

DEOD SUMMARY

Financial Advisory Services: Business Case Development and Pre-Procurement Support for the West Santa Ana Light Rail Transit Project/PS2210-3049-G-06

A. Small Business Participation

Sperry Capital, a Small Business Enterprise (SBE) Prime, made a 34.63% SBE commitment. The project is 90% complete and Sperry Capital's current SBE participation is 31.63%, which represents a 3.00% shortfall. According to Sperry Capital, the shortfall is due to the timing of certain activities which necessitated more engagement from their non-SBE subcontractor. Sperry Capital indicated they will increase their current SBE participation through efforts that include augmenting their team's staffing level and revisiting personnel allocation on all remaining scope activities. For this modification, Sperry Capital has proposed they will meet their 34.63% SBE commitment.

Notwithstanding, Metro Project Managers and Contract Administrators, will work in conjunction with DEOD to ensure that Sperry Capital is on schedule to meet or exceed its SBE commitment. If Sperry Capital is not on track to meet its small business commitment, Metro staff will request that Sperry Capital submit an updated mitigation plan. Additionally, key stakeholders associated with the contract have been provided access to Metro's tracking and monitoring system to ensure that all parties are actively tracking Small Business progress.

Small Business Commitment	34.63% SBE	Small Business Participation	31.63% SBE
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	SBE Subcontractors	% Committed	Current Participation¹
1.	Sperry Capital (SBE Prime)	31.26%	31.33%
2.	NWC Partners, Inc.	3.37%	0.30%
	Total	34.63%	31.63%

¹Current Participation = Total Actual amount Paid-to-Date to DBE firms ÷ Total Actual Amount Paid-to-date to Prime.

B. Living Wage and Service Contract Worker Retention Policy Applicability

The Living Wage and Service Contract Worker Retention Policy (LW/SCWRP) is not applicable to this modification.

C. Prevailing Wage Applicability

Prevailing wage is not applicable to this modification.

D. Project Labor Agreement/Construction Careers Policy

Project Labor Agreement/Construction Careers Policy is not applicable to this Contract. Project Labor Agreement/Construction Careers Policy is applicable only to construction contracts that have a construction contract value in excess of \$2.5 million.