in accordance with contract and federal DBE regulations. The award of commitments to DBE firms is an important first step to achieving the DBE participation goal. Therefore, STP will continue to maximize opportunities for DBEs participate on the Project and increase commitments as a result of future awards to DBE firms. In addition, STP will continue to monitor commercial useful function and work with WSDOT OEO and AWW to verify participation & commitments that STP reports.

An additional area STP anticipates increased DBE participation is through change orders to existing agreements for work already under contract. This includes service contracts that will be continued and unanticipated changes that require change orders and will be needed to complete the work. A current estimate of the value of the future change orders to existing agreements based on continuing service contracts is approximately \$2,400,000. Due to the nature of unanticipated changes, STP has not included an amount for this value.

The next section of this revised action plan is a list of future opportunities to be bid by DBEs and non-DBEs that may result in additional DBE participation. Table 2 attached, is a snapshot of future bidding



Seattle Tunnel Partners  
999 Third Avenue, Suite 2424  
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WSDOT Contract No. 007999  
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Phone: 206-971-8701 Fax: 206-971-8702

opportunities estimated to be \$16,980,000. The future bidding opportunities are only the opportunities of what STP can quantify today and will be updated with each Quarterly Action Plan. The values listed in Table 2 are estimates of the future subcontracting opportunities for both DBE & Non-DBE. Table 2 also provides a graphic depiction of when the work is anticipated to be performed.

As part of STP contracting process STP flows down the DBE Goal in its contracts. STP lower tier contractors have identified \$7,300,067 in anticipated lower tier DBE opportunities which are based on work scopes that lower tier firms have identified and carved out at this time. STP is continuing to work with all of our lower tiers on identifying additional opportunities for DBE firms which will increase lower tier opportunities.

STP remains on target to meet the Federal DBE goal of \$91,176,000 and \$96,000,000 DBE Contractual Requirement as demonstrated by the \$97,215,986.56 work performed, contracted, or awarded to DBE firms outlined in Table 1, \$2,400,000 in anticipated change orders to existing DBE contracts, \$16,980,000 of future bidding opportunities that DBE firms will be invited to bid outlined in Table 2, and \$7,300,067 of anticipated lower tier opportunities. The actual amount of DBE attainment will depend upon a variety of factors which include, but not limited to, performance in accordance with the contract plans and specifications, performance in accordance with federal laws and regulations and verification by WSDOT.

Please contact STP Commercial Manager at 206-971-8249 or [rstreadbeck@stp-iv.com](mailto:rstreadbeck@stp-iv.com) with questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "Chris Dixon".

Chris Dixon  
Project Manager  
Seattle Tunnel Partners

CC: Correspondence File

Attachment: Table 2. Future Opportunities  
Aconex: Hauser, Streadbeck, Alonso, Lopez

Table 2. Future Opportunities

STP Description	Estimated	RFP Date	Anticipated Schedule of Work														
			1 <sup>st</sup> Qtr 2014	1 <sup>st</sup> Qtr 2015	2 <sup>nd</sup> Qtr 2015	3 <sup>rd</sup> Qtr 2015	4 <sup>th</sup> Qtr 2015	1 <sup>st</sup> Qtr 2016	2 <sup>nd</sup> Qtr 2016	3 <sup>rd</sup> Qtr 2016	4 <sup>th</sup> Qtr 2016	1 <sup>st</sup> Qtr 2017	2 <sup>nd</sup> Qtr 2017	3 <sup>rd</sup> Qtr 2017	4 <sup>th</sup> Qtr 2017		
Jackets	\$ 50,000.00	In Progress															
OPS Building Expansion Joints	\$ 60,000.00	In Progress															
Ops Building Sealants	\$ 40,000.00	In Progress															
Tunnel 2hr Egress Joints (A/C Joints)	\$ 1,360,000.00	In Progress															
Tunnel RWS Roadway Joints (B/D Joints)	\$ 2,500,000.00	In Progress															
Tunnel Sealants (E/G Joints)	\$ 500,000.00	In Progress															
Tunnel Door & Electrical Panel Sealants	\$ 40,000.00	In Progress															
Epoxy	\$ 150,000.00	In Progress															
Water Treatment Plant Press	\$ 100,000.00	In Progress															
Supply Steel for Ramp (Tunnel)	\$ 40,000.00	Nov-14															
Backfill Access Shaft	\$ 400,000.00	Dec-14															
Grease	\$ 290,000.00	4th Qtr 2014															
Water service NOB	\$ 250,000.00	1st Qtr 2015															
ITS for SOB	\$ 100,000.00	2nd Qtr 2015															
Water service SOB	\$ 250,000.00	2nd Qtr 2015															
Sewer Restoration Access Shaft	\$ 400,000.00	2nd Qtr 2015															
Electrical Restoration Access Shaft	\$ 800,000.00	2nd Qtr 2015															
Sewer Forcemain South Portal	\$ 150,000.00	3rd Qtr 2015															
Tunnel Muck Trucking	\$ 2,000,000.00	2nd Qtr 2015															
Site concrete curbs and walks NOB/SOB	\$ 100,000.00	3rd Qtr 2015															
Landscaping/Irrigation/Drainage NOB & SOB	\$ 150,000.00	3rd Qtr 2015															
Fire Extinguishers	\$ 100,000.00	1st Qtr 2016															
Asphalt NOB & SOB	\$ 200,000.00	1st Qtr 2016															
Demobilization of temporary equipment (welders, cranes, transport)	\$ 200,000.00	4th Qtr 2015															
Final Building Cleaning/Tunnel Clean Spaces	\$ 200,000.00	3rd Qtr 2017															
Road Striping	\$ 200,000.00	3rd Qtr 2017															
Additional Misc Steel Fabrication	\$ 400,000.00	Varies															
Rental of Equipment	\$ 2,000,000.00	Varies															
Electrical Supplies	\$ 500,000.00	Varies															
Vacuum Trucks	\$ 300,000.00	Varies															
Misc. Lumber	\$ 500,000.00	Varies															
Safety & First Aid	\$ 300,000.00	Varies															
Small tools, Office Supplies, and Misc expenses	\$ 2,500,000.00	Varies															
<b>TOTAL</b>	<b>\$ 16,980,000.00</b>																

**EXHIBIT C: SR 99 Bored Tunnel Design Build Contract  
DBE Certified Payroll Hours Verification, September 2014**

Contractor/Subcontractor	Prime Contract/Upper Tier	Number of Journeyman	Number of Apprentices	Craft/Trade	Journeyman Hours Worked	Apprentice Hours Worked	Total Hours Worked	Month Year
BC Traffic	Malcolm Drilling	3	0	Flagger	436	0	408	14-Sep
DHD Trucking	STP	4	0	Street Sweeper	319	0	309	14-Sep
Garner Construction-START	STP	4	1	Operator	84	9	63	14-Sep
JMR Trucking	OMA	1	0	Truck Driver (Owner Operator)	5.25	0	5.25	14-Sep
Mak's Dump Trucking	OMA	1	0	Truck Driver (Owner Operator)	115.75	0	123.75	14-Sep
Marshbank	STP	1	0	Laborer	6	0	6	14-Sep
Marshbank	STP	1	0	Operator	6	0	6	14-Sep
OMA - Job 1133 South Portal	STP	15	0	Truck Driver	942.25	0	1021.25	14-Sep
Ponglia Trucking	OMA	1	0	Truck Driver (Owner Operator)	106	0	123.5	14-Sep
Savage Logistics	STP	2	0	Truck Driver	154.25	0	154.25	14-Sep
Savage Logistics - PO# 797	Lining Precast - FPS Encon	2	0	Truck Driver	154.75	0	154.75	14-Sep
SSB Trucking	OMA	1	0	Truck Driver (Owner Operator)	83.25	0	99.25	14-Sep
Sundancer	STP	5	0	Electrician	705	0	705	14-Sep
Tan Trucking	OMA	1	0	Truck Driver (Owner Operator)	138.75	0	153.25	14-Sep
Trinity Development	OMA	1	0	Truck Driver (Owner Operator)	94.75	0	113.25	14-Sep
<b>Total</b>		<b>43</b>	<b>1</b>		<b>3351</b>	<b>9</b>	<b>3445.5</b>	





# WSDOT

# DBE NEWS

NOVEMBER 2014

## BUSINESS AFTER HOURS RECEPTION

**November 13, 2014**

**5 to 8 p.m.**

**Pier 66 – Seattle Maritime  
Event Center**

The Port of Seattle, Sound Transit and Washington State Department of Transportation are proud to bring you the fifth annual Business After Hours Event! This event is for small, veteran, minority and women-owned firms to meet and establish relationships with prime contractors, consultants and agency staff, all in a casual and engaging atmosphere. This event includes an awards ceremony, networking opportunities with prime contractors and consultants, and refreshments. For more information or to register, please email [DBESS@wsdot.wa.gov](mailto:DBESS@wsdot.wa.gov).

## QUESTIONS, COMMENTS AND SUGGESTIONS...

Do you have ideas on how to improve the DBE Program or concerns that need to be addressed? Please send your questions, comments and suggestions to WSDOT Office of Equal Opportunity at [DBESS@wsdot.wa.gov](mailto:DBESS@wsdot.wa.gov) or call toll free (888) 259-9143.

## Message from Secretary of Transportation Lynn Peterson

We've taken some important steps recently to strengthen our commitment to support small businesses and ensure a level playing field exists in our federally funded contracts. The Disadvantaged Business Enterprise Program is one of the ways that WSDOT does this.

As a former small business owner, I understand the importance of small businesses. They are the engines that power economic development and prosperity for our state. We will continue to take steps to remove barriers and help socially and economically disadvantaged firms to succeed.

Our new newsletter is just one of the ways we are reaching out to DBE participants to share important news, developments and program changes; announce opportunities for training and technical assistance; and address issues of interest to small businesses. I encourage you to stay engaged and let us know how we're doing.

## Kara Larsen joins WSDOT as Interim Director of the Office of Equal Opportunity

Kara Larsen, formally with the Office of the Attorney General, Labor and Personnel Division, has accepted the interim director position for WSDOT's Office of Equal Opportunity (OEO). Her experience includes working with state agencies on compliance with anti-discrimination laws and workforce development, and advising on reasonable accommodation issues under the Americans with Disabilities Act, as well as sexual harassment, discrimination, and retaliation issues.

"I am very excited to join OEO and participate in the essential services it provides. I am committed to continuing the excellent work that OEO performs and seeking ways to enhance the effectiveness of our programs and services. I look forward to working with DBE program participants and the small business community on ways to improve our outreach efforts and support services so that every business has an equal opportunity to participate in the economic development of Washington state."



# Meet Henry Yates, Interim DBE Liaison Officer



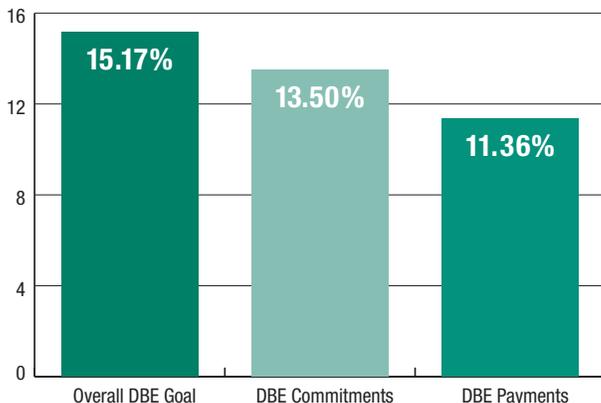
With more than 20 years of experience in government relations and community and constituent outreach, Henry Yates has agreed to serve as WSDOT's interim DBE Liaison Officer. He will work closely with Kara and other WSDOT divisions in this capacity. Since 2008, Henry has been president of Yates Consulting, conducting public affairs and government relations activities on the local, state and federal level.

In his role, he will work to enhance the administration of WSDOT's DBE Program on Federal Aviation Administration, Federal Highway Administration and Federal Transit Administration funded projects. "My highest priority is to make doing business with WSDOT easier for your company and to help as many people as possible benefit from the most successful implementation of the DBE Program nationwide."

## Because you asked...

### Q: What is WSDOT's current DBE participation?

A: As of October, WSDOT's Local Programs, Consultant Services, and Construction has attained 13.50 percent in DBE commitments (goals 11.40 percent and voluntary participation 2.10 percent) and 11.36 percent in DBE utilization in payments. WSDOT is still waiting on contract information and these numbers are subject to change until December 1.



### Q: My firm is bidding on WSDOT work but has not yet been successful; where do I start?

A: WSDOT is launching a new Long Term Business Development Program targeting firms that have had limited success in obtaining work on projects. The program will provide eight weeks of classes and technical assistance.

You are eligible to participate if your firm:

- Has been in business for a minimum of three years
- Has had only one or no contracts with WSDOT
- Is committed to developing a strategic growth plan and receiving support services

For more information on how to enroll in this program, please contact Karen Armstead of Armstead Consulting, Inc. via email at [karen@armsteadconsulting.com](mailto:karen@armsteadconsulting.com) or via telephone at (425) 444-2618.

### Q: What is the status of the Disparity Study and Waiver?

A: After the completion of the Disparity Study, WSDOT developed a proposed Federal Highway Administration (FHWA) overall DBE goal of 11.6 percent and submitted a waiver to remove Caucasian-women owned DBEs from the race-conscious portion of the DBE Program.

WSDOT submitted the proposals in March 2014. The proposed goal must be reviewed and approved by FHWA headquarters. The proposed waiver is presently being reviewed by the United State Department of Transportation. We've been informed, for some states, it has taken more than a year to have waivers approved. We do not know if that will be the case for WSDOT.

For more information regarding the Disparity Study and why WSDOT submitted a waiver, please visit our Disparity Study webpage: [www.wsdot.wa.gov/EqualOpportunity/DisparityStudy/default.htm](http://www.wsdot.wa.gov/EqualOpportunity/DisparityStudy/default.htm).

### Q: I have heard about DBE Program Reform within WSDOT, what does that look like?

A: WSDOT is using a multi-faceted approach to increase the effectiveness of our DBE Program. We are working on nearly 40 different items to improve the implementation of the DBE Program. The major changes include increasing agency-wide accountability, creating an agency wide data reporting system will monitor payments and DBE attainment progress. We are also working on increasing the emphasis on the Small Business Enterprise and DBE Support Services Programs.