



**Regular Meeting of the Board of Directors**

**Tuesday, September 22, 2015**

**10:00 a.m.**

Antelope Valley Transit Authority Community Room  
42210 6<sup>th</sup> Street West, Lancaster, California  
[www.avta.com](http://www.avta.com)

**AGENDA**

For record keeping purposes, and in the event that staff may need to contact you, we request that a speaker card, located at the Community Room entrance, be completed and deposited with the AVTA Clerk of the Board. This will then become public information. Please note that you are not required to complete this form or to state your name in order to speak. A three-minute time limit will be imposed on all speakers other than staff members.

In accordance with the Americans with Disabilities Act of 1990, if you require a disability-related modification or accommodation to attend or participate in this meeting, including auxiliary aids or services, please contact the Clerk of the Board at (661) 729-2206 at least 72 hours prior to the scheduled Board of Directors meeting.

Limited English Proficiency (LEP) persons, if you require translation services, please contact the Clerk of the Board at (661) 729-2206 at least 72 hours prior to the meeting.

**Please turn off, or set to vibrate, cell phones, pagers, and other electronic devices for the duration of this meeting.**

**CALL TO ORDER**

**PLEDGE OF ALLEGIANCE**

**ROLL CALL:**

Chairman Marvin Crist, Vice Chair Dianne Knippel, Director Steve Hofbauer, Director Fred Thompson, Director Angela Underwood-Jacobs, Director Michelle Flanagan

**APPROVAL OF AGENDA**

**PUBLIC BUSINESS – AGENDIZED AND NON-AGENDIZED ITEMS:**

If you would like to address the board on any agendized or non-agendized item, you may present your comments at this time. Please complete a Speaker Card (available as you enter the Community Room) and provide it to the Clerk of the Board. Speaking clearly, state and spell your name for the record. **State law generally prohibits the Board of Directors from taking action on or discussing non-agenda items; therefore, your matter will be referred to the Authority's Executive Director for follow-up.** Each speaker is limited to three (3) minutes.

**SPECIAL REPORTS and PRESENTATIONS (SRP):**

During this portion of the meeting, staff will present information that would not normally be covered under regular meeting items. This information may include, but is not limited to budget presentations, staff conference presentations, or information from outside sources that relates to the transit industry. **These items are for discussion purposes only and do not require board action.**

- SRP 1 PRESENTATION TO OUTGOING CHAIRMAN NORM HICKLING FOR HIS SERVICE AS AN AVTA BOARD MEMBER REPRESENTING THE COUNTY OF LOS ANGELES – LEN ENGEL
- SRP 2 PRESENTATIONS TO BYD OPERATIONS MANAGER CHAO XUE – VICE CHAIR DIANNE KNIPPEL AND LEN ENGEL
- SRP 3 PRESENTATION OF TRANSDEV OPERATOR OF THE MONTH AND EMPLOYEE OF THE MONTH FOR AUGUST 2015 – HECTOR FUENTES, TRANSDEV
- SRP 4 FEDERAL LEGISLATIVE UPDATE FOR AUGUST 2015 – JUDY FRY
- SRP 5 STATE LEGISLATIVE UPDATE FOR AUGUST 2015 – WENDY WILLIAMS
- SRP 6 BUS SHELTER SIGNAGE – WENDY WILLIAMS

**PUBLIC HEARING:**

- PH 1 ADOPT DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AND GOAL-SETTING METHODOLOGY FOR FEDERAL FISCAL YEARS (FFY) 2016 THROUGH 2018 – LYLE BLOCK

*Recommended Action: 1) Consider any public comments received; 2) Approve the revised DBE Program, Overall Goal-Setting Methodology, and goal of 7%; and 3) Adopt Resolution No. 2015-010, approving the revised Federal Transit Administration required DBE Program and Overall Goal-Setting Methodology for FFYs 2016 through 2018 (October 1, 2015 – September 30, 2018).*

**CONSENT CALENDAR (CC):** Items 1 through 3 are consent items that may be received and filed and/or approved by the board in a single motion. If any member of the Executive Board wishes to discuss a consent item, please request that the item be pulled for further discussion and potential action.

CC 1 BOARD OF DIRECTORS MEETING MINUTES FOR AUGUST 25, 2015 – KAREN DARR

*Recommended Action: Approve the Board Meeting Minutes for August 25, 2015.*

CC 2 FINANCIAL REPORTS FOR JULY AND AUGUST 2015 – COLBY KONISEK

*Recommended Action: Receive and file the Treasurer's Report for the month ended July 31, 2015; the Payroll History Report for the three months ended August 31, 2015; the Cash Disbursements Reports for the months ended August 31, 2015; the Interim Financial Statements for the one month ended July 31, 2015; and the Fiscal Year-to-Date Budget versus Actual Report for the month ended July 31, 2015.*

CC 3 DIAL-A-RIDE (DAR) SURVEY – LEN ENGEL

*Recommended Action: Receive and file the results of the 2015 DAR Customer Survey.*

**NEW BUSINESS (NB):**

NB 1 DIAL-A-RIDE NO-SHOWS AND LATE CANCELLATIONS POLICY – DIETTER ARAGON

*Recommended Action: Approve the revised Dial-A-Ride No-Shows and Late Cancellations Policy.*

NB 2 AWARD CONTRACT #2016-07 TO COMPLETE COACH WORKS FOR SIX 2008 MCI COMMUTER COACH REFURBISHMENTS – MARK PERRY

*Recommended Action: Authorize the Executive Director to execute sole respondent Contract #2016-07 for six 2008 MCI commuter coach refurbishments to Complete Coach Works, Riverside, CA, for an amount not to exceed \$1,000,000.*

**CLOSED SESSION (CS):**

**PRESENTATION BY LEGAL COUNSEL OF ITEM(S) TO BE DISCUSSED IN CLOSED SESSION:**

CS 1 Conference with Legal Counsel – Anticipated Litigation: significant exposure to litigation pursuant to Government Code Section 54956.9(d) – one potential case.

CS 2 Public Employee Appointment (Government Code Section 54957(b))  
Title: General Counsel

**RECESS TO CLOSED SESSION**

**RECONVENE TO PUBLIC SESSION**

## **REPORT BY LEGAL COUNSEL OF ACTION TAKEN IN CLOSED SESSION**

### **REPORTS AND ANNOUNCEMENTS (RA):**

RA 1 Report by the Executive Director

### **MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:**

During this portion of the meeting, Board Members may address non-agenda items by briefly responding to statements made or questions posed by the public, asking a question for clarification, making a brief announcement, or making a brief report on their own activities. **State law generally prohibits the AVTA Board of Directors from taking action on or discussing items not on the agenda.** Matters will be referred to the Executive Director for follow-up.

### **ADJOURNMENT:**

Adjourn to the next Regular meeting of the Board of Directors on October 27, 2015 at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6<sup>th</sup> Street West, Lancaster, California.

**The agenda was posted by 5:00 p.m. on September 18, 2015 at the entrance to the Antelope Valley Transit Authority, 42210 6<sup>th</sup> St. West, Lancaster, CA 93534.**

Copies of the staff reports and attachments or other written documentation relating to each proposed item of business on the agenda presented for discussion by the Board of Directors are on file in the Office of the Executive Director. Additionally, any disclosable public records related to an open session item on a regular meeting agenda and distributed by the AVTA to the Board of Directors less than 72 hours prior to that meeting are on file in the Office of the Executive Director. These documents are available for public inspection during regular business hours at the Customer Service window of the AVTA located at 42210 6<sup>th</sup> Street West, Lancaster or by contacting the Clerk of the Board at (661) 729-2206.



**DATE:** September 22, 2015

**TO:** BOARD OF DIRECTORS

**SUBJECT:** Public Hearing and Adoption of the Disadvantaged Business Enterprise (DBE) Program and Goal-Setting Methodology for Federal Fiscal Years (FFY) 2016 through 2018 (October 1, 2015 through September 30, 2018)

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## RECOMMENDATION

That the Board of Directors:

1. Consider any public comments received;
2. Close the public comment period;
3. Approve the revised DBE Program, Overall Goal-Setting Methodology, and goal of 7%; and
4. Adopt Resolution No. 2015-010, approving the revised Federal Transit Administration (FTA) required DBE Program and Overall Goal-Setting Methodology for FFYs 2016 through 2018.

## FISCAL IMPACT

There is no direct fiscal impact.

## BACKGROUND

AVTA receives federal financial assistance from the Department of Transportation and, as a condition of receiving this assistance, AVTA has signed an assurance that it will comply with Title 49 CFR, Part 26. This updated program is required to ensure non-discrimination in the award and administration of DOT-assisted contracts, create a level playing field on which DBEs can fairly compete for the Authority's DOT-assisted contracts, and ensure that only firms that fully meet Title 49 CFR, Part 26 eligibility standards are permitted to participate as DBEs in the Authority's DBE Program.

The Authority's proposed program and goal of 7% was published in the general circulation, trade associations and available minority-focused media, and included:

- A statement that the program, goal methodology and proposed annual overall goal for DBE participation in AVTA's DOT-assisted contracts are available for public inspection for a period of 30 days from the date of publication.



BOARD OF DIRECTORS  
ANTELOPE VALLEY TRANSIT AUTHORITY

RESOLUTION NO. 2015-010

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY APPROVING THE REVISED FEDERAL TRANSIT ADMINISTRATION (FTA) REQUIRED DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AND OVERALL GOAL-SETTING METHODOLOGY FOR FEDERAL FISCAL YEARS 2016 THROUGH 2018**

THE BOARD OF DIRECTORS OF THE ANTELOPE VALLEY TRANSIT AUTHORITY RESOLVES AS FOLLOWS:

Section 1. Following a noticed public hearing process and the Board's consideration of comments, the Board authorizes and approves the Federal Transit Administration required Disadvantaged Business Enterprise (DBE) Program, and Goal-Setting Methodology and annual goal of 7%.

Section 2. The Secretary of the Board shall certify to the adoption of this resolution.

PASSED, APPROVED and ADOPTED this 22<sup>nd</sup> day of September, 2015 by the following vote:

AYES: \_\_\_\_\_

NOES: \_\_\_\_\_

ABSTAIN: \_\_\_\_\_ ABSENT: \_\_\_\_\_

\_\_\_\_\_  
Marvin Crist, Chairman

ATTEST:

\_\_\_\_\_  
Karen S. Darr, Clerk of the Board

APPROVED AS TO FORM:

\_\_\_\_\_  
Allison E. Burns  
Special Counsel



# **DISADVANTAGED BUSINESS ENTERPRISE PROGRAM**

**For the**

**Federal Fiscal Years 2016-2018  
Program Period**

**October 1, 2015**

Submitted in fulfillment of:  
Title 49 Code of Federal Regulations Part 26

**ANTELOPE VALLEY TRANSIT AUTHORITY  
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM**

# TABLE OF CONTENTS

- Policy Statement.....4**
- DBE Program**
  - I. Policy (26.3; 26.1; 26.7).....4**
    - A. Policy Statement (26.3)..... 4
    - B. Objectives (26.1)..... 4
    - C. Non-Discrimination (26.7) ..... 5
  - II. Applicability (26.3; 26.21) ..... 6**
    - A. DBE Program Updates (26.21) ..... 6
    - B. Design Build Contracts .....6
  - III. Definition of Terms (26.5) ..... 7**
  - IV. Responsibility for DBE Program Implementation (26.25; 26.53)..... 10**
    - A. DBE Liaison Officer (26.25) ..... 10
    - B. Reconsideration Official (26.53 (d)(2))..... 11
  - V. Administrative Requirements (26.13(a); 26.27; 26.31; 26.33; 26.39) .....12**
    - A. Federal Financial Assistance Agreement Assurance (26.13(a)) .....12
    - B. DBE Financial Institutions (26.27)..... 13
    - C. DBE Directory (26.31)..... 13
    - D. Overconcentration (26.33) ..... 13
  - VI. Determining, Meeting and Counting Overall Annual DBE Goal  
(26.45; 26.51; 26.45; 26.49; 26.51; 26.53; 26.53(f); 26.43; 26.55) .....13**
    - A. Methodology for Setting Overall Annual DBE Goals (26.45).....13
      - Step 1, Base Figure .....14
      - Step 2, Base Figure Adjustments .....15
      - Step 3, Public Participation and Outreach Efforts .....15
        - 1) Publication of Proposed Overall Goal .....15
        - 2) Outreach and DBE Program Consultation .....16
    - B. Transit Vehicle Manufacturer (TVM) Certification (26.49)..... 16
    - C. Race-Neutral Measures .....17
    - D. Race-Conscious Measures.....18
    - E. Methodology for Setting Contract-Specific Goals (26.51) ..... 18

F. Procedures to Evaluate Award of Contract with Contract Specific Goals .....	18
1) Evaluation of Bids or Proposals .....	19
2) Evaluation of DBE Certification Status .....	19
3) Recommendation for Award .....	19
4) Bidder/Proposer's Right to Administrative Reconsideration .....	19
G. Meeting Established Goal(s) and Evidence of Good Faith Efforts (26.53) .....	20
1) Meeting Established Goals .....	20
2) Demonstration of Good Faith Efforts .....	20
H. Termination of Subcontractor (26.53(f)(1)(2)) .....	23
I. Use of Set Asides or Quotas (26.43) .....	24
J. Counting DBE Participation (26.55) .....	24
<b>VII. Required Contract Provisions (26.13; 26.29; 26.55) .....</b>	<b>26</b>
A. Non-Discrimination Assurances (26.13) .....	26
B. Prompt Payment Provisions (26.29) .....	26
C. Reporting & Compliance Monitoring & Enforcement (26.55) .....	27
D. Administrative Remedies for Non-Compliance by Contractors .....	28
<b>VIII. DBE Certification Standards (26.81) .....</b>	<b>29</b>
<b>IX. Recordkeeping, Monitoring &amp; Enforcement (26.11; 26.37) .....</b>	<b>32</b>
A. Bidders List (26.11) .....	33
B. Monitoring Payments to DBE's (26.37) .....	33
C. Reporting to DOT (26.11) .....	33

Separately Attached Documents:

Attachment 1 - Organizational Chart .....	35
Attachment 2 - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form .....	36
Attachment 3 - Disadvantaged Business Enterprises (DBE) Utilization Report Form .....	40
Attachment 4 - Electronic Code of Federal Regulations: 49 CFR, Subtitle A, Part 26 .....	42



## DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM

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### I. POLICY STATEMENT AND PROGRAM OBJECTIVES

#### A. Policy Statement (§26.3)

ANTELOPE VALLEY TRANSIT AUTHORITY (AVTA) has continued its Disadvantaged Business Enterprise (DBE) program for the three-year Federal Fiscal Year (FFY) goal period of 2016-2018 (October 1, 2015 through September 30, 2018), pursuant to Title 49 Code of Federal Regulations (CFR) Part 26, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs." AVTA receives Federal financial assistance from the U.S. Department of Transportation (U.S. DOT) and as a condition of receiving this assistance AVTA has provided an assurance that it will comply with Title 49 CFR Part 26. The DBE Program applies to all of AVTA's U.S. DOT-assisted projects.

It is the policy of AVTA to ensure that DBEs, as defined in Part 26, have equitable opportunities to compete for and participate in the performance of all AVTA's U.S. DOT-assisted contracts and subcontracts.

#### B. Objectives (§26.1)

Pursuant to the intent of these Regulations, the AVTA policy objectives are to:

- 1) Ensure non-discrimination in the award and administration of U.S. DOT assisted contracts;
- 2) Create a level playing field on which DBEs can fairly compete for AVTA's U.S. DOT-assisted contracts;
- 3) Ensure the program is tailored in accordance with applicable laws;
- 4) Ensure that only firms that fully meet Title 49 CFR, Part 26 eligibility standards are permitted to participate as DBEs in the AVTA DBE Program;
- 5) Help remove barriers which impede the participation of DBEs in AVTA's U.S. DOT-assisted contracts; and
- 6) Assist in the development of DBE firms that can compete successfully in the market place outside the DBE Program.

The Procurement and Contracts Officer has been designated as the DBE Liaison Officer (DBELO). In this capacity, the Procurement and Contracts Officer is responsible for implementing all aspects of the DBE Program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by AVTA in its financial assistance agreements with the U.S. DOT. It is the expectation of the Executive Director that all AVTA personnel shall adhere to the full spirit and the intent of the DBE Program and carry out all DBE requirements accordingly. AVTA has disseminated this policy statement to AVTA's Board of Directors and all components of our organization. AVTA will also distribute this policy statement to DBE and non-DBE business communities that perform work on AVTA's U.S. DOT-assisted contracts through AVTA's contracts and procurement solicitation process.

**C. Non-Discrimination (§26.7)**

AVTA will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by Title 49 CFR, Part 26 on the basis of race, color, sex or national origin.

In administering its DBE program, AVTA will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, or national origin.

Through such efforts, AVTA will ensure contracting and procurement related processes that promote equity in access, consideration and opportunity for DBE's in response to requirements set forth under Title 49 CFR, Part 26: Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs.

\_\_\_\_\_  
Len Engel  
Executive Director

\_\_\_\_\_  
Date

## **II. APPLICABILITY (§26.3)**

AVTA is a recipient of federal funds from the U.S. Department of Transportation (U.S. DOT), and Federal Transportation Administration (FTA), and as a condition of funding assistance, and in accordance with federal regulations published at 49 CFR Part 26 (refer to a link shown on Attachment 4 –Code of Federal Regulations: 49 CFR, Subtitle A, Part 26), AVTA is required to submit for approval a Disadvantaged Business Enterprise Program, to which it agrees to adhere. This Program sets forth the policies and procedures to be implemented by AVTA to ensure that DBEs have equitable opportunity to participate in AVTA DOT-assisted contracting opportunities.

In direct response to legislative requirements, AVTA hereby establishes a DBE Program that will:

- 1) Comply with federal regulations and financial assistance agreements;
- 2) Meet legal standards for unique and narrow program tailoring;
- 3) Ensure non-discrimination in the awarding of DOT-assisted contracts; and
- 4) Reaffirm commitment to fairness and the principles of equal opportunity.

In the event of any conflicts or inconsistencies between the Federal Regulations and AVTA's DBE Program with respect to DOT-assisted contracts, the Federal Regulations shall prevail.

### **A. DBE Program Updates (§26.21)**

AVTA will continue to carry out this program until all funds from U.S. DOT financial assistance have been expended. AVTA will provide to DOT updates representing significant changes in the program. AVTA will also annually submit an overall goal and corresponding goal setting methodology to each DOT Operating Administration, in accordance with regulatory requirements.

### **B. Design Build Contracts (§26.53)**

AVTA recognizes that certain modifications are necessary to adapt its DBE Program for use in connection with Design-Build contracts and will, therefore, follow and implement all changes, updates and prescribed requirements set forth in the Federal Register, 49 CFR, Part 26 and specifically 49 CFR Part 26.53.

### III. DEFINITION OF TERMS (§26.5)

Any terms used in this Program that are defined in 49 CFR, Part 26 or elsewhere in the Regulations shall have the meaning set forth in the Regulations. Some of the most common terms are defined below, for additional and more in depth detail, refer to Title 49 CFR, Part 26.5.

**Bidders List:** A list of all contractors, DBE and Non-DBE, which have expressed an interest in bidding on prime contracts and subcontracts on the AVTA's DOT assisted projects.

**Commercially Useful Function:** Work performed by a DBE firm in a particular transaction that, in light of industry practices and other relevant considerations, has a necessary and useful role in the transaction, i.e., the firm's role is not a superfluous step added in an attempt to obtain credit toward goals. If, in AVTA's judgment, the firm (even though an eligible DBE) does not perform a commercially useful function in the transaction, no credit toward the goal may be awarded.

**Compliance:** A contractor has correctly implemented the requirements of the DBE Program.

**Contract:** A legally binding relationship obligating a seller to furnish supplies or services (including, but not limited to construction and professional services) and the buyer to pay for them.

**Contractor:** One who participates, through a contract or subcontract (at any tier), in a DOT-assisted program.

**DBE Directory:** List of certified firms, which is used by AVTA and its contractors to identify DBE potential prime contractors and subcontractors and suppliers.

**DBELO:** Disadvantaged Business Enterprise Liaison Officer. The DBELO shall be responsible for implementing all aspects of AVTA's DBE program.

**Department or DOT:** The U.S. Department of Transportation, including the Office of the Secretary, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the Federal Aviation Administration (FAA).

**Disadvantaged Business Enterprise or DBE:** A for-profit small business concern:

- that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals;
- whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it; and,
- has been certified as Disadvantaged in accordance with Title 49, CFR 26.

**DBE Certification:** A certification issued to a firm by a certifying member agency of the California Unified Certification Program (CUCP), which has been determined to meet all the

requirements in accordance with Title 49 CFR, Part 26. All certification determinations are evidenced by a letter of DBE certification issued by the certifying CUCP member.

**DOT-Assisted Contract:** A contract between a recipient and a contractor (at any tier) funded in whole or in part with DOT financial assistance, including letters of credit or loan guarantees, except a contract solely for the purchase of land or improved real property.

**Goal:** A numerically expressed objective, which AVTA or its contractors are required to make Good Faith Efforts to achieve.

**Good Faith Efforts:** Efforts to achieve a DBE goal or other requirement of this part, which, by their scope, intensity, and other appropriateness to the objective, can reasonably be expected to fulfill the program requirement.

**Joint Venture:** An association between a DBE firm and one or more other firms to carry out a single, for profit business enterprise, for which the parties combine property, capital, efforts, skills and knowledge, and in which the DBE is responsible for a distinct, clearly defined portion of the work of the contract and whose share in the capital contribution, control, management, risks and profits of the joint venture are commensurate with its ownership interest.

**Manufacturer:** A firm that operates or maintains a factory or establishment that produces, on the premises, the material, supplies, articles, or equipment required under the contract and of the general character described by specifications.

**North American Industry Classification System (NAICS):** The five to six digit classification number which best describes the primary business of a firm. The basis for industry classification changed from the 1987 Standard Industrial Classification System (SIC) to the 2002 NAICS.

**Noncompliance:** A contractor has not correctly implemented the requirements of the DBE program.

**Personal Net Worth:** The net values of the assets of an individual remaining after total liabilities are deducted. An individual's personal net worth does not include the individual's ownership interest in an applicant or participative DBE firm or the individual's equity in their primary place of residence. An individual's personal net worth includes only their own share of assets held jointly as a community property with the individual's spouse.

**Program:** Any undertaking on AVTA's part to use DOT financial assistance authorized by laws to which the DBE Program applies.

**Race-Conscious Measure or Program:** A program or portion thereof that focuses specifically on assisting only DBEs, including women-owned DBEs, by the development and inclusion of participation goals or best effort activities.

**Race-Neutral Measure or Program:** A program or portion thereof that assists all small businesses regardless of ownership through community outreach and awareness programs to participate successfully in AVTA's procurement program. For the purposes of the DBE Program, "race neutral" includes gender neutrality.

**Regular Dealer:** A firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question. Any supplementing of regular dealers own distribution equipment shall be by a long-term lease agreement and not on an ad-hoc or contract-by-contract basis.

**Set-Aside:** A contracting practice restricting eligibility for the competitive award of a contract solely to DBE firms or on some other basis not related to qualifications or pricing.

**Small Business Administration or SBA:** The federal United States Small Business Administration.

**Small Business Concern:** With respect to firms seeking to participate as DBEs in DOT-assisted contracts, a business that meets the definition contained in Section 3 of the Small Business Act and Small Business Administration regulations implementing it (13 CFR, Part 121) that also does not exceed the cap on average annual gross receipts specified in Part 26.65 (b).

**Socially and Economically Disadvantaged Individual:** Any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is:

- 1) Found by AVTA to be socially and economically disadvantaged on a case by case basis by a certifying agency pursuant to the standards of the U.S. DOT Title 49 CFR, Part 26.
- 2) A member of any one or more of the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
  - i. “Black Americans” which includes persons having origins in any of the Black racial groups of Africa;
  - ii. “Hispanic Americans” which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
  - iii. “Native Americans” which includes persons who are American Indians, Eskimos, Aleuts or Native Hawaiians;
  - iv. “Asian Pacific Americans” which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia or Hong Kong;
  - v. “Subcontinent Asians Americans” which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka;

- vi. Women; and
- vii. Any additional group whose members are designated as socially and economically disadvantaged by the SBA, at such time as the SBA designation becomes effective.

**Subrecipients:** Any entity that receives DOT financial assistance through a primary recipient.

**Transit Vehicle:** A vehicle used by AVTA, e.g. bus or van, for the primary program purpose of public mass transportation; this definition does not include locomotives or ferry boats.

**Transit Vehicle Manufacturer or TVM:** A manufacturer of vehicles used by AVTA for the primary program purpose of public mass transportations (e.g. railcars, buses, and vans). The term does not apply to firms, which rehabilitate old vehicles, or to manufacturers or dealers in transit vehicles with respect to the requirements of Part 26.49 of the Regulation.

**Unified Certification Program (UCP):** One-stop certification clearinghouse, enabling applicants to apply once for DBE certification, which will be honored by all DOT recipients in the state.

#### IV. RESPONSIBILITIES FOR DBE PROGRAM IMPLEMENTATION

##### A. DBE Liaison Officer (§26.25)

AVTA has designated the following individual as the Disadvantaged Business Enterprise Liaison Officer (DBELO):

Lyle A. Block, Procurement and Contracts Officer  
ANTELOPE VALLEY TRANSIT AUTHORITY  
42210 6<sup>th</sup> Street West  
Lancaster, CA 93534  
Phone (661) 729-2288 Fax (661) 726-2615  
Email: [LBlock@avta.com](mailto:LBlock@avta.com)

In this capacity, the DBELO is responsible for implementing all aspects of the DBE Program and ensuring that AVTA complies with all provisions of Title 49 CFR, Part 26. The DBELO will have direct, independent access to AVTA's Executive Director concerning program matters (refer to Attachment 1 - Organization Chart). The DBELO has sufficient support personnel who devote a portion of their time to administer the Program. The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials.

The DBELOs and/or designee's duties include, but are not limited to the following activities:

- 1) Gathers and reports statistical data and other information as required.
- 2) Reviews third party contracts and purchase requisitions for compliance with this program.

- 3) Works with all departments to set overall annual goals.
- 4) Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
- 5) Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract-specific goals) and monitors results.
- 6) Analyzes AVTA's progress toward goal attainment and identifies ways to improve progress.
- 7) Participates in pre-bid or pre-proposal meetings.
- 8) Advises the Executive Director and governing body on DBE matters and achievements.
- 9) Determines contractor compliance with Good Faith Efforts provisions and conducts contract DBE goal responsiveness reviews.
- 10) Provides DBEs with information and assistance in preparing bids or proposals, obtaining bonding and insurance.
- 11) Plans and participates in DBE training seminars.
- 12) Provides outreach to DBEs and community organizations to advise them of AVTA's DOT-assisted contracting opportunities.
- 13) Maintains AVTA's directory on certified DBEs.

**B. Reconsideration Official (§26.53 (d) (2))**

In instances where contract DBE goals are established and the Bidder/Proposer fails to satisfy the requirements for meeting the contract goal, or documenting sufficient Good Faith Efforts to do so, in accordance with section VI. G. (2), AVTA will provide the Bidder/Proposer prior to award of the contract, an opportunity for administrative reconsideration of AVTA's determination of non-responsiveness. The administrative reconsideration process will be facilitated by AVTA's Reconsideration Official (RO), Colby Konisek, Director of Finance.

To ensure integrity in the process, the RO will not have played any role in the original determination that the Bidder/Proposer did not meet the established DBE goal, or document sufficient Good Faith Efforts of the subject procurement to be deemed non-responsive.

Within five (5) days of being informed by AVTA that the Bidder/Proposer is deemed non-responsive due to its failure to document and provide sufficient and adequate Good Faith Efforts of subject procurement (refer to Attachment 2 - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form ), a Bidder/Proposer may request administrative reconsideration. Bidder/ Proposers should make this request in writing to the following RO:

Colby Konisek, Director of Finance  
ANTELOPE VALLEY TRANSIT AUTHORITY  
42210 6<sup>th</sup> Street West  
Lancaster, CA 93534  
E-mail: ckonisek@avta.com

As part of this reconsideration process, the Bidder/Proposer will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate Good Faith Efforts to do so. The Bidder/Proposer will have the opportunity to meet in person with the RO to discuss the issue of whether it met the goal or made adequate Good Faith Efforts to do so. AVTA will send the Bidder/ Proposer a written decision on reconsideration, explaining the basis for finding that the Bidder/Proposer did or did not meet the goal or made adequate Good Faith Efforts to do so. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

Oversight of this process shall be performed by AVTA's Director of Finance, who has been designated as the Reconsideration Official, and shall:

- Ensure that all DBE administrative reconsideration procedural actions are consistent with Title 49 CFR, Parts 26.53 and 26.87 requirements and standards, and that program integrity is maintained at all times.
- Review Bidder/Proposer written documentation or argument concerning the issue of whether it met the goal or made adequate Good Faith Efforts to do so (refer to Attachment 2 - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form.
- Upon review by AVTA's RO, send the Bidder/Proposer a written decision on reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so.
- Maintain verbatim records of hearings conducted.
- Provide determinations in writing to AVTA's DBELO and Executive Director.

## **V. ADMINISTRATIVE REQUIREMENTS**

### **A. Federal Financial Assistance Agreement Assurance (§26.13 (a))**

AVTA shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT-assisted contract or in the administration of its DBE Program or the requirements of 49 CFR, Part 26. AVTA shall take all necessary and reasonable steps under 49 CFR, Part 26 to ensure non-discrimination in the award and administration of DOT-assisted contracts. AVTA's DBE Program, as required by 49 CFR, Part 26 and as approved by FTA, is incorporated by reference in this agreement. Implementation of this Program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to AVTA of its failure to carry out its approved Program, the Department may impose sanctions as provided under 49 CFR, Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 et seq.).

**B. DBE Financial Institutions (§26.27)**

It is the policy of AVTA to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to utilize these institutions and to encourage prime contractors on AVTA DOT-assisted contracts to make use of these institutions.

Information on the availability of such institutions can be obtained from AVTA's DBELO.

**C. DBE Directory (§26.31)**

AVTA will refer interested persons to the DBE Directory available from the Caltrans Disadvantaged Business Enterprise Program California Unified Certification Program (CUCP) website at [www.dot.ca.gov/hq/bep/](http://www.dot.ca.gov/hq/bep/) to assist in identifying certified DBEs.

**D. Over Concentration (§ 26.33)**

AVTA has developed policies and procedures to address over concentration of DBE utilization in certain types of work. This is to be accomplished through regular tracking of contract awards and compliance monitoring. AVTA will identify and directly respond to identified over concentration within specific trades or specialty areas, by modifying contract goals until such time as DBE availability exceeds utilization. Currently, AVTA has not identified any types of work that have a burdensome over concentration of DBE participation.

**VI. DETERMINING, MEETING AND COUNTING OVERALL ANNUAL DBE GOAL (§26.45; §26.51)**

**A. Methodology (§26.45)**

The DBELO shall establish an overall goal on an annual basis for the participation of DBEs in all budgeted contracts utilizing U.S. DOT federal financial assistance. Overall annual goals shall be expressed as a percentage of the total amount of U.S. DOT funds AVTA anticipates expending in the fiscal year. AVTA's overall annual goals represent the amount of ready, willing and able DBEs that are available to participate in contracting opportunities and are reflective of the amount of DBEs that are available to participate in contracting opportunities and are reflective of the amount of DBE participation The range of market shall include: Los Angeles and San Bernardino counties. AVTA's goal reflects the agency's determination to meet the level of DBE participation one would expect, absent any effects of discrimination. AVTA intends to meet those goals to the maximum extent feasible through the race-neutral measures described herein. Where race-neutral measures are inadequate to meet the overall goals, AVTA will establish specific contract goals for particular projects with subcontracting opportunities.

In conjunction with the preparation and adoption of the budget for each fiscal year, the DBELO, in consultation with the appropriate departments responsible for contracting activities, will conduct a thorough analysis of the projected number, types of work and

dollar amounts of contracting opportunities that will be funded, in whole or in part, by U.S. DOT federal financial assistance for that year.

AVTA's overall annual DBE goals will be submitted to each DOT Operating Administration. AVTA anticipates receiving federal financial assistance in excess of the established threshold requirements as follows:

- U.S. DOT FHWA – The DBELO will submit its overall goal to Caltrans by October 1 based on the approved three (3) year schedule.
- U.S. DOT FTA – The DBELO will submit its overall goal to FTA by October 1 based on the approved three (3) year schedule.

### **Step 1: Base Figure**

Once AVTA defines its DOT-assisted contracting programs and corresponding market areas for a given federal fiscal year, AVTA will establish a Base Figure of ready, willing, and able DBEs to participate on AVTA's DOT-assisted contracts, following one of the federally prescribed goal setting methodologies, in accordance with Title 49 CFR, Part 26.45.

AVTA may survey the relative availability of DBEs by:

- Utilizing the most current data available from DBE directories, the California UCP Database and the U.S. Census Bureau's County Business Pattern database to determine the number of ready, willing and able DBEs in the designated market area and the number of ready willing and able businesses that perform work in the same NAICS work codes.
- Dividing the number of ready, willing and able DBEs by the number of all ready, willing and able businesses to derive a base figure for the relative availability of DBEs in AVTA designated market area.
- Weighting the resultant figure based on the amount of federal funds AVTA is projected to award and/ or expend on various industries.
- Utilizing a Bidders List.
- Utilizing data from a disparity study, if available.
- Utilizing another U.S. DOT-recipient's DBE Goal in the same, or substantially similar market.
- Utilizing methodologies that are based on demonstrable evidence of local market conditions and that are designed to ultimately attain a goal that is rationally related to the relative availability of DBEs in AVTA's market area.

## **Step 2: Adjusting the Base Figure**

As a mandatory second step, AVTA will examine all of the evidence available in AVTA's jurisdiction to determine what adjustment, if any, is needed to the base figure in order to arrive at AVTA's overall goal, which may include, but not limited to:

- demonstrated evidence of DBE capacity to perform work in AVTA's DOT-assisted contracting program;
- real market conditions;
- disparity studies conducted within the jurisdiction; and
- other relevant factors, including:
  1. The number, types and dollar value of contracting opportunities projected to be financed with federal funds and to be awarded during the fiscal year.
  2. The number of ready, willing and able DBEs available to compete for such contracts.
  3. Other recipients' goal results in similar contracting opportunities and markets, and the reasons for the level of those results.
  4. The methods used by AVTA to increase DBE participation in federally assisted contracts.
  5. The demographics and business activity of the market area in which AVTA will solicit bids or proposals.
  6. The data from statistical disparities in the ability of DBE's to obtain financing, bonding and insurance requirements to participate in AVTA's DBE program.
  7. The data on employment and self-employment, education and training programs, to the extent AVTA can relate it to the opportunities for DBEs to perform in AVTA's DBE program.

## **Step 3. Public Participation & Outreach Efforts (§26.45; §26.51)**

### **1) Publication of Proposed Overall Annual Goals**

Prior to submission to U.S. Department of Transportation Operating Administration(s), AVTA will publish the proposed overall annual goal, in general circulation; trade associations and available minority focused media. Said publication shall include:

- A statement that the methodology and proposed annual overall goal for DBE participation in AVTA's DOT-assisted contracts are available for public inspection for a period of 30 days from the date of publication.

- Notification that AVTA will accept public comments on the proposed goal and rationale for a period of 45 days from the date of publication and provide instructions for the submission of comments.
- The address of AVTA to which comments may be sent.

Upon receipt, AVTA's DBELO will analyze the public comments, summarize the results and formulate modifications to the proposed overall DBE goal or methodology as deemed necessary and forward suggested changes to the Executive Director.

## **2) Outreach and DBE Program Consultation**

In addition to the provision of public notice regarding the overall annual DBE goal, AVTA will undertake specific efforts to foster public participation, to consult with, and solicit input from a variety of constituent groups representing minorities, women, general contractors, community groups, officials and other organizations reasonably expected to possess information regarding the availability of disadvantaged and non-disadvantaged businesses, the impacts and effects of discrimination on opportunities for DBE, and AVTA's efforts to promote fair competition for DBEs.

The overall annual DBE goal will be reaffirmed by public notice annually, prior to formal adoption by AVTA's Board of Directors and submission to the FTA Civil Rights Officer. In addition to the foregoing, interested disadvantaged and non-minority contractor organizations will receive direct mailings of AVTA's DBE Program and proposed DBE goals.

## **B. Transit Vehicle Manufacturers (TVM) Certifications (26.49)**

AVTA shall require Transit Vehicle Manufacturers to certify that they have fully complied with this section and have established an Overall Annual Goal by identifying general dollar volume of work; by designated category, (i.e. construction, professional services, maintenance and supplies and equipment).

AVTA intends to use race and gender neutral methods to the maximum extent feasible to achieve its overall annual goal. DBE participation that is obtained on contracts that have no specific DBE goal, or where prime contractors use a strictly competitive bidding process or do not consider the DBE's status as a DBE in awarding a subcontract shall be considered race-neutral and gender-neutral DBE participation. In addition, AVTA will use the following measures as appropriate:

- 1) Configuring large contracts in smaller contracts when feasible, which would make contracts more accessible to small business, and would not impose significant additional cost, delay or risk to AVTA;
- 2) Identifying components of the work, which represents subcontracting opportunities and identifying the availability of DBE subcontractors to participate in proportion to total available subcontractors. Contractors will be encouraged to

consider subcontractors for components of the work for which there is a known supply of ready, willing, and able subcontractors, including DBE subcontractors, in preparing their bids;

- 3) Assisting in overcoming limitations in bonding and financing;
- 4) Providing technical assistance in orienting small businesses to public contracting procedures, use of the Internet, and facilitating introductions to AVTA's and other U.S. DOT recipients' contracting activities;
- 5) Providing outreach and communications programs on contract procedures and contract opportunities to ensure the inclusion of DBEs;
- 6) Ensuring the distribution of the DBE Directory to the widest feasible universe of potential prime contractors; and
- 7) Providing business development assistance.

### **C. Race-Neutral Measures**

AVTA will annually consider the following factors to project levels of DBE participation to be met through race-conscious measures in order to determine its Overall Annual Goal by identifying general dollar volume of work; by designated category, (i.e. construction, professional services, maintenance and supplies and equipment).

AVTA intends to use race and gender neutral methods to the maximum extent feasible to achieve its overall annual goal. DBE participation that is obtained on contracts that have no specific DBE goal, or where prime contractors use a strictly competitive bidding process or do not consider the DBE's status as a DBE in awarding a subcontract shall be considered race-neutral and gender-neutral DBE participation. In addition, AVTA will use the following measures as appropriate:

- 1) Configuring large contracts into smaller contracts when feasible, which would make contracts more accessible to small business, and would not impose significant additional cost, delay or risk to AVTA;
- 2) Identifying components of the work, which represents subcontracting opportunities and identifying the availability of DBE subcontractors to participate in proportion to total available subcontractors. Contractors will be encouraged to consider subcontractors for components of the work for which there is a known supply of ready, willing, and able subcontractors, including DBE subcontractors, in preparing their bids;
- 3) Assisting in overcoming limitations in bonding and financing;
- 4) Providing technical assistance in orienting small businesses to public contracting procedures, use of the Internet, and facilitating introductions to AVTA and other U.S. DOT recipients' contracting activities;
- 5) Providing outreach and communications programs on contract procedures and contract opportunities to ensure the inclusion of DBEs;

- 6) Ensuring the distribution of the DBE Directory to the widest feasible universe of potential prime contractors; and
- 7) Providing business development assistance.

**D. Race-Conscious Measures**

AVTA will annually consider the following factors to project levels of DBE participation to be met through race-conscious measures in order to determine its Overall Annual Goal by identifying general dollar volume of work; by designated category, (i.e. construction, professional services, maintenance and supplies and equipment).

In accordance with Title 49 CFR, Part 26, AVTA will project how much of the overall goal can be achieved through race and gender-neutral measures, and, will use race-conscious measures such as contract-specific goals, only to meet that portion of the overall goal which is not likely to be met utilizing race-neutral and race-conscious methods as required in accordance with 49 CFR, Part 26.51 (f).

**E. Methodology for Setting Contract- Specific Goals (§26.51)**

The DBELO shall establish contract-specific DBE participation goals to meet any portion of the overall goal that AVTA does not project being able to meet using race-neutral means.

AVTA will establish contract-specific goals only on those DOT-assisted contracts for which subcontracting opportunities have been identified. AVTA will not establish a contract goal on every DOT-assisted contract, and the number of contract goals will be adapted to the individual circumstances of each contract (e.g. type and location of work, subcontracting opportunities, and availability of DBEs to perform).

The DBELO will receive an advance notification form for all project/contract needs with cost estimates and detailed scope of work from the department managing the project.

The DBELO will determine whether a contract- specific goal should be established for the particular contract and if so required, will express the goals as a percentage of the total amount of the related DOT-funded contract.

**F. Procedures to Evaluate Award of Contract with Contract- Specific Goals**

Where applicable, AVTA shall award contracts to the apparent successful Bidder/Proposer as required by the California Public Contract Code. However, for such contracts, as well as for contracts awarded pursuant to a competitive negotiation (RFP or RFQ) procedure, a Bidder/Proposer that fails to demonstrate that it achieved the contract-specific DBE participation goal, and/or fails to demonstrate that it made adequate Good Faith Efforts to do so (refer to Attachment 2 - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form), in accordance with Section VI.G.2, shall be deemed “non-responsive” and shall be ineligible for award of the contract.

## **1) Evaluation of Bids or Proposals**

After the bid opening, or submission deadline for proposals, the DBELO shall review all information for completeness, accuracy and evaluate all bids/proposals to determine whether the Bidders/Proposers submitted all of the information required by 49 CFR, Part 26.53 (b). The apparent successful Bidder/Proposer with the lowest apparent bid price, or the most highly ranked Bidder/ Proposer, who also meets the contract-specific DBE goal or demonstrates adequate good faith efforts, shall be recommended for contract award. In the event the Bidder/Proposer with the lowest monetary bid price fails to meet the contract-specific goal or fails to demonstrate adequate good faith efforts, or is otherwise unresponsive or not responsible, the DBELO shall then evaluate the Bidder/Proposer with the next lowest bid price.

Should the DBELO determine that additional information is needed to evaluate a Bidder's/Proposer's submission with regard to the DBE requirements, the DBELO shall request the Bidder/Proposer to submit the required information, or may contact the listed DBE(s) directly.

## **2) Evaluation of DBE Certification Status**

The DBELO shall require that the DBEs listed by bidder/proposers for participation in contracts with goals, be certified as eligible DBEs at time of bid/proposal submission, in order for their participation to be counted towards meeting the established contract-specific DBE goal.

While AVTA is not a certifying agency, it will accept certification from the California Unified Certification Program, which certifies eligibility of DBEs in accordance with 49 CFR, Part 26, Sub-part E: Certification Procedures. (See Section VIII: DBE Certification Standards, for a list of certifying agencies within the State of California).

## **3) Recommendation for Award**

Following the determination of the Bidders/Proposer's responsiveness and responsibility to DBE requirements set forth in the solicitation, the DBELO shall prepare a report relative to contract-specific DBE requirements, to be submitted for presentation to the Board of Directors at the time the contract award is considered. The decision of the Board of Directors on the award of contract shall be final and binding on all parties, subject to compliance with AVTA's bid protest procedures.

## **4) Bidder's/Proposer's Right to Administrative Reconsideration**

In the event that the DBELO determines that an apparently successful Bidder/Proposer has not met the contract-specific goal and has not demonstrated adequate good faith efforts, the DBELO will notify the Bidder/Proposer in writing. The notification shall include the reasons for the determination and the Bidder / Proposer has the right to submit written documentation and/or appear before the

RO for reconsideration prior to the time that a recommendation for award of contract is presented to the Board of Directors. The RO shall provide the Bidder/Proposer with a written decision on reconsideration, explaining the basis for its determination.

In the event that the RO finds that the Bidder/Proposer has not met the contract-specific goal or demonstrated adequate and substantive good faith efforts, the DBELO will deem said bidder non-responsive and evaluate the Bidder/Proposer submitting the next most qualified bid/proposal.

The result of the reconsideration process is not administratively appealable to the Department of Transportation. (Refer to IV.B: Reconsideration Official)

## **G. Meeting Established Goals and Evidence of Good Faith Efforts (§26.53)**

If the Bidders/Proposer's value of DBE participation does not meet the contract-specific goal, the DBELO shall review the Good Faith Effort documentation submitted by the Bidder/Proposer to determine responsiveness. The DBELO shall determine whether the Bidder/Proposer has performed the quality, quantity, and intensity of efforts that demonstrates a reasonably active and aggressive attempt to meet the contract-specific goals as outlined herein.

The following sections outline the requirements of firms competing for Agency contracts to comply with either meeting the goal, documenting commitments for participation by DBE firms sufficient for this purpose, or documenting adequate Good Faith Efforts to do so. Failure for a Bidder/Proposer to meet DBE goals, or demonstrate that sufficient Good Faith Efforts were made, will be deemed as non-responsive.

### **1) Meeting Established Goals**

For each solicitation that a contract-specific goal has been established, AVTA will require bidder/proposers to submit the following information to AVTA at the time of proposal or bid submission:

- The names and addresses of DBE firms that will participate in the contract;
- A description of the work that each DBE will perform;
- The dollar amount of the participation of each DBE firm participating;
- Written and signed documentation of the Bidder's/Proposer's commitment to use DBE subcontractors whose participation meets a contract goal, utilizing AVTA's Proposed DBE Responsive Requirement-List of Proposed DBE Subcontractors, Joint Venture/Partner, and Suppliers Form (Appendix C)
- Written and signed confirmation from the DBE firm that it is participating in the contract as provided in the prime contractor's commitment.

### **2) Demonstration of Good Faith Efforts (§26.53)**

AVTA will require (Bidder/Proposer) to comply with Good Faith Effort requirements as a matter of responsiveness. The obligation of the Bidder/Proposer is to make Good Faith Efforts towards meeting the established

contract specific DBE goals. The Bidder/Proposer can demonstrate that it has done so either by meeting the contract goal or documenting corresponding Good Faith Efforts undertaken prior to submitting its bid/proposal.

If the Bidder/Proposer's Good Faith Efforts to meet the established goal result in partial or no DBE participation, all Bidders/Proposers must document and submit adequate Good Faith Efforts documentation with the bid/proposal or within 48 hours of AVTA's request, unless otherwise specified in the solicitation document. In this instance, the Bidder/Proposer must demonstrate that it took all necessary and reasonable steps to achieve the established DBE goal, which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if the Bidder/Proposer was not fully successful. Mere pro forma efforts are not Good Faith Efforts to meet the DBE requirements.

The DBELO will be responsible for determining whether a Bidder/Proposer who has not met the established contract DBE goal has documented sufficient Good Faith Efforts to be regarded as responsive.

The standards delineated below represent the level of effort necessary to demonstrate Bidder/Proposer's compliance with the Good Faith Effort requirements. It is not intended to be an all-inclusive or exhaustive list of all Good Faith Efforts that can be taken to meet the objectives of this part. Each factor will be evaluated on a "pass or fail" basis (for example, literal compliance in meeting factor 1 will result in 5 attainable points or zero (0) points for non-literal compliance). For Bidder/Proposer to attain the maximum allocated points within each standard, Bidder/Proposer must literally comply with documenting the full level of effort prescribed. **Bidder/Proposer's must achieve a minimum of seventy-five (75) points out of a total of one hundred points (100) for the bid/proposal to be considered responsive.**

**I. ATTENDANCE AT PRE-BID OR PRE-PROPOSAL CONFERENCE/ JOB WALK THROUGH 15 POINTS**

**Effort:** Attendance at pre-bid or pre-proposal conference and job walk through, if held by Agency, to solicit the interest of certified DBEs who have the capability to perform the work of the contract.

**Evidence:** Name, title and date of person(s) attending, to be verified by conference attendance sign-in sheet.

**II. IDENTIFICATION OF SCOPE OF WORK FOR SUBCONTRACTING 5 POINTS**

**Effort:** Selecting portions of the work that can be subcontracted to DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the Prime contractor might otherwise prefer to perform these work items with its own forces.

**Evidence:** Identifying scope of work the Bidder/Proposer intends to perform with its own workforce and for subcontracting to DBE sufficient to meet the established DBE goal.

### **III. ADVERTISEMENT OF SUBCONTRACTING OPPORTUNITIES 15 POINTS**

**Effort:** Advertisement in one general circulation publication and one or more trade and /or disadvantaged/minority and women's business focus media outlets. Advertisements must identify specific subcontracting opportunities being solicited, project name and location, Bidder/Proposer's contact information, including name, address, phone, fax, e-mail and bid solicitation submittal due date. Advertisements should appear a minimum of 10-14 days prior to Bid due date.

**Evidence:** As verification of publication, Bidder/Proposer must provide a listing of all advertisements placed including copies of advertisement tear sheets and/or proof of publication.

### **IV. WRITTEN REQUESTS FOR PROPOSALS 10 POINTS**

**Effort:** Provision of written notice to a number of DBEs soliciting interest in the identified subcontracting areas. There should be sufficient numbers of written invitations to DBE firms for each subcontracting opportunity identified. Notices should be issued at least 10 days prior to submittal due date

**Evidence:** Copy of the solicitation letters, a list of recipients grouped by each identified subcontracting area, including name, address, and phone number, and date contacted for all DBE firms for each subcontracting area identified, and identification of mode of communication (letter or fax), including corresponding copies of letters and/or fax confirmations.

### **V. SOLICITATION FOLLOW-UP 15 POINTS**

**Effort:** Subsequent efforts to solicit DBEs within all available subcontracting areas.

**Evidence:** Bidders/Proposers must determine with certainty if the DBEs are interested by taking appropriate steps to follow up on initial solicitations. Documentation should include:

- (a) Names, addresses and telephone numbers of DBEs contacted by each subcontracting area identified/solicited;
- (b) Description of information timely provided to DBEs regarding plans and specifications for portions of the scope of work to assist DBEs in responding to the solicitation; and
- (c) Statement of justification re: unsuccessful solicitation of DBEs.

## **VI. NEGOTIATION IN GOOD FAITH**

**30 POINTS**

**Effort:** Negotiating in good faith with interested DBEs, to facilitate DBE participation. Utilization of a sound basis of selection and/or rejection of DBEs bids/proposals.

**Evidence:** Evidence of such negotiation includes the names, addresses, and phone numbers of all subcontractors (DBEs and non DBEs) who submitted bids; copies of bids for each portion of work solicited; and stated reasons for choice of subcontractor. Barring lack of qualifications to perform work, only significant price differences of 10% (an applicable regulatory guideline) between the selected firm and rejected DBE firms' proposed costs would be considered as valid cause for rejecting bids.

## **VII. PROVISION OF ASSISTANCE TO DBES TO OBTAIN BONDING LINES OF CREDIT AND/OR INSURANCE**

**5 POINTS**

**Effort:** Provision of assistance to interested DBEs in obtaining bonding, lines of credit, and/or insurance required by the Contractor.

**Evidence:** Brief description of the type of assistance provided by the Bidder/Proposer to interested DBEs in obtaining bonding, lines of credit and/or insurance.

## **VIII. UTILIZATION OF COMMUNITY OUTREACH SERVICES**

**5 POINTS**

**Effort:** Utilization of outreach services available within the DBE community, including Contractor groups, local, state and federal DBE offices and other organizations that provide assistance in the recruitment and placement of DBEs.

**Evidence:** Copies of emails, faxes, letters, telephone logs, etc., used to contact organizations, which include the names of organizations/groups, dates, names of contacts, email addresses and telephone numbers; and copies of correspondence received from these entities acknowledging contact. The Bidder/Proposer must document outreach to a minimum of five (5) organizations/groups.

As a matter of responsiveness, **only** those with Good Faith Efforts made prior to bid or proposal submission will be considered in the Good Faith Efforts evaluation. Failure to submit the required Good Faith Effort documentation by the time specified will be grounds for finding the bid/proposal non-responsive.

### **H. Termination of Subcontractor (26.53 (f)(1)(2))**

AVTA will require that the prime contractor may not:

- 1) Terminate for convenience an approved DBE subcontractor (or an approved substituted DBE firm).

- 2) Terminate a subcontractor and perform the work of the terminated subcontract with its own resources or those of an affiliate without AVTA's prior written consent.
- 3) If the DBE subcontractor is terminated, or fails to complete the work specified in the contract for any reason, the prime contractor must make Good Faith Efforts to find another DBE subcontractor to substitute for the original DBE. These Good Faith Efforts shall be directed at finding another DBE to perform at least the same amount of work under the contract as the DBE that was terminated, to the extent needed to meet the contract goal established for the procurement.

**I. Use of Set Asides or Quotas (26.43)**

AVTA **shall not permit** the use of quotas for DBEs on DOT-assisted contracts, in accordance with 49 CFR, Part 26.43. Further, AVTA shall not set aside contracts for DBEs, except in limited and extreme circumstances, where no other method could reasonably be expected to redress egregious instances of discrimination.

**J. Counting DBE Participation (§26.55)**

AVTA will count DBE participation toward overall and contract specific goals as provided in the solicitation and contract specifications for the prime contractor, subcontractor, and joint venture partner with prime or subcontractor, vendor of material or supplies.

This section will address how DBE participation is counted toward AVTA's DBE goals, once a DBE is determined to be certified and eligible to participate in AVTA's Program. The following guidelines apply in calculating DBE participation toward meeting established goals in accordance with Title 49CFR, Part 26.55:

- 1) Only work proposed to be performed by a DBE's own work forces (including cost of supplies, materials and equipment leases) obtained by the DBE for the work of the contract, except supplies and equipment the subcontractor purchases and/or leases from the prime contractor or its affiliate.
- 2) When a DBE subcontracts part of its work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the DBE subcontractor is itself a certified DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward DBE goals. A DBE should perform at least thirty percent (30%) of the total cost of its contract with its own workforce.
- 3) In instances of joint venture, a Bidder/Proposer may only count toward its DBE goal, which meets certification, ownership and control standards.
- 4) A Bidder/Proposer may count toward its DBE goal, only expenditures to firms that are proposed to perform a commercially useful function on that contract. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing and supervising the work involved.

- 5) A Bidder/Proposer may count toward its DBE goal sixty percent (60%) of its expenditures for materials and supplies required under the contract and obtained from a DBE regular dealer, and, one hundred (100%) percent of such expenditures to a DBE manufacturer. For purposes of this section, a manufacturer is a firm that operates or maintains a factory or establishment that produces on the premises the materials and supplies obtained by the contractor. A regular dealer is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials or supplies required for performance of the contract are bought, kept in stock, and regularly sold to the public in the usual course of business.
- 6) A Bidder/Proposer may count towards its DBE goal, fees and commissions paid to DBE firms that are not manufacturers or regular dealers, provided that the fees or commissions are determined to be reasonable and not excessive, as compared with fees customarily allowed for similar services.
- 7) Special Provisions for Trucking – A Bidder/Proposer may count towards its goal, all transportation services provided by DBE trucking firms, who can demonstrate control of trucking operations for which it seeks credit and it owns, insures, and operates, using drivers it employs in the performance of the contract. The DBE must itself own and operate at least one fully-licensed, insured truck for use on the contract. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease arrangement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by a DBE.
- 8) In cases where DBE certification has ceased during the performance period of the contract, although the prime contractor will continue to report to AVTA the dollar value of the work performed on the monthly form - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form. (See Attachment 2). AVTA will not count the participation towards its overall agency goal.
- 9) Do not count the participation of DBE subcontractors toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE subcontractors.

## **VII. REQUIRED CONTRACT PROVISIONS**

### **A. Contractor's Assurance Clause Regarding Non-Discrimination (§26.13)**

AVTA will include the following clause in all U.S. DOT assisted contracts and subcontracts:

*"The contractor or subcontractor shall not discriminate on the basis of race, color, national origin or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR, Part 26 in the award and administration of U.S. DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as AVTA deems appropriate."*

### **B. Prompt Payment Provisions (§26.29)**

The AVTA has, by a contract clause pursuant to 49 CFR Part 26, 26.29, "Prompt Payment Mechanisms for Recipients," included a prompt payment provision on all DOT-assisted contracts, to facilitate timely payment to all subcontractors. This provision, governing the payment to subcontractors (DBEs and non-DBEs), requires a prime contractor to issue payment to all subcontractors for satisfactory work performed, no later than ten (10) days from the prime contractor's receipt of payment from AVTA. A provision shall also apply to the disbursement of retention proceeds withheld by the prime, requiring the prompt return of retainage payments from the prime contractor to the subcontractor within 30 days of subcontractor's satisfactory completion of the accepted work. These prompt payment provisions are required to be incorporated in all subcontract agreements issued by the prime contractor.

The prime contractor shall also incorporate in all subcontract agreements, "a contract clause providing that the prime contractor will not be reimbursed for work performed by subcontractors unless and until the prime contractor ensures that the subcontractors are promptly paid for the work they have performed."

Failure to comply with this provision or delay in payment without prior written approval from AVTA will constitute noncompliance, which will result in appropriate administrative sanctions including, but not limited to, a penalty of 2% of the amount due per month for every month that payment is not made.

Prior to AVTA's issuance of progress payments, commencing with the second invoice, the prime Contractor shall provide AVTA with evidence that the Prime Contractor has paid all subcontractors all amounts due for work that the subcontractor has performed.

**C. Contractor Reporting Requirements and Agency's Compliance Monitoring and Enforcement (§26.55)**

**1) Notification of Reporting Responsibilities**

Prior to execution of all contracts containing DBE goals, the prime contractor shall be directed to the contract specification for AVTA's specific DBE reporting and record keeping requirements.

**2) DBE Activity Reporting Forms**

All prime contractors shall submit monthly progress reports on DBE utilization to AVTA on **Attachment 3 - Disadvantage Business Enterprise (DBE) Utilization Report Form**. Failure to submit these reports in a timely manner may result in a penalty of \$10 per day, per report. The last DBE Utilization Report Form report shall be clearly marked "Final."

**3) Contractor Good Faith Efforts and Reporting Obligations**

During the term of the contract, the contractor shall continue to make good faith efforts to ensure that DBEs have an opportunity to successfully perform in the contract, and that the contractor meets its DBE goal. These efforts shall include, but not be limited to the following:

- i. Negotiating in good faith to attempt to finalize and execute a subcontract agreement with the DBEs committed to in the proposal.
- ii. Efforts that can be documented to seek out and utilize additional DBE suppliers and DBE subcontractors when necessary and authorized by AVTA.
- iii. Continuing to provide assistance to DBE subcontractors or suppliers in obtaining bonding, lines of credit, etc., if required by the contractor.
- iv. Notifying a DBE in writing of any potential problem and attempting to resolve the problem prior to formally requesting AVTA's approval to substitute the DBE.
- v. As with all subcontractors, ensuring the timely payment of all monies due and owing to DBE subcontractors and suppliers.
- vi. The prime contractor/consultant is advised not to count the participation of DBE subcontractors towards the prime contractor/consultant's DBE achievements until the amount being counted toward the goal has been paid to the DBE.
- vii. Alerting AVTA in a timely manner of any problems anticipated in attaining the DBE participation goal committed to in the proposal.
- viii. The prime contractor may not terminate an approved DBE subcontractor for convenience and perform the work of the terminated DBE

subcontractor with its own resources or those of an affiliate without the prior written consent from AVTA.

- ix. When a DBE subcontractor is terminated, or fails to complete its designated scope of work on the contract for any reason, the prime contract must make good faith efforts to find another DBE subcontractor to substitute for the original DBE.
- x. Substitutions or additions of an approved DBE subcontractor or change in any scope of work to be performed by the approved DBE subcontractor must be requested in writing by the prime contractor and approved by AVTA.
- xi. Contract Compliance Reporting Requirements – The contractor shall submit monthly progress reports to AVTA, in conformance with the currently approved contract performance schedule reflecting its DBE participation. The monthly form (Attachment 2 - Disadvantaged Business Enterprise (DBE) Good Faith Efforts Documentation (GFE) Form) shall be submitted to comply with this reporting requirement. Failure to submit this report in a timely manner shall result in the imposition of administrative remedies pursuant to AVTA's DBE Policy and U.S. Department of Transportation regulations (49 CFR 26).
- xii. Change in Contract Amount - The dollar amount of Change Orders or another contract modifications that increase or decrease the work area in which DBE's participation has been committed to in the proposal, shall be commensurately added to or subtracted from the total contract base figure used to compute actual dollars paid to DBEs. Revised total contract dollar values shall be reflected in the monthly progress report submitted to AVTA.
- xiii. A review of the contractor's monthly progress reports to determine whether the utilization of DBE firms is consistent with the commitment of the contractor as stated in its bid or proposal.

#### **D. Administrative Remedies for Non-Compliance by Contractors**

All contractors deemed to be in non-compliance shall be informed in writing, by certified mail, by the DBELO or Designee, that administrative remedies shall be imposed for failure to meet DBE utilization goals and/or submit documentation of good faith efforts. The contractor shall be given five (5) working days from the date of the notice to file a written appeal to the Executive Director. Failure to respond within the five (5) day period shall constitute a waiver of appeal. The notice shall state the specific administrative remedy to be imposed.

The Executive Director, at their sole discretion, may schedule a hearing to gather additional facts and evidence and shall issue a final determination on the matter within five (5) working days of receipt of the written appeal. The written decision of the Executive Director or designee is final and there is no further appeal.

In the event that the Contractor is unable to meet the DBE goal, AVTA reserves the right to initiate Administrative Remedies, which shall include but are not limited to:

- 1) Withholding of payments due equivalent to the difference between the actual DBE attainment and the contract DBE goal;
- 2) Suspension of payment to the Contractor of any other monies held by the Agency;
- 3) Termination of the contract in part or in whole.

The Administrative Remedies shall not apply if the Contractor is able to demonstrate to the satisfaction of AVTA that it exercised good faith efforts in an attempt to meet the Contract DBE goal.

AVTA will bring to the attention of the FTA through the Civil Rights Officer, any false, fraudulent, or dishonest conduct in connection with the program, so that the FTA can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in Part 26.109. AVTA will also consider similar action under its own legal authority, including responsibility determinations in future contracts.

## VIII. CERTIFICATION STANDARDS

### **Unified Certification Program (UCP) (§26.81)**

AVTA requires all DBEs listed by Bidder/Proposers for participation to be certified as eligible DBEs at the time of bid/proposal submission. Only participation by DBEs certified under 49 CFR, Part 26 may be counted toward meeting the established contract-specific DBE goal. It is the responsibility of the Bidder/Proposers to verify DBE certification status of all listed DBEs.

AVTA is participating as a Non-Certifying Unified Certification Program (UCP) Member Agency. However, AVTA will accept **DBE Certifications** from the following **Certifying Member Agencies**, which certify the eligibility of DBEs in accordance with 49 CFR Part 26, under the State of California UCP:

#### **CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)**

Office of Business & Economic Opportunity - MS 79  
1823 - 14th Street  
Sacramento, CA 95814

Phone: (916) 324-1700 or (866) 810-6346

Fax: (916) 324-1862

[www.dot.ca.gov](http://www.dot.ca.gov)

**CITY OF LOS ANGELES**

Bureau of Contract Administration  
Centralized Certification Section  
1149 S. Broadway, Ste 300  
Los Angeles, CA 90015

Phone: (213) 847-2684

Fax: (213) 847-2777

<http://bca.lacity.org>

**LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (METRO)**

Diversity and Economic Opportunity Department  
One Gateway Plaza, MS 99-13-5  
Los Angeles, CA 90012

Phone: (213) 922-2600

Fax: (213) 922-7660

[www.metro.net](http://www.metro.net)

**CENTRAL CONTRA COSTA TRANSIT AUTHORITY (CCCTA)**

Office of Civil Rights  
2477 Arnold Industrial Way  
Concord, CA 94520-5327

Phone: (925) 676-1976

Fax: (925) 686-2630

[www.cccta.org](http://www.cccta.org)

**CITY OF FRESNO**

DBE Program  
2101 G Street, Building A  
Fresno, CA 93706

Phone: (559) 621-1153

Fax: (559) 488-1069

[www.fresno.gov](http://www.fresno.gov)

**S.F. BAY AREA RAPID TRANSIT DISTRICT (BART)**

Office of Civil Rights  
300 Lakeside Drive  
18th Floor  
Oakland, CA 94612

Phone: (510) 464-6195

Fax: (510) 464-7587

[www.bart.org](http://www.bart.org)

**SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)**

Contract Compliance Office  
San Francisco Municipal Railway  
1 South Van Ness Avenue, 6<sup>th</sup> Floor  
San Francisco, CA 94103

Phone: (415) 701-4436  
Fax: (415) 701-4347  
[www.sfmuni.com](http://www.sfmuni.com)

**SAN MATEO COUNTY TRANSIT DISTRICT (SAMTRANS)/  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)**

DBE Office  
1250 San Carlos Avenue  
San Carlos, CA 94070

Phone: (650) 508-7939  
Fax: (650) 508-7738  
[www.samtrans.com](http://www.samtrans.com)

**SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)**

Office of Small & Disadvantaged Businesses  
3331 North First Street, Bldg. A  
San Jose, CA 95134-1906

Phone: (408) 321-5962  
Fax: (408) 955-9729  
[www.vta.org](http://www.vta.org)

**YOLO COUNTY TRANSPORTATION DISTRICT (YOLOBUS)**

DBE Programs  
350 Industrial Way  
Woodland, CA 95776

Phone: (530) 661-0816  
Fax: (530) 661-1732  
[www.yolobus.com](http://www.yolobus.com)

## **IX. RECORDKEEPING AND MONITORING (§26.11 and 26.37)**

AVTA has developed a recordkeeping system as a mechanism for monitoring and tracking DBE contract awards and prime contractors' progress in attaining DBE goals by verifying actual payments made to committed DBEs throughout the performance of the contract.

Areas of identified non-compliance will be subject to administrative sanctions outlined in Section VII C.

Altogether, these records will document the following:

- 1) Procedures adopted by AVTA to comply with the U.S. DOT regulations.
- 2) Background documentation used to compile U.S. DOT reports, which includes the following data for each contract and subcontract award to a DBE:
  - i. Type of contract;
  - ii. Name and address of each DBE;
  - iii. The dollar amount of each contract and subcontract; and
  - iv. Reports from prime contractors and supplier with an accounting of actual expenditures to DBEs and the progress to date in meeting their DBE participation commitment.
- 3) Efforts made by AVTA to locate and make available contracting opportunities to DBEs and demonstrate good faith efforts to ensure fair participation of DBEs in all Agency contract opportunities, including the following:
  - i. Technical Assistance efforts and referrals made by the Agency on behalf of the DBE firms attempting to do business with AVTA.
  - ii. Outreach program efforts, including seminars, for DBEs.
  - iii. A file for each contract in which AVTA established DBE goals, outreached to DBEs, evaluated the successful competitor's compliance with the DBE goal, and monitored the contractor's performance to meet the DBE goal.

The standards of counting both race neutral and race conscious DBE participation toward a DBE goal imposed on competitors will also apply to AVTA when compiling the DBE reports for U.S. DOT and the Board of Directors.

A DBE may enter into subcontracts whose value may be counted towards its DBE goal. Where, however, a DBE subcontracts a significantly greater portion of the work than is usual according to industry practices, it is presumed not to be performing a commercially useful function and neither the value of the DBE contract nor lower tier subcontracts may be counted. The DBE may present evidence to AVTA to rebut this presumption.

**A. Bidders List (§26.11)**

AVTA has developed a mechanism to establish and maintain a bidders list consisting of all firms bidding on prime contracts, and bidding or quoting subcontracts on DOT assisted projects. The following information will be included in the bidders list:

1. Firm Name;
2. Address;
3. Years in Business;
4. Status as a DBE or non DBE;
5. Type of Work; and
6. Annual Range of Gross Receipts

**B. Monitoring Payments to DBEs (§26.37)**

AVTA shall monitor and enforce the prime contractor's compliance with the prompt payment provisions to ensure all contract terms and conditions are fully adhered to. Evidence of payment made to subcontractors must be provided at AVTA's request to verify compliance. Credit toward overall or contract goals will only be given upon satisfactory evidence that payments were actually made to DBEs. Failure to comply with these provisions or delay in payment without prior written approval from AVTA will constitute noncompliance, which will result in appropriate administrative sanctions, up to and including withholding of payment to the prime contractor.

It is the contractor's responsibility to maintain records and documents upon completion of the contract. These records will be made available for inspection upon request by any authorized representative of AVTA or U.S. DOT Operating Administration. This reporting requirement is also extended to any certified DBE subcontractor.

AVTA may perform interim audits of contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the report of proposed DBE participation.

**C. Reporting to DOT (§26.11)**

AVTA will submit to the applicable DOT Operating Administration the "Uniform Report of DBE Awards or Commitments and Payments" (Appendix B) semi-annually on June 1 and December 1 of each year. The June 1 report will include DBE activity from April 1 through September 30. This report presents a summary of DOT-assisted Prime Contracts and Subcontracts awarded or committed to as well as actual payments for contracts completed and the associated dollar value during this reporting period.

Upon request, AVTA will compile and submit ad hoc DBE contract award and progress reports for DOT-assisted projects. AVTA shall also periodically submit DBE progress reports to the Board of Directors.

Furthermore, AVTA will continue to provide reports about AVTA's DBE Program, as directed. These reports will provide DBE participation information on AVTA's race-neutral and gender-neutral contracts; race-conscious contracts; and the combined DBE participation on all DOT-assisted procurement activities.

## Attachment 1 - Organizational Chart

**ATTACHMENT 2 - DISADVANTAGED BUSINESS ENTERPRISE (DBE) GOOD FAITH EFFORTS DOCUMENTATION (GFE) FORM**

(Page 1 of 4)

Contractor's Name	IFB / RFP / RFQ Number	Date
-------------------	------------------------	------

**BIDDER/PROPOSER INSTRUCTIONS:** Submission of the **DBE GFE Documentation Form** may not provide sufficient documentation to demonstrate that adequate **GFE** was made by the bidder/proposer. Bidders/proposers proposing to meet advertised DBE goal attainment should always submit complete documentation for making **GFE** to protect its eligibility for award should AVTA, in its evaluation, find the **DBE** goal was not met. Examples of disqualification may include, but are not limited to: 1) A **DBE** subcontractor was not certified by Caltrans or another certifying agency under the California Unified Certification Program (CUCP), by the solicitation closing date and time; or 2) Bidder/proposer made a mathematical error resulting in failure to meet the DBE goal. Bidder/proposer must make an adequate GFE to be responsive. When applying for a determination of **GFE** when no DBE goals have been attained or when only partial goal(s) have been attained, bidder/proposers shall complete this **DBE Good Faith Efforts Documentation Form** and submit the requested information below with its bid/proposal by the solicitation closing date and time. **Bidder/Proposer is responsible to: (1) Ensure information provided is complete and accurate, and (2) Verify DBE certification information provided on the submitted form.**

**1. ADVERTISEMENT DOCUMENTATION**

List names and dates of each general circulation newspaper, trade paper and minority focused paper or other publication in which a request for **DBE** participation was placed. Attach a copy of the advertisements and proof of publication.

Title of Publication	Publication Date(s)	Title of Publication	Publication Date(s)

**2. DBE DOCUMENTATION**

- a. List the names and dates of written solicitation notices that were sent to **DBE** firms that were certified under the California Unified Certification Program (CUCP), which occurred under this procurement.
- b. List the dates and methods used for following up on initial notices sent to determine with certainty whether or not any of the **DBEs** contacted were interested in a contracting opportunity.
- c. Attach a copy of any solicitation package, phone records, fax and/or email confirmations or solicitation follow-up correspondence that were sent to **DBE** firms
- d. Identify any **DBE** firm and information that was sent to the bidder/proposer, which was in response to a notice that was sent under 2.c. above.

Check the appropriate box:       IFB       RFP       RFQ       RQ

<b>SOLICITATION</b>						
Date Mailed	Date Phoned	Date of Follow-Up	Follow-Up Method Phone/Mail	Name of Firm Solicited	Contact Name	Phone Number

Contractor's Name	IFB or RFP or RFQ or RQ Number	Date
-------------------	--------------------------------	------

**2. DBE DOCUMENTATION (CONTINUED)**

**SOLICITATION**

Date Mailed	Date Phoned	Date of Follow-Up	Follow-Up Method Phone/Mail	Name of Firm Solicited	Contact Name	Phone Number

**3. ITEMS OF WORK**

Identify the items of work made available to **DBE** firms, including, where appropriate, any breakdown of the contract work into economically feasible units to facilitate **DBE** participation. Bidder/Proposer shall demonstrate that sufficient work to facilitate DBE participation was made available to **DBE** firms.

ITEMS OF WORK:

BREAKDOWN OF WORK ITEMS:

Contractor's Name	IFB or RFP or RFQ or RQ Number	Date
-------------------	--------------------------------	------

**4. DBE RESPONSES**

List the **DBE** firms that responded or submitted bids/proposals to your solicitation for participation in this solicitation that were not accepted. Provide a summary of your discussions and/or negotiations with each firm, provide name of the firm selected for that portion of work, and the reasons for your choice. Attach copies of quotes from **DBE** firms that were contacted.

<b>SOLICITATION</b>							
DBE Firm Name	Phone Number	DBE/CUCP Certificate Number	Responded		Selected		Provide reason(s) for not-selecting a DBE firm and summary of discussions that took place.
			Yes	No	Yes	No	

**5. ASSISTANCE TO DBEs – Bonding, Insurance, etc.**

Identify efforts to assist **DBEs** in obtaining bonding, lines of credit, insurance, and/or any technical assistance related to requirements for the work or for plans and Specification provided to **DBEs**.

Contractor's Name	IFB / RFP / RFQ Number	Date
-------------------	------------------------	------

**6. ASSISTANCE TO DBEs – Equipment/Materials, etc.**

Identify efforts made to assist interested **DBEs** in obtaining necessary equipment, supplies, materials, or related assistance or services excluding supplies and equipment that the **DBE** subcontractor purchases or leases from the prime contractor or its affiliate(s).

**7. ADDITIONAL DATA**

Provide any additional data to support a demonstration of **GFE** such as contacts with **DBE** assistance agencies. Identify the names of agencies, organizations, and groups providing assistance in contacting, recruiting, and use of **DBE** firms for this project. Attach copies of requests to agencies and any responses received, i.e., lists, internet pages, etc.

Name of Agency/Organization	Methods/Date of Contact	Results

ATTACHMENT 3 - DISADVANTAGED BUSINESS ENTERPRISES (DBE) UTILIZATION REPORT FORM

(Page 1 of 2)

CONTRACT NUMBER:		Invoice Number:	Task Order Number: (if applicable)	Administering Department:		Start Date:	Completion Date:		
				Business Address:		Total Contract Amount: \$			
Prime Contractor's Name (print)						<b>Contract and Procurement and Contracts Officer                  Completes Section:</b> Total Federal Share Amount: \$                      or %			
Prime Contractor's Authorized Representative Name (print)									
Item No.	Description of Work Performed and Material Provided	Company Name and Business Address	DBE/CUCP Certification Number	Gender	Ownership Code(s)	Contract Payments		Date Work Complete	Payment Date
						DBE	Non-DBE		
						\$	\$		
						\$	\$		
						\$	\$		
						\$	\$		
						\$	\$		
						\$	\$		
						\$	\$		
Original Commitment		Ownership Codes: 1 = Black American                      6 = Caucasian 2 = Hispanic American                      7 = Woman 3 = Native American                      8 = Other 4 = Asian Pacific American                      9 = Not Applicable 5 = Subcontinent Asian American			TOTAL	\$	\$		
\$                      or                      %					Comments				
DBE									
\$                      or                      %									
Non-DBE									
List all Disadvantaged Business Enterprises (DBEs) and Subcontractors regardless of tier, whether or not the firms were originally listed for DBE goal credit. If actual DBE utilization (or item of work) was different than that approved at the time of award, provide comments. List actual amount paid to each firm/entity.									
<b>I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>									
Contractor Authorized Representative's Signature					Business Phone Number			Date	
<b>TO THE BEST OF MY INFORMATION AND BELIEF, THE ABOVE INFORMATION IS COMPLETE AND CORRECT</b>									
AVTA's Project Manager's Signature					Business Phone Number			Date	

Copy Distribution (Required): (1) Original: Procurement and Contracts Officer  
 (2) Copy: Prime Contractor.

**Contractor Instructions:**

The Disadvantaged Business Enterprises Utilization Report must be completed and submitted to the AVTA's Procurement and Contracts Officer with each invoice. Enter the Contract Number, Invoice Number, Task Order Number (if applicable), Start Date, Completion Date (Expiration Date), Prime Contractor Name, Prime Contractor Business Address, Total Contract Amount (as written on the Contract/Task Work Order).

This form has two columns for entering the dollar value for the item(s) of work performed or provided by the firm. The DBE column is used to enter the dollar value of work performed by subcontracting firms who are Certified DBE. The Non-DBE column is used to enter the dollar value of work performed only by Non- DBE firms.

DBE Prime Contractors are required to show the corresponding dollar value of work performed by their own forces.

To confirm the certification status of a DBE, access CalTrans DBE / California Unified Certification Program (CUCP) website at [http://www.dot.ca.gov/hq/bep/find\\_certified.htm](http://www.dot.ca.gov/hq/bep/find_certified.htm) or call them at 916-324-1700.

If a Contractor performing work as a DBE and becomes decertified and still performs work after the decertification date, enter the total value performed by this Contractor in the DBE column for the certification period and the remaining work or services (after decertification) in the Non-DBE column. If a Subcontractor performing work as a non-DBE on the project becomes certified as a DBE, enter the dollar value of all work performed after certification as a DBE in the appropriate column.

**Date work complete** column: Enter the date the Work and/or Task Order was completed for the respective pay period.

**Date of Payment** column: Enter the date when the Prime Contractor made the payment to the firm for the portion of work listed as being completed. DBE Prime Contractors are required to show the date of work performed by their own forces.

**Contractor's signature:** Contractor certifies that the information on the form is complete and correct.

**Contract and Procurement and Contracts Officer's Instructions:**

Review the form as submitted by the Contractor to ensure the form is complete and accurate. Once you receive the form from the Contractor, enter the total (or percent) of **Federal (only) dollars** (being used in the Agreement) on the form, then sign, date and report the totals to FTA twice a year, mid-April for October 1 through March 30 or each year and mid-October for April 1 through September 30 of each year.

**Attachment 4 – Code of Federal Regulations: 49 CFR, Subtitle A, Part 26**

See the complete federal regulations through the following link:

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title49/49cfr26\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title49/49cfr26_main_02.tpl)



42210 6<sup>TH</sup> STREET WEST  
LANCASTER, CA 93534

**Federal Transit Administration (FTA)  
Overall Disadvantage Business Enterprise (DBE)  
Goal-Setting Methodology**

**Fiscal Federal Years (FFY) 2016-2018  
Goal Period**

**October 1, 2015**

Submitted in fulfillment of:  
Title 49 Code of Federal Regulations Part 26

# TABLE OF CONTENTS

I.	INTRODUCTION.....	3
II.	BACKGROUND.....	3
III.	FTA-ASSISTED CONTRACTING PROGRAM FOR FFY 2016-2018.....	3
IV.	GOAL METHODOLOGY.....	5
	Step 1: Determination of a Base Figure .....	5
	Step 2: Adjusting the Base Figure.....	9
	A. Past DBE Goal Attainments .....	9
	B. AVTA Bidder’s List.....	9
	C. Other Available Evidence - CalTrans.....	10
	D. Other Available Evidence – Triennial Goals .....	10
V.	PROPOSED OVERALL DBE GOAL.....	10
VI.	RACE-NEUTRAL IMPLEMENTATION MEASURES .....	10
VII.	PUBLIC PARTICIPATION AND FACILITATION .....	12
	Attachment 1 – Los Angeles County Data .....	13
	Attachment 2 – Kern County Data .....	14

## **DBE GOAL METHODOLOGY**

### **I. INTRODUCTION**

Antelope Valley Transit Authority (AVTA) herein sets forth its Overall Disadvantaged Business Enterprise (DBE) Goal and corresponding federally prescribed goal-setting methodology for the three-year Federal Fiscal Year (FFY) goal period of 2016-2018 (October 1, 2015 through September 30, 2018), pursuant to Title 49 Code of Federal Regulations (CFR) Part 26 "Participation by Disadvantaged Business Enterprises in U.S. Department of Transportation Programs." The purpose of the DBE goal-setting process is to level the playing field so that DBEs can compete fairly for Department of Transportation-assisted contracts, however, the program must be narrowly tailored in accordance with applicable law.

### **II. BACKGROUND**

AVTA is a recipient of U.S. Department of Transportation (USDOT), Federal Transit Administration (FTA), funding. As a condition of receiving this assistance, AVTA signed an assurance that it will comply with FTA's DBE requirements. In accordance with Title 49 CFR Part 26 provisions: Participation by DBEs in USDOT Programs, AVTA is required to develop and submit a Triennial Overall DBE Goal for its FTA-assisted projects.

AVTA last developed their overall Federal Transit Administration (FTA) DBE goal in 2012, which the agency is using for federal fiscal years (FFYs) 2013 through 2015 (a goal of 11.95%). In accordance with 49 CFR Part 26, the United States Department of Transportation's (USDOT's) Tips for Goal-Setting, and other USDOT official guidance, Caltrans based its FYY 2016-2018 6.95% goal and methodology on an analysis of ready, willing, and able firms that bid on FTA-assisted contracts from 2011 through 2013 and on other relevant information.

AVTA herein presents its Overall DBE Goal Methodology for FFY 2016-18.

### **III. FTA-ASSISTED CONTRACTING PROGRAM FOR FFY 2016-2018**

Table 1 represents AVTA's FTA-assisted contracting program, which consists of projects considered in preparing this goal methodology. The projects, which include Construction, Professional Services and Materials/Supplies contracting opportunities, are anticipated to be awarded during the triennial period:

**Table 1 – AVTA FTA-Assisted Contracting Program**

PROJECT NAME	TOTAL ESTIMATED PROJECT COST	ESTIMATED FTA DOLLAR SHARE	ESTIMATED FTA % SHARE
Major Bus Components	\$450,000	\$360,000	80%
Motor Vehicle Body Manufacturing / Bus Refurbishments	\$2,519,000	\$2,141,150	85%
Support Vehicles	\$892,000	\$713,000	80%
Regional Partnership / Bus Stop Improvement Projects	\$1,265,000	\$1,012,000	80%
Digital Signage	\$140,000	\$105,000	80%
Facilities & Shop Equipment	\$943,000	\$754,400	80%
Technology and Software	\$195,000	\$156,000	80%
<b>TOTAL</b>	<b>\$6,404,000</b>	<b>\$5,242,150</b>	<b>80.71%</b>

Table 2 provides a summary of the categories of work with estimated cost breakdown for each. Categories of work are groups utilizing comparable North American Industry Classification System (NAICS) codes for purposes of weighting the categories of work based on the staff estimates.

**Table 2: Summary of Work Categories and Values by NAICS Code**

CATEGORY OF WORK	NAICS CODE	ESTIMATED FTA DOLLARS BY NAICS	ESTIMATED FTA % BY NAICS Code
Architectural Services	541310	\$228,000.00	4.4%
Administrative Management and General Management Consulting Services	541611	\$122,400.00	2.3%
Industrial Building Construction	236210	\$142,400.00	2.7%
Poured Concrete Foundation and Structure Contractors	238140	\$43,200.00	0.8%
Public Sidewalk Construction	237310	\$153,600.00	2.9%
Building and Property Specialty Trade Services - Asphalt Paving Contractor	238990	\$124,000.00	2.4%

Ornamental and Architectural Metal Work Manufacturing	332323	\$169,600.00	3.2%
Electrical Contractors	238210	\$28,800.00	0.5%
Electrical sign manufacturing	339950	\$105,000.00	2.0%
Motor Vehicle Merchant Wholesaler	423110	\$713,600.00	13.6%
Computer, Servers Manufacturing	334111	\$156,000.00	3.0%
Diesel Engine Manufacturing	333618	\$180,000.00	3.4%
New Engine Parts	423120	\$180,000.00	3.4%
Motor Vehicle Body Manufacturing / Bus Refurbishments	336211	\$2,141,150.00	40.8%
Plumbing, Heating, and Air Conditioning	238220	\$156,000.00	3.0%
Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers	423450	\$132,000.00	2.5%
Other Building Equipment Contractors	238290	\$56,000.00	1.1%
Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing	333112	\$20,000.00	0.4%
Elevator and Moving Stairway Manufacturing	333921	\$180,000.00	3.4%
Photographic and Photocopying Equipment Manufacturing (Large Format Printer)	333316	\$52,000.00	1.0%
Other Professional Equipment and Supplies Merchant Wholesalers	423490	\$116,000.00	2.2%
Other Commercial and Service Industry Machinery Manufacturing	333318	\$20,000.00	0.4%
Office Furniture (except Wood) Manufacturing	337214	\$22,400.00	0.4%
<b>TOTAL</b>		<b>\$5,242,150</b>	<b>100%</b>

#### IV. GOAL METHODOLOGY

##### Step 1: Determination of a Base Figure (26.45)<sup>1</sup>

To establish AVTA's Base Figure of the relative availability of DBEs relative to all comparable firms (DBE and Non-DBE) available to bid or submit proposals on AVTA's FTA-assisted contracting opportunities projected to be solicited during the triennial goal period,

<sup>1</sup> 26.45 represents Title 49 CFR Part 26 regulatory goal setting methodology reference.

AVTA followed the prescribed federal methodology to determine relative availability. This was accomplished by assessing the *California Unified Certification Program (CUCP) DBE Database of Certified Firms* and the *2013 U.S. Census Bureau County Business Patterns Database* within AVTA's market area, defined as Los Angeles County (Table 3a) and Kern County (Table 3b) for each of the categories of work defined in Table 2.

AVTA's local market for contracts consists of a geographic area that:

- is where a large majority of contracting dollars is expended, and
- is where a substantial number of contractors and subcontractors are located and available to submit bids or quotes.

In accordance with the formula listed below, the Base Figure is derived by:

- dividing the number of ready, willing and able DBE firms identified for each NAICS work category by the number of all firms identified within AVTA's market area for each corresponding work category (*relative availability*),
- weighting the relative availability for each work category by the corresponding work category weight from Table 2 (*weighted ratio*), and
- adding the weighted ratio figures together.

$$\text{Base Figure} = \sum \frac{(\text{Number of Ready, Willing and Able DBEs})}{(\text{Number of All Ready, Willing and Able Firms})} \times \text{weighted ratio}$$

Source of data:

⇒ For the numerator: *CUCP DBE Database of Certified Firms*

⇒ For the denominator: *2013 U.S. Census Bureau County Business Patterns Database*

A concerted effort was made to ensure that the scope of businesses included in the numerator were as close as possible to the scope included in the denominator. For corresponding detail of all work category classifications, refer to Attachments 1 and 2.

The result of the Base Figure calculation for Los Angeles County is 7.04%, as shown in Table 3a, as follows:

**Table 3a – Los Angeles County**

CATEGORY OF WORK	DBES	ALL FIRMS	CATEGORY WEIGHT	WEIGHTED RATIO
Architectural Services	113	900	4.4%	0.01
Administrative Management and General Management Consulting Services	599	2	2.3%	6.89
Industrial Building Construction	113	69	2.7%	0.04
Poured Concrete Foundation and Structure Contractors	23	183	0.8%	0.00
Public Sidewalk Construction	180	79	3.0%	0.07
Building and Property Specialty Trade Services - Asphalt Paving Contractor	147	496	2.4%	0.01
Ornamental and Architectural Metal Work Manufacturing	17	70	3.2%	0.01
Electrical Contractors	126	1,679	0.5%	0.00
Electrical sign manufacturing	14	135	2.0%	0.00
Motor Vehicle Merchant Wholesaler	3	774	13.6%	0.00
Computer, Servers Manufacturing	1	14	3.0%	0.00
Diesel Engine Manufacturing	1	15	3.4%	0.00
New Engine Parts	12	862	3.4%	0.00
Motor Vehicle Body Manufacturing / Bus Refurbishments	0	23	40.9%	0.00
Plumbing, Heating, and Air Conditioning	55	1,999	3.0%	0.00
Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers	11	320	2.5%	0.00
Other Building Equipment Contractors	14	149	1.1%	0.00
Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing	0	5	0.4%	0.00
Elevator and Moving Stairway Manufacturing	1	6	3.4%	0.01
Photographic and Photocopying Equipment Manufacturing	0	34	1.0%	0.00
Other Professional Equipment and Supplies Merchant Wholesalers	9	73	2.2%	0.00
Other Commercial and Service Industry Machinery Manufacturing	2	49	0.4%	0.00
Office Furniture (except Wood) Manufacturing	2	15	0.4%	0.00
<b>Base Figure (i.e., Sum of Weighted Ratios for all Work Categories)</b>	<b>1443</b>	<b>7951</b>	<b>100%</b>	<b>7.04%</b>

The results for Kern County are shown in Table 3b, as follows:

**Table 3b – Kern County**

CATEGORY OF WORK	DBES	ALL FIRMS	CATEGORY WEIGHT	WEIGHTED RATIO
Architectural Services	73	15	4.4%	0.21
Administrative Management and General Management Consulting Services	375	104	2.3%	0.08
Industrial Building Construction	71	7	2.7%	0.27
Poured Concrete Foundation and Structure Contractors	10	21	0.8%	0.00
Public Sidewalk Construction	138	15	3.0%	0.28
Building and Property Specialty Trade Services - Asphalt Paving Contractor	118	58	2.4%	0.05
Ornamental and Architectural Metal Work Manufacturing	14	0	3.2%	0.00
Electrical Contractors	68	122	0.5%	0.00
Electrical sign manufacturing	10	130	2.0%	0.00
Motor Vehicle Merchant Wholesaler	3	7	13.6%	0.06
Computer, Servers Manufacturing	1	1	3.0%	0.03
Diesel Engine Manufacturing	1	1	3.4%	0.03
New Engine Parts	9	24	3.4%	0.01
Motor Vehicle Body Manufacturing / Bus Refurbishments	0	4	40.9%	0.00
Plumbing, Heating, and Air Conditioning	26	130	3.0%	0.01
Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers	7	7	2.5%	0.03
Other Building Equipment Contractors	8	9	1.1%	0.01
Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing	0	0	0.4%	0.00
Elevator and Moving Stairway Manufacturing	0	0	3.4%	0.00
Photographic and Photocopying Equipment Manufacturing	0	0	1.0%	0.00
Other Professional Equipment and Supplies Merchant Wholesalers	8	0	2.2%	0.00
Other Commercial and Service Industry Machinery Manufacturing	2	0	0.4%	0.00
Office Furniture (except Wood) Manufacturing	2	1	0.4%	0.01
<b>Base Figure (i.e., Sum of Weighted Ratios for all Work Categories)</b>	<b>944</b>	<b>656</b>	<b>100%</b>	<b>1.09%</b>

## Step 2: Adjusting the Base Figure

Upon establishing the Base Figure, AVTA reviewed and assessed other known evidence potentially impacting the relative availability of DBEs within the market area, including data for Kern County (Table 3b), in accordance with prescribed narrow tailoring provisions as set forth under 49 CFR Part 26.45: Step 2, *DBE Goal Adjustment Guidelines*.

Evidence considered in making adjustments to the Base Figure included Past DBE Goal Attainments and Other Evidence, as follows:

### A. Past DBE Goal Attainments

Table 4 reflects the demonstrated capacity of DBEs (measured by actual historical DBE participation attainments) on FTA-assisted contracts awarded by AVTA within the last three (3) federal fiscal years.

**Table 4**

FEDERAL FISCAL YEAR (FFY)	FTA DBE GOAL ATTAINMENT %
2012/13	0%
2013/14	.09%
2014/15*	0%
<b>Median DBE Attainment Within the Last Three (3) Years</b>	<b>.03%</b>

\* Data available through March 31, 2015.

Because the median established for the past three years was derived from limited participation of DBEs in the most northerly part of Los Angeles County and the most southeastern part of Kern County, it is significantly lower than the Base Figure derived from Step 1. Also, since the Kern County rate is substantially lower than LA County's rate, AVTA will use the higher LA County rate of 7.004% as its beginning base rate. All of the available evidence in AVTA's jurisdiction has been examined and suggests that an adjustment to the base figure is appropriate, due to the low level of DBE participation, based on AVTA's geographical location. Therefore, a downward adjustment of .04% shall be made, resulting in a total goal of 7.00 percent.

### B. AVTA Bidder's List

AVTA will continue to capture Bidders List information for the identification and potential use in meeting future DBE goal determinations.

**C. Other Available Evidence - CalTrans**

AVTA is aware of a Caltrans disparity study and established goal of 6.95% within their jurisdiction and/or market area to consider in this step of the goal setting analysis.

**D. Other Available Evidence – Triennial Goals**

AVTA’s Triennial Goal for 2016-2018 included duplication of ready, willing and able DBE firms. Further, the 2016-2018 goal methodology used in Los Angeles and Kern Counties and their market area also accurately represent firms ready, willing, and able to work on AVTA’s projects. AVTA is not in possession of any other information that would have any other impact on the DBE goal assessment.

**V. PROPOSED OVERALL DBE GOAL**

**The Final Proposed Overall DBE Goal for FFY 2016-2018 for AVTA’ FTA-assisted contracts is 7.00%.** The DBE Goal based on the federal share is a Race Neutral goal and AVTA will implement race neutral measures to achieve this goal, as generally described in the following section. As a part of the prescribed goal-setting methodology, AVTA must project the percentage of its Proposed Overall DBE Goal that can be met utilizing race-neutral and race-conscious measures.

**Race-Conscious & Race-Neutral Projection**

The AVTA’s DBE goal attainment data, which results in a .03% median for the past three years (as shown in Table 4), demonstrates that AVTA is able but DBE participation was limited and the goal wasn’t met through race neutral means. AVTA intends to continue to use race-neutral methods to meet the overall DBE goal of 7.00% for FFY 2016-2018 in accordance with Title 49 CFR Part 26.51.

<b>RACE-CONSCIOUS &amp; RACE-NEUTRAL PROJECTIONS</b>	
<b>Race-Conscious Component</b>	<b>0.0%</b>
<b>Race-Neutral Component</b>	<b>7.00%</b>

**VI. RACE-NEUTRAL IMPLEMENTATION MEASURES**

AVTA is currently implementing a number of race- and gender-neutral remedies to outreach and promote the participation of DBEs and small businesses in AVTA’ FTA-assisted contracting program. AVTA plans to continue or implement the following race-neutral measures for FFY 2016-2018 and will continue to explore other options for consideration based on AVTA’ success in meeting its overall DBE goals based on these efforts:

- AVTA will encourage DBE and other small business contracting community to register and receive solicitation notices through its new on-line procurement website: <https://www.planetbids.com/portal/portal.cfm?CompanyID=25014> .
- AVTA will host and participate in workshops for the DBE and small business contracting community. AVTA will attend and participate in vendor fairs hosted by unrepresented groups and other public agencies.
- AVTA will unbundle solicitations, provide pre-bid/pre-proposal conferences to afford networking opportunities for primes and subcontractors. AVTA will promote and encourage teaming opportunities between prospective prime contractors and the DBE and small business contracting community. Arrange solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate DBE and other small business participation.
- Structure solicitations to remove barriers such as the inability to obtain bonding or financing (e.g., by such means as simplifying the bonding process, reducing bonding requirements, eliminating the impact of surety costs from bids, and providing services to help DBEs, and other small businesses, obtain bonding and financing).
- AVTA will solicit DBEs and other small businesses participation by carrying out information programs through use of advertisement and other communication methods on contracting procedures and specific contract opportunities (e.g., ensuring the inclusion of DBEs, and other small businesses, on recipient mailing lists of bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors; provision of information in languages other than English, where appropriate).
- As a supportive service to help develop and improve immediate and long-term business management, record keeping, and financial and accounting capability for DBEs and other small businesses, AVTA will actively promote the small business conferences, programs, and support services offered by other agencies that have established DBE and other small business programs. AVTA will also begin conducting “How to do Business with AVTA” and DBE workshops.
- AVTA will advise its contracting community of the online directory of certified DBEs, found at the California Unified Certification Program website: [www.CaliforniaUCP.com](http://www.CaliforniaUCP.com) .
- AVTA will also advise the contracting community of the available small businesses certified by the California Department of General Services (DGS) and found at the following <http://www.dgs.ca.gov/pd/Programs/eprocure.aspx> .
- AVTA will advise the DBE and small business community to participate in Caltrans’ related bidding/proposal opportunities at <http://www.dot.ca.gov/hq/esc/oe/>. AVTA will

also encourage DBEs and small businesses to seek the assistance and training through the U.S. Small Business Administration at [www.sba.gov](http://www.sba.gov) .

### **Fostering Small Business Participation<sup>2</sup>**

AVTA has implemented several strategies to foster small business participation in its contracting process. These include the following:

- Advertise and push out solicitation notifications thru AVTA's new procurement system website.
- Conducting "How to do Business with AVTA" and DBE workshops.
- On larger prime contracts requiring the prime contractor to consider subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform, rather than self-performing all the work involved.
- Identifying alternative acquisition strategies and structuring procurements to facilitate the ability of consortia or joint ventures consisting of small businesses, including DBEs, to compete for and perform prime contracts.
- Ensuring that a reasonable number of prime contracts are of a size that small businesses, including DBEs, can reasonably perform.
- Provide outreach to current AVTA contractors or past AVTA contractors who may qualify for DBE-certification by encouraging them to seek and obtain DBE-certification.

## **VII. PUBLIC PARTICIPATION AND FACILITATION**

In accordance with Public Participation Regulatory Requirements of Title 49 CFR Part 26, minority, women, local business associations, and community organizations within the AVTA market area will be consulted and provided an opportunity to review the triennial goal analysis and provide input. AVTA will prepare Outreach Consultation Letters advising the aforementioned business community of the proposed DBE goal analysis and its availability for review and comment.

AVTA plans to issue a Public Notices in general circulation media and minority focused media publishing the AVTA Draft Proposed FTA Overall DBE Goal-Setting Methodology for FFY 2016-FFY 2018. The notices would inform the public that the proposed goal and rationale are available for inspection at AVTA' principal office during normal business hours for 30 days following the date of the Public Notice, and that AVTA would accept comments on the goal analysis for 45 days from the date of the Public Notice. AVTA will give full consideration to all comments and input received as a part of this process and will assess its impact on the goal-setting methodology.

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<sup>2</sup> See Title 49 CFR Part 26 Section 26.39 "Fostering Small Business Participation."

## Attachment 1 – Los Angeles County Data

CATEGORY OF WORK	NAICS CODES	DBES / NUMERATOR	ALL FIRMS / DENOMINATOR
Architectural Services	541310	113	900
Administrative Management and General Management Consulting Services	541611	599	2
Industrial Building Construction	236210	113	69
Poured Concrete Foundation and Structure Contractors	238140	23	183
Public Sidewalk Construction	237310	180	79
Building and Property Specialty Trade Services - Asphalt Paving Contractor	238990	147	496
Ornamental and Architectural Metal Work Manufacturing	332323	17	70
Electrical Contractors	238210	126	1,679
Electrical sign manufacturing	339950	14	135
Motor Vehicle Merchant Wholesaler	423110	3	774
Computer, Servers Manufacturing	334111	1	14
Diesel Engine Manufacturing	333618	1	15
New Engine Parts	423120	12	862
Motor Vehicle Body Manufacturing / Bus Refurbishments	336211	0	23
Plumbing, Heating, and Air Conditioning	238220	55	1,999
Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers	423450	11	320
Other Building Equipment Contractors	238290	14	149
Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing	333112	0	5
Elevator and Moving Stairway Manufacturing	333921	1	6
Photographic and Photocopying Equipment Manufacturing	333316	0	34
Other Professional Equipment and Supplies Merchant Wholesalers	423490	9	73
Other Commercial and Service Industry Machinery Manufacturing	333318	2	49
Office Furniture (except Wood) Manufacturing	337214	2	15
		<b>1,443</b>	<b>7,951</b>

## Attachment 2 – Kern County Data

CATEGORY OF WORK	NAICS CODES	DBES / NUMERATOR	ALL FIRMS / DENOMINATOR
Architectural Services	541310	73	15
Administrative Management and General Management Consulting Services	541611	375	104
Industrial Building Construction	236210	71	7
Poured Concrete Foundation and Structure Contractors	238140	10	21
Public Sidewalk Construction	237310	138	15
Building and Property Specialty Trade Services - Asphalt Paving Contractor	238990	118	58
Ornamental and Architectural Metal Work Manufacturing	332323	14	0
Electrical Contractors	238210	68	122
Electrical sign manufacturing	339950	10	130
Motor Vehicle Merchant Wholesaler	423110	3	7
Computer, Servers Manufacturing	334111	1	1
Diesel Engine Manufacturing	333618	1	1
New Engine Parts	423120	9	24
Motor Vehicle Body Manufacturing / Bus Refurbishments	336211	0	4
Plumbing, Heating, and Air Conditioning	238220	26	130
Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers	423450	7	7
Other Building Equipment Contractors	238290	8	9
Lawn and Garden Tractor and Home Lawn and Garden Equipment Manufacturing	333112	0	0
Elevator and Moving Stairway Manufacturing	333921	0	0
Photographic and Photocopying Equipment Manufacturing	333316	0	0
Other Professional Equipment and Supplies Merchant Wholesalers	423490	8	0
Other Commercial and Service Industry Machinery Manufacturing	333318	2	0
Office Furniture (except Wood) Manufacturing	337214	2	1
		<b>944</b>	<b>565</b>



**Regular Meeting of the Board of Directors**

**Tuesday, August 25, 2015**

**10:00 a.m.**

Antelope Valley Transit Authority Community Room  
42210 6<sup>th</sup> Street West, Lancaster, California  
www.avta.com

**UNOFFICIAL MINUTES**

**CALL TO ORDER**

Chairman Crist called the meeting to order at 10:01 a.m.

**PLEDGE OF ALLEGIANCE**

Director Flanagan led the Pledge of Allegiance.

**ROLL CALL:**

Present

Chairman Marvin Crist  
Vice Chair Dianne Knippel  
Director Steve Hofbauer  
Director Fred Thompson  
Director Angela Underwood-Jacobs  
Director Michelle Flanagan

**APPROVAL OF AGENDA**

**Motion: Approve the agenda as comprised.**

Moved by Vice Chair Knippel, seconded by Director Underwood-Jacobs

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**PUBLIC BUSINESS – AGENDIZED AND NON-AGENDIZED ITEMS:**

Jerel Arbaugh – stated that the Route 15 often runs late, several buses are breaking down, TAP card vendors are not loading the senior discount pass, and there is a misprint on the bus schedules – bus stop at 47<sup>th</sup> St. E. and Avenue S.

Michael Rives – stated that the application for the Senior Annual Pass Program is too complicated

Thomas Difillipi – expressed concerns regarding the riders’ safety at the Lancaster Metrolink station and bus stops, especially at night.

**SPECIAL REPORTS and PRESENTATIONS (SRP):**

**SRP 1 PRESENTATION OF TRANSDEV OPERATOR OF THE MONTH AND EMPLOYEE OF THE MONTH FOR JULY 2015**

Transdev General Manager Hector Fuentes presented plaques to the Employee of the Month Leativa Briscoe and the Operator of the Month Maria Lopez.

**SRP 2 FEDERAL LEGISLATIVE UPDATE FOR AUGUST 2015**

Grants Administrator Judy Fry provided an update regarding the Highway Trust Fund bill. The Board discussed why the competition is so fierce for Transportation Investment Generating Economic Recovery (TIGER) grant funds. Ms. Fry responded that although the TIGER grant focuses on large-scale projects, it gives smaller agencies a competitive edge when applying for funding to complete larger projects. Executive Director Len Engel added that staff is collaborating with the 100-Bus Coalition, a group that advocates legislation for transit systems that operate fewer than 100 buses on fixed-route service during peak hours.

**SRP 3 STATE LEGISLATIVE UPDATE FOR AUGUST 2015**

Director of Communications Wendy Williams reported on Cap & Trade Allocations, Diesel Sales and Use Tax Increase, High Speed Rail Funding restrictions, and CA Clean Truck, Bus, Off-Road Vehicle, and Equipment Technology Program. There was no discussion regarding this item.

**SPR 4 FISCAL YEAR 2015 (FY15) KEY PERFORMANCE INDICATORS (KPI) REPORT ENDING JUNE 30, 2015**

Senior Planning Officer presented the report and Ms. Williams clarified the Senior Annual Pass Program. Vice Chair Knippel requested the FY14 versus FY15 comparison information for farebox recovery ratio.

**Motion: Receive and file the FY15 KPI report for the period ending June 30, 2015.**

Moved by Vice Chair Knippel, seconded by Director Flanagan

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**CONSENT CALENDAR (CC):**

**CC 1 BOARD OF DIRECTORS MEETING MINUTES FOR JULY 28, 2015**

Approve the Board of Directors Meeting Minutes for July 28, 2015.

**CC 2 FINANCIAL REPORTS FOR JUNE AND JULY 2015**

Receive and file the financial reports for June and July 2015.

**CC 3 FY15 FOURTH QUARTER CAPITAL RESERVES REPORT (APRIL 1, 2015 – JUNE 30, 2015)**

Receive and file the FY15 Fourth Quarter Capital Reserves Report for the period of April 1, 2015 – June 30, 2015.

**CC 4 GRANT STATUS REPORT UPDATE THROUGH AUGUST 19, 2015**

Receive and file the Grant Status Report for the period through August 19, 2015.

**CC 5 FY15 FOURTH QUARTER LOS ANGELES COUNTY SHERIFF'S DEPARTMENT (LASD) REPORT (MARCH 1, 2015 – JUNE 30, 2015)**

Receive and file the FY15 Fourth Quarter LASD Report for the period of March 1, 2015 through June 30, 2015.

**Motion: Approved the Consent Calendar.**

Moved by Vice Chair Knippel, seconded by Director Underwood-Jacobs

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**NEW BUSINESS (NB):**

**NB 1 CONTRACT EXTENSION FOR CONTRACT #2011-032 FOR FIXED ROUTE TRANSIT OPERATIONS AND MAINTENANCE SERVICES**

Mr. Engel presented the staff report. There was no discussion regarding this item.

**Motion: Authorize the Executive Director to negotiate and execute an extension to Contract #2011-032 for fixed route operations and maintenance services to Transdev effective January 1, 2016.**

Moved by Vice Chair Knippel, seconded by Director Flanagan

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**NB 2 AWARD CONTRACT #2016-02 TO MJS CONSTRUCTION, INC., FOR AVTA BUS STOP IMPROVEMENT PROGRAM IN THE COUNTY OF LOS ANGELES, PHASE 2**

Procurement and Contracts Officer Lyle Block presented the staff report. The Board discussed possibly redesigning the benches to deter non-riders from loitering at the bus stops. They directed staff to obtain the jurisdictions' loitering ordinance, develop language to post at the bus stops, and provide an update at the September 22, 2015 Board of Directors meeting.

Addressing the Board on this matter:

Michael Rives – thanked the Board for the new bus shelters and benches.

**Motion: Authorize the Executive Director to execute Contract #2016-02 for the AVTA Bus Stop Improvement Program in the County of Los Angeles, Phase 2, to MJS Construction, Inc. Palmdale, CA for the amount of \$139,475.00, plus applicable permit fees and sales tax.**

Moved by Vice Chair Knippel, seconded by Director Flanagan

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**NB 3 AWARD CONTRACT #2016-14 TO CALSTART, INC. FOR PROJECT ASSISTANCE, MONITORING AND DATA COLLECTION FOR THE TRANSIT AND INTERCITY RAIL CAPITAL PROGRAM PROJECT**

Mr. Engel presented the staff report. There was no discussion regarding this item.

**Motion: Authorize the Executive Director to execute Contract #2016-14 for project assistance, monitoring and data collection with CALSTART, Inc. of Pasadena, CA for the amount of \$385,000.**

Moved by Vice Chair Knippel, seconded by Director Hofbauer

Vote: Motion carried (6-0-0-0)

Yeas: Chairman Crist, Vice Chair Knippel, Directors Hofbauer, Thompson, Underwood-Jacobs, and Flanagan

Nays: None

Abstain: None

Absent: None

**REPORTS AND ANNOUNCEMENTS (RA):**

RA 1 Report by the Executive Director – Len Engel

- The Senior Subsidy Program will begin September 1, 2015.
- Mr. Engel will co-chair the Antelope Valley Board of Trade Transportation Committee meetings.
- He is attending the BusCon Expo September 29 and 30 in Indianapolis, IN to speak about AVTA's electric bus program and the recently awarded \$24 million grant.
- New graphics will be installed on the bus shelter at the Antelope Valley Mall.
- Interviews for general counsel - legal services will be held on September 9.

**MISCELLANEOUS BUSINESS – NON-AGENDA BOARD OF DIRECTORS ITEMS:**

There was no miscellaneous business – non-agenda Board of Directors items presented.

**ADJOURNMENT:**

Chairman Crist adjourned the meeting at 10:49 a.m. to the next Regular meeting of the Board of Directors on September 22, 2015 at 10:00 a.m. in the Antelope Valley Transit Authority Community Room, 42210 6<sup>th</sup> Street West, Lancaster, California.

PASSED, APPROVED, and ADOPTED this 22<sup>nd</sup> day of SEPTEMBER 2015.

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Marvin Crist, Chairman

ATTEST:

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Karen Darr, Clerk of the Board



**DATE:** September 22, 2015  
**TO:** BOARD OF DIRECTORS  
**SUBJECT:** Financial Reports for July and August 2015

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#### **RECOMMENDATION**

Receive and file the Fiscal Year-to-Date Budget versus Actual report dated July 31, 2015 (Attachment A); the Interim Financial Statements for the one months ended July 31, 2015 (Attachment B); the Cash Flow Projection/Treasurer's report for the month ended July 31, 2015 (Attachment C); the Payroll History Report for the three months ended August 31, 2015 (Attachment D); the Cash Disbursements Report for the month ended August 31, 2015 (Attachment E).

#### **FISCAL IMPACT**

Payroll: August payroll of \$186,983 represents a decrease of \$24,988 or 11.8% from July to August, for the Executive Director's pay.

Cash Disbursements: \$1,553,192.

Interim Financial Statements: Change in Net Assets: (\$1,688,408), which includes July depreciation expense of \$495,314.

#### **BACKGROUND**

To comply with the provisions required by Sections 37202, 37208 and 6505.5 of the Government Code, the Director of Finance prepares the Budget versus Actual Report,

Interim Financial Statements, Cash Flow Projection/Treasurer's Report, Payroll History report and Cash Disbursement report, and submits them to the Executive Director/Treasurer who certifies the availability of funds for all the reports presented herein. These reports are hereby submitted to the Board of Directors for ratification.

AVTA's gross payroll for employees for the month of August 2015, exclusive of benefits, payroll taxes and service charges, is shown below:

Payroll Period	Amount	Journal #
07/26/15-08/08/15	\$93,381.29	PYPKT00709
08/09/15-08/22/15	\$93,601.25	PYPKT00711
<b>Gross Pay, Aug 2015</b>	<b>\$186,982.54</b>	

The Register of Demands authorized the issuance of warrants in the following amount:

Register Date	Amount
08/01 - 08/31/15	\$1,553,192.23

Large Items include Transdev (Local and Commuter invoice for July, 2015) - \$1,148,304, IntelliRide (DAR invoice for July, 2015) - \$100,712, Pinnacle Petroleum, Inc. (Fuel) - \$68,976, Arrow Engineering Svc. (task order) - \$55,492, TransTrack (Annual software maintenance) - \$32,580, and Southern California Gas Company (Bills for 8 months) - \$27,179. These items comprise 92.3% of total expenditures for the month.

As of July 2015, the total cash per the general ledger is \$14,892,525. After deducting restricted funds, the operating cash balance is \$4,704,529. The net of receivables inflows and accounts payables outflows is projected to be a net use of cash of (\$522,062); the total expected cash available for operations in the next 30 days is \$4,182,467. The available cash is equal to 2.3 times the Authority's average monthly cash requirement of \$1.8 million

**BUDGET TO ACTUAL SUMMARY NARRATIVE (OPERATING FUNDS)**

Attachment A – Budget to Actual Report (BAR) shows the result for the one month ended July 31, 2015 (unaudited).

Net Income (net of depreciation) was favorable to budget by \$96K.

Revenues were unfavorable to budget by \$67K.

FTA 5307 funds for operating assistance of \$1.6M has not been accrued in July, will be starting in August.

Expenses were favorable to budget by \$174K.

Fuel expense continues to be less than budget, and JARC expense has not been incurred yet.

**I, Len Engel, Executive Director of AVTA, declare that the attached reports are accurate and correct.**

Prepared by:

Submitted by:

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Colby Konisek  
Director of Finance

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Len Engel  
Executive Director

Attachments: A – Budget versus Actual Report as of July 31, 2015  
B – Interim Financial Statements as of July 31, 2015  
C – Cash Projection/Treasurer’s Report for July 31, 2015  
D – Payroll History Comparison Report (June, 2015 - August, 2015)  
E – Cash Disbursements Report (August 1 - August 31, 2015)

**ANTELOPE VALLEY TRANSIT AUTHORITY**  
**BUDGET VERSUS ACTUAL INCOME STATEMENT**  
**YEAR TO DATE - JULY 31, 2015**

REVENUE	BUDGET JULY	ACTUAL JULY	YTD VARIANCE
Fare Revenue	\$ 427,124	\$ 385,003	(\$42,121)
MTA Funds	703,796	720,769	16,973
FTA Funds	551,518	484,224	(67,294)
Jurisdictional Contributions	274,486	279,453	4,967
Other (SCE Rebates, Adv.)	35,478	45,107	9,629
<b>TOTAL REVENUE</b>	<b>1,992,403</b>	<b>1,914,557</b>	<b>(77,846)</b>
<b>EXPENDITURES</b>			
Contract Services	1,178,109	1,211,642	(33,533)
Fuel	252,580	177,564	75,016
Other Operating	70,205	30,111	40,095
Salaries and Wages	209,385	192,383	17,002
Benefits	90,945	75,640	15,305
Legal	9,580	3,000	6,580
Consulting	24,990	22,506	2,484
Advocacy	15,617	0	15,617
Travel	5,600	2,059	3,541
IT Maintenance/Licenses	48,906	36,732	12,174
Utilities	12,498	13,556	(1,057)
Administration	78,637	57,939	20,698
<b>TOTAL EXPENDITURES</b>	<b>1,997,052</b>	<b>1,823,131</b>	<b>173,921</b>
<b>INCOME(LOSS)</b>	<b>(4,648)</b>	<b>91,426</b>	<b>96,075</b>

**ANTELOPE VALLEY TRANSIT AUTHORITY**  
**BUDGET VERSUS ACTUAL INCOME STATEMENT BY DEPARTMENT**  
**YEAR TO DATE - JULY 31, 2015**

REVENUE	BUDGET JULY	ACTUAL JULY	YTD VARIANCE
<b>COMPANY WIDE REVENUE</b>	<u>1,992,403</u>	<u>1,914,557</u>	<u>(77,846)</u>
<b>EXPENDITURES/DEPARTMENT</b>			
1EX --- Executive	138,011	78,795	59,215
2FF --- Facility and Maintenance	1,630,005	1,569,703	60,302
3FS --- Finance Service	112,763	105,378	7,385
5CS --- Customer Service	116,273	69,255	47,019
1ZZ --- Company Wide w/o Depreciation	(0)	0	(0)
<b>TOTAL EXPENDITURES FOR ALL DEPARTMENTS</b>	<u>1,997,051</u>	<u>1,823,131</u>	<u>173,921</u>
<b>INCOME(LOSS)</b>	<u>(4,648)</u>	<u>91,426</u>	<u>96,075</u>



## STATEMENT OF NET POSITION - UNAUDITED

	As of July 31, 2015	As of July 31, 2014
<b>ASSETS</b>		
<b>CURRENT ASSETS</b>		
Cash and cash equivalents	\$ 14,892,525	\$ 24,745,990
Due from other governments	9,275,599	2,362,966
Other receivables	178,338	212,895
Inventory	240,334	237,783
Prepaid items	308,527	311,507
Total Current Assets	24,895,324	27,871,141
<b>NONCURRENT ASSETS</b>		
Capital assets, net of depreciation	49,965,473	48,341,066
Total Assets	74,860,797	76,212,207
<b>LIABILITIES AND NET ASSETS</b>		
<b>CURRENT LIABILITIES</b>		
Accounts payable	1,375,354	2,495,263
Due to Federal Transit Administration	-	-
Accrued payroll	(2,027)	(3,467)
Compensated absences	346,070	322,034
Deferred Revenue - Prop 1B	1,339,186	2,328,040
Total Current Liabilities	3,058,583	5,141,870
<b>Deferred inflows of resources</b>		
Unearned Revenue	217,200	545,874
Total Liabilities	3,275,784	5,687,744
<b>NET POSITION</b>		
Invested in Capital Assets	49,965,473	48,341,066
Restricted for Capital Acquisition	5,379,306	4,905,369
Unrestricted	16,240,235	17,278,028
Total Net Assets	\$ 71,585,014	\$ 70,524,463



**STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS - UNAUDITED**  
**GOVERNMENT AUDITING STANDARDS PRESENTATION**  
 (INCLUDING DEPRECIATION EXPENSE)

	For the 1 Months ending July 31, 2015	For the 1 Months ending July 31, 2014
<b>OPERATING REVENUES</b>		
Charges for services:		
Passenger fares	\$ 385,003	\$ 402,958
Total operating revenues	<u>385,003</u>	<u>402,958</u>
<b>OPERATING EXPENSES</b>		
Purchased transportation services:		
Outside transit contract	1,211,642	1,143,341
Fuel	177,564	256,417
Other operating costs	68,356	28,981
General and administrative	365,569	330,674
Total operating expenses, net of depreciation	<u>1,823,131</u>	<u>1,759,413</u>
Operating gain/(loss), net of depreciation	(1,438,128)	(1,356,455)
Depreciation	495,314	440,403
Total operating expenses	<u>2,318,445</u>	<u>2,199,816</u>
Operating gain/(loss)	<u>(1,933,442)</u>	<u>(1,796,858)</u>
<b>NONOPERATING REVENUES/(EXPENSES)</b>		
Interest Income	232	411
Local grants - MTA	720,769	694,664
Proposition 1B	-	-
Federal non-capital grants	484,224	455,066
Member agency contributions	279,453	307,018
Grantable expenses	(1,377,591)	(14,870)
Gain/(Loss) on sale of capital assets	9,372	-
Other	35,504	52,677
Total nonoperating revenues and expenses	<u>151,962</u>	<u>1,494,966</u>
Gain/(Loss) before capital contributions	<u>(1,781,480)</u>	<u>(301,892)</u>
<b>CAPITAL CONTRIBUTIONS</b>		
Capital grants	45,380	-
Member agency contributions	47,691	45,875
Total capital contributions	<u>93,071</u>	<u>45,875</u>
<b>NET CHANGE IN NET ASSETS</b>	(1,688,408)	(256,017)
<b>NET ASSETS, BEGINNING OF PERIOD</b>	<u>73,273,422</u>	<u>70,780,480</u>
<b>NET ASSETS, END OF PERIOD</b>	<u>\$ 71,585,014</u>	<u>\$ 70,524,463</u>

**STATEMENT OF CASH FLOWS - UNAUDITED**

	For the 1 Months ending July 31, 2015	For the 1 Months ending July 31, 2014
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash received from customers	385,003	402,958
Non-operating miscellaneous revenue received	35,504	52,677
Cash payments to suppliers for goods and services	(1,211,625)	(1,165,088)
Cash payments to employees for services	(336,041)	(84,877)
Net cash used in operating activities	<u>(1,127,160)</u>	<u>(794,330)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES:</b>		
Operating grants received	60,683	431,824
Contributions received from member agencies	125,736	(198,448)
Net cash provided by non-capital financing activities	<u>186,419</u>	<u>233,376</u>
<b>CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES:</b>		
Acquisition of capital assets	(124,696)	-
Proceeds received from sale of capital assets	9,372	-
Capital grants received	45,380	-
Capital expenses	(1,377,591)	(14,870)
Capital contributions received from member agencies	47,691	45,939
Net cash used in capital and related financing activities	<u>(1,399,844)</u>	<u>31,069</u>
<b>CASH FLOWS PROVIDED BY INVESTING ACTIVITIES:</b>		
Interest received	232	411
Net cash provided by investing activities:	<u>232</u>	<u>411</u>
Net increase/(decrease) in cash and cash equivalents	(2,340,353)	(529,474)
<b>CASH AND CASH EQUIVALENTS, BEGINNING OF YEAR</b>	<u>17,232,879</u>	<u>25,275,465</u>
<b>CASH AND CASH EQUIVALENTS, END OF YEAR</b>	<u><u>14,892,525</u></u>	<u><u>24,745,990</u></u>

**STATEMENT OF CASH FLOWS - UNAUDITED**

	For the 1 Months ending July 31, 2015	For the 1 Months ending July 31, 2014
<b>Reconciliation of operating income (loss) to net cash used in operating activities (Indirect Method):</b>		
Operating Loss	(1,933,442)	(1,356,455)
<b>Adjustments to Net Cash used in Operating Activities</b>		
Depreciation	495,314	52,677
Miscellaneous income	35,504	30,153
(Increase) decrease in other receivables	(26,652)	-
(Increase) decrease in inventory	-	27,499
(Increase) decrease in prepaid items	27,672	(4,200)
Increase (decrease) in accounts payable	(253,703)	-
Increase (decrease) in due to Federal Transit Administration	-	(84,877)
Increase (decrease) in accrued payroll	(89,318)	-
Increase (decrease) in compensated absences payable	21,300	-
Increase (decrease) in other liabilities	-	-
Increase (decrease) in deferred revenue	596,165	540,874
	<u>596,165</u>	<u>540,874</u>
Net Cash used in operating activities	<u>(1,127,160)</u>	<u>(794,330)</u>

**Notes**

- 1 This set of basic financial statements is prepared on an interim basis and is unaudited.
- 2 Please see the Treasury Report for additional highlights on cash & equivalents, payroll and expenditures.

**ANTELOPE VALLEY TRANSIT AUTHORITY**  
**Treasurer's Report --- Cash Flow Projection**  
**Month Ended July 2015**

Investment Type	Description	Starting Balance	Deposits	Disbursements	Ending Balance
<b>Cash and Investments Under the Direction of the Treasurer</b>					
Local Agency Investment Fund (LAIF) - Capital Reserve		\$ 5,386,271.26	\$ -		
Interest (earned quarterly)			\$ -		
B of A - Proposition 1B* Restricted		\$ 1,640,986.10	\$ -		
Interest earned for the month			\$ 209.06		
* Deferred revenue, recorded as liability until associated expense incurred.					
<b>TOTAL CAPITAL RESERVE AND RESTRICTED FUNDS</b>					<b>\$ 7,027,466.42</b>
Wells Fargo and Broker's CDs		\$ 1,003,464.52	\$ 0.00		
Wells Fargo CDs - In Transit		\$ 1,000,000.00	\$ 10.44		
Wells Fargo - OP Staging		\$ 485,247.64	\$ 12.37		
<b>TOTAL OPERATING RESERVE</b>					<b>\$ 2,488,734.97</b>
Payroll, Payable & General Acct		\$ 8,716,159.46			
<b>Operating Accounts Analysis</b>	Cash Fares		\$ 145,362.66		
	Vendor Pass Sales Revenu		\$ 213,573.16		
	Federal Grants Revenue		\$ 124,744.00		
	MTA Revenue		\$ 3,847.74		
	Prop 1B Received, will be transferring to 1B		\$ 378,965.00		
	Electric Bus Low Carbon Program		\$ 40,687.00		
	Jurisdictional Contributions		\$ 390,427.50		
	Non-Transportation Revenue		\$ 44,433.38		
	Operating Reserve - in transit			\$ (1,000,000.00)	
	Cash Disbursement for The Month			\$ (3,391,464.93)	
	Employee Net Pay			\$ (150,171.16)	
	Employee Net Pay in June, Cleared at July			\$ (68,076.54)	
	Employee Taxes			\$ (26,327.52)	
	Employee Deductions			\$ (9,495.24)	
	Employer Payroll Taxes			\$ (3,297.20)	
	CalPERS - AVTA paid			\$ (24,706.13)	
	CalPERS - Past Years Catch Up			\$ (1,666.00)	
	Equipment Lease - TAP card sales machines			\$ (65.06)	
	Sales Tax for Quarter Ended June 30, 2015			\$ (1,007.00)	
	Bank Fees --- Monthly and Quarterly			\$ (6,349.18)	
	<b>Net Operating Funds</b>	<b>\$ 8,716,159.46</b>	<b>\$ 1,342,040.44</b>	<b>(\$4,682,625.96)</b>	<b>\$ 5,375,573.94</b>
	<b>Petty Cash</b>				<b>\$ 750.00</b>
<b>TOTAL CASH AND INVESTMENTS</b>					<b>\$ 14,892,525.33</b>

I hereby certify that the investment portfolio of AVTA complies with its investment policy and the California Government Code Sections pertaining to the investment of local agency funds and Bank of America. Pending any future actions by the AVTA Board or any and unforeseen catastrophe, AVTA has an adequate cash flow to meet its expenditure requirements for the next six months.

Prepared by:

Submitted by:

\_\_\_\_\_  
Rong Nemeschy  
Finance Supervisor

\_\_\_\_\_  
Colby Konisek  
Director of Finance

**ANTELOPE VALLEY TRANSIT AUTHORITY**  
**Cash Flow Projection --- Treasurer's Report**  
**Month Ended July 2015**

Descriptions	\$ Subtotal	\$ Total
BALANCE FROM TREASURER'S REPORT		\$ 14,892,525
<b>Less Restricted Funds</b>		
Proposition 1B (Deferred Revenue)		(1,641,195)
Capital Reserve		(5,386,271)
Operating Reserve		(2,488,735)
Electric Bus Project Funds Remaining		(671,795)
Restricted for Operations, moved to offset AR		0
<b>UNRESTRICTED CASH</b>		<b>\$ 4,704,529</b>

**ACCOUNTS RECEIVABLE AND PAYABLE AS OF JUNE 30, 2015**

**Add Accounts receivable:**

MTA Revenue	786,536	
Jurisdiction Contributions	216,683	
Vendor Pass Sales	178,138	
FTA funds on Capital	1,472,158	<b>2,653,515</b>

**Less Current Payable:**

Accounts Payable	(110,712)	
Accrued Invoice Payable	(1,264,642)	<b>(1,375,354)</b>

<b>DUE TO FUNDING DELAY, RESTRICTED FOR OPERATION FUNDS</b>	<b>5,000,000</b>
<b>OFF SET - FTA OP FUNDS ACCT RECEIVABLE AS OF JULY 31, 2015 *</b>	<b>(6,800,223)</b>

**NET INFLOW/(OUT FLOW) OF CASH --- A/R, A/P** **(522,062)**

**PROJECTED CASH AVAILABLE IN THE NEXT 30 DAYS:** **\$ 4,182,467**

<b>OPERATING CASH REQUIRED MONTHLY - AVERAGE</b>	<b>\$ 1,800,000</b>
<b>Operating Cash Coverage per Monthly Average:</b>	<b>2.3</b>
<b>TOTAL OPERATING CASH TARGET:</b>	<b>\$ 3,000,000</b>
<b>Operating Cash Coverage of AVTA Target:</b>	<b>1.4</b>

\* AVTA HAS NOT RECEIVED FTA 5307 PREVENTIVE MAINTENANCE AND OPERATION SUPPORT FUNDS FOR TEN MONTHS.

**ANTELOPE VALLEY TRANSIT AUTHORITY  
PAYROLL HISTORY REPORT  
JUNE TO AUGUST, 2015**

	June TOTAL	July TOTAL	August TOTAL
- <u>Pay Accrual Periods</u>	2	2	2
<b><u>EARNINGS</u></b>			
Regular Pay	\$ 155,841.55	\$ 154,584.30	\$ 166,836.67
Overtime Pay	796.12	918.50	261.74
Vacation Pay	10,292.82	11,523.79	9,823.05
Sick Pay	8,500.14	4,852.84	6,009.21
Bereavement Pay	917.84	0.00	709.48
Holiday Pay	0.00	9,603.24	0.00
Floating Holiday Pay	1,576.94	2,462.17	1,555.47
Retroactive Pay	699.38	22,702.88	216.92
Deferred Income 457	0.00	4,950.00	825.00
Stipend --- Cell phone reimbursements	712.50	372.50	745.00
<b>TOTAL</b>	<b>\$ 179,337.29</b>	<b>\$ 211,970.22</b>	<b>\$ 186,982.54</b>
<b>Inc(Dec)-Current month over previous month</b>		<b>\$ 32,632.93</b>	<b>\$ (24,987.68)</b>
<b>% Inc(Dec)-Current month over previous month</b>		<b>18.2%</b>	<b>(11.8%)</b>



Payment Number	Payment Date	Description (Item)	Account Number	Amount
<b>Vendor: V0753 - American Heritage Life Ins.</b>				
20065	08/13/2015	Employee Paid Extended Benefits	100-000-2-B1-4011019	\$ 816.56
<b>Vendor V0753 - American Heritage Life Ins. Total:</b>				<b>\$ 816.56</b>
<b>Vendor: V0656 - Antelope Valley Fair</b>				
20070	08/27/2015	Junior Livestock Auction Sponsorship	100-5CS-5-G1-9501039	\$ 1,500.00
<b>Vendor V0656 - Antelope Valley Fair Total:</b>				<b>\$ 1,500.00</b>
<b>Vendor: V1128 - Antelope Valley Harley Davidson</b>				
20071	08/27/2015	Junior Livestock Auction Advertising	100-5CS-5-G1-9501003	\$ 150.00
<b>Vendor V1128 - Antelope Valley Harley Davidson Total:</b>				<b>\$ 150.00</b>
<b>Vendor: V0017 - Anthem Blue Cross</b>				
20066	08/13/2015	Group Health Insurance (EE)- Sept. 2015	100-000-2-B1-4011013	\$ 6,559.20
20066	08/13/2015	Group Health Insurance (ER)- Sept. 2015	100-1ZZ-5-G1-9701612	\$ 30,218.80
<b>Vendor V0017 - Anthem Blue Cross Total:</b>				<b>\$ 36,778.00</b>
<b>Vendor: V0135 - Aramark Uniform Services</b>				
20025	08/13/2015	Uniform service	100-2FF-5-G1-9401036	\$ 125.06
20072	08/27/2015	Uniform service	100-2FF-5-G1-9401036	\$ 121.87
20025	08/13/2015	Uniform service	100-2FF-5-G1-9401036	\$ 120.30
<b>Vendor V0135 - Aramark Uniform Services Total:</b>				<b>\$ 367.23</b>
<b>Vendor: V0518 - Arrow Engineering Services-AESI</b>				
20073	08/27/2015	Emergency Management-Hazard Mitig Srvs Software	600-1XX-5-J1-9909068	\$ 2,262.50
20073	08/27/2015	Arrow Change Order 1 Task Order 2	600-1XX-5-J1-9909083	\$ 11,089.25
20073	08/27/2015	Task Order 1 Change Order 1 for Wave Chargers	600-1XX-5-J1-9909080	\$ 18,633.56
20073	08/27/2015	Task Order 1 Change Order 1 for Wave Chargers	600-1XX-5-J1-9909080	\$ 20,691.31
20073	08/27/2015	Consulting for LA County Phase 2 Const	600-1XX-5-J1-9909059	\$ 2,815.00
<b>Vendor V0518 - Arrow Engineering Services-AESI Total:</b>				<b>\$ 55,491.62</b>
<b>Vendor: V0248 - Atkinson, Andelson, Loya, RUUD</b>				
20074	08/27/2015	Legal Counsel	100-1EX-5-G1-9501005	\$ 386.53
<b>Vendor V0248 - Atkinson, Andelson, Loya, RUUD Total:</b>				<b>\$ 386.53</b>
<b>Vendor: V0849 - Automated Gate Services, Inc.</b>				
20075	08/27/2015	Chain bolts	100-2FF-5-G1-9401036	\$ 102.40
<b>Vendor V0849 - Automated Gate Services, Inc. Total:</b>				<b>\$ 102.40</b>
<b>Vendor: V0013 - AV Press</b>				
20026	08/13/2015	Advertisement IFB 2016-02 LA County Phase 2	100-3FS-5-G1-9501002	\$ 826.20
20026	08/13/2015	Advertisement IFB 2016-06 Outside Counsel	100-3FS-5-G1-9501002	\$ 736.20
20026	08/13/2015	Advertisement 2016-07 Six Commuter Coach Refurbish	100-3FS-5-G1-9501002	\$ 781.20
20076	08/27/2015	Antelope Valley Press Contract	100-5CS-5-G1-9501003	\$ 410.00
<b>Vendor V0013 - AV Press Total:</b>				<b>\$ 2,753.60</b>
<b>Vendor: V0884 - Block, Lyle</b>				
20077	08/27/2015	Reimbursement- NTI Procurement Workshop	100-1EX-5-G1-9501019	\$ 323.67
<b>Vendor V0884 - Block, Lyle Total:</b>				<b>\$ 323.67</b>
<b>Vendor: V0239 - BOHN'S Printing</b>				
20027	08/13/2015	DAR TICKETS	100-5CS-5-G1-9501018	\$ 381.50
20078	08/27/2015	Fare Change Brochures	100-5CS-5-G1-9501018	\$ 755.15



Payment Number	Payment Date	Description (Item)	Account Number	Amount
20078	08/27/2015	TRANSPORTER brochure - Fare changes	100-5CS-5-G1-9501018	\$ 626.75
20078	08/27/2015	Budget Books	100-5CS-5-G1-9501018	\$ 1,412.17
			<b>Vendor V0239 - BOHN'S Printing Total:</b>	<b>\$ 3,175.57</b>
<b>Vendor: V0149 - Brinks Incorporated</b>				
20079	08/27/2015	Daily Cash Pick up Service	100-2FF-5-G1-9401005	\$ 173.61
20079	08/27/2015	Daily Cash Pick up Service	100-2FF-5-G1-9401005	\$ 507.34
			<b>Vendor V0149 - Brinks Incorporated Total:</b>	<b>\$ 680.95</b>
<b>Vendor: V0132 - Bulbs.com</b>				
20080	08/27/2015	4 pin fluorescent bulb	100-2FF-5-G1-9401036	\$ 319.60
20080	08/27/2015	400 w HID	100-2FF-5-G1-9401036	\$ 59.95
20080	08/27/2015	250 w HID	100-2FF-5-G1-9401036	\$ 119.90
20080	08/27/2015	Fluorescent ballasts	100-2FF-5-G1-9401036	\$ 269.85
			<b>Vendor V0132 - Bulbs.com Total:</b>	<b>\$ 769.30</b>
<b>Vendor: V0018 - Burris Coffee &amp; Pure Water Service</b>				
20028	08/13/2015	Coffee Supplies	100-3FS-5-G1-9501009	\$ 252.00
			<b>Vendor V0018 - Burris Coffee &amp; Pure Water Service Total:</b>	<b>\$ 252.00</b>
<b>Vendor: V0416 - Carquest of Lancaster #7305</b>				
20081	08/27/2015	Air Filters	100-2FF-5-G1-9401036	\$ 78.88
20081	08/27/2015	Ceramic Brake pad	100-2FF-5-G1-9401036	\$ 90.44
20029	08/13/2015	Radiator Cap	100-2FF-5-G1-9401036	\$ 5.77
			<b>Vendor V0416 - Carquest of Lancaster #7305 Total:</b>	<b>\$ 175.09</b>
<b>Vendor: V1126 - Chamber Directory Services</b>				
20082	08/27/2015	Lancaster Chamber of Commerce Area Street Map	100-5CS-5-G1-9501003	\$ 129.00
			<b>Vendor V1126 - Chamber Directory Services Total:</b>	<b>\$ 129.00</b>
<b>Vendor: V0917 - Continental Colorcraft</b>				
20030	08/13/2015	Car Cards - Hours	100-5CS-5-G1-9501018	\$ 806.60
20030	08/13/2015	Car Cards - Comments	100-5CS-5-G1-9501018	\$ 806.60
20030	08/13/2015	Car Cards - Rules	100-5CS-5-G1-9501018	\$ 916.60
			<b>Vendor V0917 - Continental Colorcraft Total:</b>	<b>\$ 2,529.80</b>
<b>Vendor: V0227 - Dale's Hitchin' Station, Inc.</b>				
20083	08/27/2015	repair cracks on BSM Trailer	100-2FF-5-G1-9401036	\$ 190.00
			<b>Vendor V0227 - Dale's Hitchin' Station, Inc. Total:</b>	<b>\$ 190.00</b>
<b>Vendor: V0485 - Darr, Karen</b>				
20031	08/13/2015	Reimbursement- APTA Board support conference	100-1EX-5-G1-9501019	\$ 463.54
			<b>Vendor V0485 - Darr, Karen Total:</b>	<b>\$ 463.54</b>
<b>Vendor: V0154 - Dell Marketing</b>				
20084	08/27/2015	Dell B1165nfw Toner	100-2FF-5-G1-9401009	\$ 189.60
			<b>Vendor V0154 - Dell Marketing Total:</b>	<b>\$ 189.60</b>
<b>Vendor: V1091 - Diesel machine Works</b>				
20032	08/13/2015	Machine shop work for unit 323 crank and head	600-1XX-5-J1-9909057	\$ 1,760.00
			<b>Vendor V1091 - Diesel machine Works Total:</b>	<b>\$ 1,760.00</b>
<b>Vendor: V0913 - Evault Inc</b>				
20033	08/13/2015	Monthly Back up fee	100-2FF-5-G1-9401012	\$ 211.29



Antelope Valley Transit Authority

Cash Disbursements Report CC 2.E

By Vendor Name

Payment Dates 8/1/2015 - 8/31/2015

Payment Number	Payment Date	Description (Item)	Account Number	Amount
20033	08/13/2015	Monthly Backup Fee	100-2FF-5-G1-9401012	\$ 1,200.00
<b>Vendor V0913 - Evault Inc Total:</b>				<b>\$ 1,411.29</b>

<b>Vendor: V0046 - Federal Express</b>				
20085	08/27/2015	Shipping	100-3FS-5-G1-9501010	\$ 55.05
20034	08/13/2015	Shipping	100-3FS-5-G1-9501010	\$ 31.86
<b>Vendor V0046 - Federal Express Total:</b>				<b>\$ 86.91</b>

<b>Vendor: V0853 - First Aid USA</b>				
20035	08/13/2015	First Aid	100-3FS-5-G1-9501009	\$ 497.69
<b>Vendor V0853 - First Aid USA Total:</b>				<b>\$ 497.69</b>

<b>Vendor: V0176 - First Place Awards</b>				
20086	08/27/2015	9x12 Plaque and Wall plate	100-3FS-5-G1-9501009	\$ 75.21
<b>Vendor V0176 - First Place Awards Total:</b>				<b>\$ 75.21</b>

<b>Vendor: V0049 - GFI Genfare</b>				
20087	08/27/2015	Farebox Probe repairs	100-2FF-5-G1-9401036	\$ 792.41
<b>Vendor V0049 - GFI Genfare Total:</b>				<b>\$ 792.41</b>

<b>Vendor: V0125 - Grainger</b>				
20036	08/13/2015	28" wide area vacuum	600-1XX-5-J1-9902010	\$ 2,762.50
20036	08/13/2015	Power Inverter	100-2FF-5-G1-9401036	\$ 97.58
20088	08/27/2015	bench grinder wheels	100-2FF-5-G1-9401036	\$ 127.15
20088	08/27/2015	Hose barb, ss	600-1XX-5-J1-9902008	\$ 52.58
20088	08/27/2015	Tubing, PVC	600-1XX-5-J1-9902008	\$ 10.88
20088	08/27/2015	Grease guns	600-1XX-5-J1-9902008	\$ 342.87
20088	08/27/2015	Ear Muff, Drive pin punch set	100-2FF-5-G1-9401036	\$ 103.64
20088	08/27/2015	Fuel nozzle swivel	600-1XX-5-J1-9902008	\$ 57.64
20088	08/27/2015	Cable ties	100-2FF-5-G1-9401004	\$ 205.13
20088	08/27/2015	Band Clamps	100-2FF-5-G1-9401004	\$ 23.09
20088	08/27/2015	Band Clamps	100-2FF-5-G1-9401004	\$ 12.23
20088	08/27/2015	Board room clocks	600-1XX-5-J1-9902008	\$ 125.57
20088	08/27/2015	Vehicle Inspection Forms	100-2FF-5-G1-9401036	\$ 76.13
20036	08/13/2015	Fuses - 15A	100-2FF-5-G1-9401036	\$ 144.32
20036	08/13/2015	Connector Coil	100-2FF-5-G1-9401036	\$ 21.88
20036	08/13/2015	Eye Wash Bottle	100-2FF-5-G1-9401036	\$ 14.86
20036	08/13/2015	Solenoid 24vdc	100-2FF-5-G1-9401036	\$ 108.99
20036	08/13/2015	Exhaust Muffler	100-2FF-5-G1-9401036	\$ 30.74
20036	08/13/2015	Sharpie Markers	100-2FF-5-G1-9401036	\$ 20.93
20036	08/13/2015	Penetrating Solvent	100-2FF-5-G1-9401036	\$ 12.00
<b>Vendor V0125 - Grainger Total:</b>				<b>\$ 4,350.71</b>

<b>Vendor: V1129 - Gwendolyn Jackson</b>				
20089	08/27/2015	Customer Refund	100-000-4-D1-6001106	\$ 330.00
<b>Vendor V1129 - Gwendolyn Jackson Total:</b>				<b>\$ 330.00</b>

<b>Vendor: V0139 - Hart Printers Inc.</b>				
20037	08/13/2015	M. Perry Business cards	100-3FS-5-G1-9501018	\$ 53.41
20090	08/27/2015	C. Konisek Business Cards	100-3FS-5-G1-9501018	\$ 53.41
<b>Vendor V0139 - Hart Printers Inc. Total:</b>				<b>\$ 106.82</b>



Payment Number	Payment Date	Description (Item)	Account Number	Amount
<b>Vendor: V0241 - High Desert Medical Group</b>				
20091	08/27/2015	Registration for 2015 HDMG Senior Expo	100-5CS-5-G1-9501029	\$ 375.00
<b>Vendor V0241 - High Desert Medical Group Total:</b>				<b>\$ 375.00</b>
<b>Vendor: V0624 - Home Depot Credit Services</b>				
20038	08/13/2015	Swamp cooler parts	100-2FF-5-G1-9401036	\$ 53.57
20038	08/13/2015	Curb Paint	100-2FF-5-G1-9401036	\$ 90.80
<b>Vendor V0624 - Home Depot Credit Services Total:</b>				<b>\$ 144.37</b>
<b>Vendor: V0474 - Insight- Public Sector</b>				
20039	08/13/2015	Microsoft Visio Standard 2013 License	100-2FF-5-G1-9401012	\$ 505.65
20039	08/13/2015	Microsoft SQL Server 2014 Standard Server License	600-1XX-5-J1-9909068	\$ 1,213.26
20039	08/13/2015	Microsoft SQL Server 2014 CAL (User) License	600-1XX-5-J1-9909068	\$ 282.36
<b>Vendor V0474 - Insight- Public Sector Total:</b>				<b>\$ 2,001.27</b>
<b>Vendor: V1057 - IntelliRide</b>				
20092	08/27/2015	ETP Service- July 2015	100-5CS-5-G1-9401031	\$ 13,169.32
20092	08/27/2015	Dial-a-ride Service, Revenue July 2015	100-000-4-D1-6001400	\$ (7,403.00)
20092	08/27/2015	Dial-a-ride Service, July 2015	100-2FF-5-G1-9001014	\$ 87,542.96
20092	08/27/2015	Coupon Charge July 2015	100-000-4-D1-6001400	\$ 1,668.00
<b>Vendor V1057 - IntelliRide Total:</b>				<b>\$ 94,977.28</b>
<b>Vendor: V0057 - Interior Plant Designs</b>				
20040	08/13/2015	Monthly Indoor Plant Services	100-2FF-5-G1-9401005	\$ 195.00
20040	08/13/2015	Indoor Plant Services	100-2FF-5-G1-9401005	\$ 195.00
20093	08/27/2015	Indoor Plant Services	100-2FF-5-G1-9401005	\$ 195.00
<b>Vendor V0057 - Interior Plant Designs Total:</b>				<b>\$ 585.00</b>
<b>Vendor: V0492 - Interstate Battery System</b>				
20041	08/13/2015	Deep cycle batteries	600-1XX-5-J1-9902008	\$ 193.91
20094	08/27/2015	MT-35 Battery	100-2FF-5-G1-9401036	\$ 91.51
<b>Vendor V0492 - Interstate Battery System Total:</b>				<b>\$ 285.42</b>
<b>Vendor: V0157 - Iron Mountain Records Mgmt Inc</b>				
20095	08/27/2015	Paper Destruction	100-2FF-5-G1-9401005	\$ 73.57
<b>Vendor V0157 - Iron Mountain Records Mgmt Inc Total:</b>				<b>\$ 73.57</b>
<b>Vendor: V0806 - Kelly Alcuran</b>				
20096	08/27/2015	Tuition Reimbursement	100-1EX-5-G1-9701916	\$ 1,200.00
<b>Vendor V0806 - Kelly Alcuran Total:</b>				<b>\$ 1,200.00</b>
<b>Vendor: V0250 - L.A. County Waterworks</b>				
20097	08/27/2015	Utilities- Water	100-2FF-5-G1-9401024	\$ 364.79
20097	08/27/2015	Utilities- Water	100-2FF-5-G1-9401024	\$ 272.69
20097	08/27/2015	Utilities- Water	100-2FF-5-G1-9401024	\$ 519.67
<b>Vendor V0250 - L.A. County Waterworks Total:</b>				<b>\$ 1,157.15</b>
<b>Vendor: V0288 - LA County Sheriff Dept.</b>				
20042	08/13/2015	Sheriff's Contract for Deputy Patrol	100-5CS-5-G1-9501034	\$ 5,332.35
<b>Vendor V0288 - LA County Sheriff Dept. Total:</b>				<b>\$ 5,332.35</b>
<b>Vendor: V0421 - Lancaster Chamber of Commerce</b>				
20098	08/27/2015	Annual Dues- 8//15-8/1/16	100-1EX-5-G1-9501006	\$ 250.00
<b>Vendor V0421 - Lancaster Chamber of Commerce Total:</b>				<b>\$ 250.00</b>



Payment Number	Payment Date	Description (Item)	Account Number	Amount
<b>Vendor: V1107 - LPM Consulting Inc.</b>				
20043	08/13/2015	Consulting for FY 15/16	100-3FS-5-G1-9501027	\$ 3,069.50
<b>Vendor V1107 - LPM Consulting Inc. Total:</b>				<b>\$ 3,069.50</b>
<b>Vendor: V0916 - Mail America 3</b>				
20099	08/27/2015	CPOS Reimbursement	100-3FS-5-G1-9501037	\$ 150.00
<b>Vendor V0916 - Mail America 3 Total:</b>				<b>\$ 150.00</b>
<b>Vendor: V0835 - Mark Perry</b>				
20100	08/27/2015	457 Loan overpayment refund	100-000-2-B1-4011033	\$ 67.62
<b>Vendor V0835 - Mark Perry Total:</b>				<b>\$ 67.62</b>
<b>Vendor: V0292 - McMaster-Carr Supply Co.</b>				
20044	08/13/2015	A-Section V-Belt	100-2FF-5-G1-9401036	\$ 25.93
20044	08/13/2015	B-Section V-Belt	100-2FF-5-G1-9401036	\$ 30.72
20101	08/27/2015	Paper towel dispenser	600-1XX-5-J1-9902008	\$ 127.49
20044	08/13/2015	Coin Cell Batteries	600-1XX-5-J1-9902008	\$ 193.29
<b>Vendor V0292 - McMaster-Carr Supply Co. Total:</b>				<b>\$ 377.43</b>
<b>Vendor: V0783 - Mobile Relay Associates</b>				
20045	08/13/2015	comm Airtime	100-2FF-5-G1-9401036	\$ 1,224.30
20102	08/27/2015	comm Airtime	100-2FF-5-G1-9401036	\$ 1,224.30
<b>Vendor V0783 - Mobile Relay Associates Total:</b>				<b>\$ 2,448.60</b>
<b>Vendor: V0987 - OPSEC Specialized Protection</b>				
20103	08/27/2015	OPSEC Security Services	100-5CS-5-G1-9501034	\$ 4,755.00
<b>Vendor V0987 - OPSEC Specialized Protection Total:</b>				<b>\$ 4,755.00</b>
<b>Vendor: V0768 - Orange Coast Petroleum Equipment, Inc.</b>				
20046	08/13/2015	Digital oil dispensers	600-1XX-5-J1-9902008	\$ 1,047.89
20046	08/13/2015	Digital coolant dispensers	600-1XX-5-J1-9902008	\$ 280.00
<b>Vendor V0768 - Orange Coast Petroleum Equipment, Inc. Total:</b>				<b>\$ 1,327.89</b>
<b>Vendor: V0243 - Palmdale Chamber of Commerce</b>				
20047	08/13/2015	Basic Plan membership 9/1/15-8/31/16	100-1EX-5-G1-9501006	\$ 220.00
<b>Vendor V0243 - Palmdale Chamber of Commerce Total:</b>				<b>\$ 220.00</b>
<b>Vendor: V0078 - Pinnacle Petroleum Inc</b>				
20048	08/13/2015	Fuel	100-2FF-5-G1-9201003	\$ 16,660.60
20048	08/13/2015	Fuel	100-2FF-5-G1-9201003	\$ 16,349.49
20048	08/13/2015	Fuel	100-2FF-5-G1-9201003	\$ 16,132.36
20048	08/13/2015	Fuel	100-2FF-5-G1-9201003	\$ 9,119.01
20048	08/13/2015	Fuel	100-2FF-5-G1-9201003	\$ 10,714.79
<b>Vendor V0078 - Pinnacle Petroleum Inc Total:</b>				<b>\$ 68,976.25</b>
<b>Vendor: V0755 - Pitney Bowes Inc</b>				
20104	08/27/2015	Red Ink Cartridge	100-3FS-5-G1-9501010	\$ 200.09
<b>Vendor V0755 - Pitney Bowes Inc Total:</b>				<b>\$ 200.09</b>
<b>Vendor: V1006 - Proactive Work Health</b>				
20049	08/13/2015	FY 15/16 Blanket PO for Proactive Work Health Svcs	100-3FS-5-G1-9501027	\$ 100.00
<b>Vendor V1006 - Proactive Work Health Total:</b>				<b>\$ 100.00</b>



Antelope Valley Transit Authority

Cash Disbursements Report CC 2.E

By Vendor Name

Payment Dates 8/1/2015 - 8/31/2015

Payment Number	Payment Date	Description (Item)	Account Number	Amount
<b>Vendor: V0701 - Signal Campus</b>				
20050	08/13/2015	AVC Kiosk Advertising	100-5CS-5-G1-9501003	\$ 336.00
<b>Vendor V0701 - Signal Campus Total:</b>				<b>\$ 336.00</b>
<b>Vendor: V0348 - SignWarehouse, Inc.</b>				
20105	08/27/2015	ORALITE 5700 24X10 BLUE	100-5CS-5-G1-9501018	\$ 122.00
20105	08/27/2015	ORALITE 5650RA PRINTABLE REFLECTIVE 30" X 10 YD V	100-5CS-5-G1-9501018	\$ 311.00
20105	08/27/2015	ORACAL 651 24X50 AZURE BLUE	100-5CS-5-G1-9501018	\$ 204.99
20105	08/27/2015	ORALITE 5600 24X10 BLUE	100-5CS-5-G1-9501018	\$ 172.00
20051	08/13/2015	PJ/VJ ECO ULTRA INK BLACK (MSINK3A-BK220)	100-5CS-5-G1-9501018	\$ 67.00
20051	08/13/2015	PJ/VJ ECO ULTRA INK BLACK (MSINK3A-BK220)	100-5CS-5-G1-9501018	\$ 134.00
20051	08/13/2015	ORAGUARD 290 54X150 GLOSS CAST LAMINATING PV	100-5CS-5-G1-9501018	\$ 1,050.00
20051	08/13/2015	VJ-1204 MAINTENANCE KIT	100-5CS-5-G1-9501018	\$ 192.90
20051	08/13/2015	PJ/VJ ECO ULTRA INK MAGENTA (MSINK3A-MA220)	100-5CS-5-G1-9501018	\$ 67.00
20051	08/13/2015	3M CONTROLTAC V3 48" X 150 FT	100-5CS-5-G1-9501018	\$ 1,431.35
<b>Vendor V0348 - SignWarehouse, Inc. Total:</b>				<b>\$ 3,752.24</b>
<b>Vendor: V0192 - Smith Pipe &amp; Supply</b>				
20052	08/13/2015	RB Diaphragm assy	100-2FF-5-G1-9401036	\$ 82.11
<b>Vendor V0192 - Smith Pipe &amp; Supply Total:</b>				<b>\$ 82.11</b>
<b>Vendor: V0403 - Southern California Edison</b>				
20067	08/13/2015	Utilities- Electricity- 6/29/15-7/21/15	100-2FF-5-G1-9401021	\$ 6,882.42
<b>Vendor V0403 - Southern California Edison Total:</b>				<b>\$ 6,882.42</b>
<b>Vendor: V0493 - Standard Insurance Company</b>				
20068	08/13/2015	Dental Insurance Premium (EE)- Aug. 2015	100-000-2-B1-4011014	\$ 750.72
20068	08/13/2015	Dental Insurance Premium (ER)- Aug. 2015	100-1ZZ-5-G1-9701614	\$ 2,395.72
20068	08/13/2015	Vision Insurance Premium (EE)- Aug. 2015	100-000-2-B1-4011016	\$ 139.54
20068	08/13/2015	Vision Insurance Premium (ER)- Aug. 2015	100-1ZZ-5-G1-9701616	\$ 486.78
<b>Vendor V0493 - Standard Insurance Company Total:</b>				<b>\$ 3,772.76</b>
<b>Vendor: V0477 - Standard Insurance Company</b>				
20106	08/27/2015	Life	100-1ZZ-5-G1-9701811	\$ 366.14
20106	08/27/2015	HADV Premium	100-1ZZ-5-G1-9701811	\$ 37.00
20106	08/27/2015	Short Term Disability	100-1ZZ-5-G1-9701812	\$ 1,328.79
20106	08/27/2015	Long Term Disability	100-1ZZ-5-G1-9701813	\$ 824.13
20106	08/27/2015	AD&D	100-1ZZ-5-G1-9701814	\$ 73.22
<b>Vendor V0477 - Standard Insurance Company Total:</b>				<b>\$ 2,629.28</b>
<b>Vendor: V0684 - Strategies</b>				
20053	08/13/2015	Blanket PO for Strategies for FY 15/16	100-3FS-5-G1-9501027	\$ 25.00
<b>Vendor V0684 - Strategies Total:</b>				<b>\$ 25.00</b>
<b>Vendor: V1119 - Sutherland Electric</b>				
20054	08/13/2015	Add outlet for graphics printer	600-1XX-5-J1-9909068	\$ 550.00
<b>Vendor V1119 - Sutherland Electric Total:</b>				<b>\$ 550.00</b>
<b>Vendor: V0419 - TAPCO</b>				
20055	08/13/2015	Bus Stop Sign - 14x26 tombstone custom 3 color	600-1XX-5-J1-9909059	\$ 1,795.00
20055	08/13/2015	Bus Stop Sign - 14x22 tombstone custom 3 color	600-1XX-5-J1-9909059	\$ 8,507.79
<b>Vendor V0419 - TAPCO Total:</b>				<b>\$ 10,302.79</b>



Antelope Valley Transit Authority

Cash Disbursements Report CC 2.E

By Vendor Name

Payment Dates 8/1/2015 - 8/31/2015

Payment Number	Payment Date	Description (Item)	Account Number	Amount
<b>Vendor: V0103 - TCW Systems, Inc.</b>				
20056	08/13/2015	Local Radio Airtime	100-2FF-5-G1-9401036	\$ 500.00
<b>Vendor V0103 - TCW Systems, Inc. Total:</b>				<b>\$ 500.00</b>
<b>Vendor: V1070 - The "G" Crew</b>				
20107	08/27/2015	Task Order 1 Labor Compliance Inverter Project	600-1XX-5-J1-9909068	\$ 3,875.00
<b>Vendor V1070 - The "G" Crew Total:</b>				<b>\$ 3,875.00</b>
<b>Vendor: V0505 - The Customer Service Experts</b>				
20108	08/27/2015	CPOS Reimbursement	100-3FS-5-G1-9501037	\$ 50.00
<b>Vendor V0505 - The Customer Service Experts Total:</b>				<b>\$ 50.00</b>
<b>Vendor: V0405 - The Gas Company</b>				
20057	08/13/2015	Utilities- Gas, 12/18/14-6/22/15	100-2FF-5-G1-9401022	\$ 27,002.65
20057	08/13/2015	Utilities- Gas, 6/22/15-7/22/15	100-2FF-5-G1-9401022	\$ 175.95
<b>Vendor V0405 - The Gas Company Total:</b>				<b>\$ 27,178.60</b>
<b>Vendor: V0851 - Traffic Management Inc.</b>				
20109	08/27/2015	Saddle bolts	100-2FF-5-G1-9401036	\$ 76.30
20109	08/27/2015	3/8" Sign Rivets	100-2FF-5-G1-9401036	\$ 180.94
20109	08/27/2015	Sign Strapping	100-2FF-5-G1-9401036	\$ 224.54
<b>Vendor V0851 - Traffic Management Inc. Total:</b>				<b>\$ 481.78</b>
<b>Vendor: V0355 - Trans Track Systems, Inc.</b>				
20058	08/13/2015	TransTrack Annual Maintenance Renewal	100-2FF-5-G1-9401012	\$ 32,580.00
<b>Vendor V0355 - Trans Track Systems, Inc. Total:</b>				<b>\$ 32,580.00</b>
<b>Vendor: V0252 - Transdev</b>				
20110	08/27/2015	Special Service, July 2015	100-2FF-5-G1-9001013	\$ 202.76
20110	08/27/2015	Electric Bus Service, July 2015	100-2FF-5-G1-9001016	\$ 18,619.04
20110	08/27/2015	Commuter Recovery Service, July 2015	100-2FF-5-G1-9001013	\$ 6,662.98
20110	08/27/2015	Commuter Recovery- Standby	100-2FF-5-G1-9001013	\$ 1,105.04
20110	08/27/2015	Local and Commuter Maint and Service, July 2015	100-2FF-5-G1-9001013	\$ 1,105,480.49
20110	08/27/2015	Zonar connected- July 2015	100-2FF-5-G1-9001009	\$ 407.85
20110	08/27/2015	Fleet Pride- Thermo King cord	100-2FF-5-G1-9001009	\$ 347.44
20110	08/27/2015	786 Expansion Service- July 2015	600-1XX-5-J1-9909063	\$ 14,355.23
20110	08/27/2015	Metrolink Assistance, July 2015	100-2FF-5-G1-9001009	\$ 1,183.37
<b>Vendor V0252 - Transdev Total:</b>				<b>\$ 1,148,364.20</b>
<b>Vendor: V0189 - United Parcel Service</b>				
20059	08/13/2015	Shipping	100-3FS-5-G1-9501010	\$ 44.65
20059	08/13/2015	Shipping	100-3FS-5-G1-9501010	\$ 37.96
<b>Vendor V0189 - United Parcel Service Total:</b>				<b>\$ 82.61</b>
<b>Vendor: V0353 - UNUM Life Insurance Co of Amer</b>				
20111	08/27/2015	Long Term Care (EE)	100-000-2-B1-4011024	\$ 144.00
20111	08/27/2015	Long Term Care (ER)	100-1ZZ-5-G1-9702618	\$ 510.30
<b>Vendor V0353 - UNUM Life Insurance Co of Amer Total:</b>				<b>\$ 654.30</b>
<b>Vendor: V0302 - US Bank</b>				
20060	08/13/2015	D. Aragon- Lodging deposit- NTI Workshop	100-1EX-5-G1-9501019	\$ 146.94
20060	08/13/2015	Refund- N. Hickling Reg. BusCon	100-1EX-5-G1-9501019	\$ (78.00)
20060	08/13/2015	D. Aragon- Airfare- Multimodal Ops Planning Wkshp	100-1EX-5-G1-9501019	\$ 517.50
20060	08/13/2015	D. Aragon- Reg.- Multimodal Ops Planning Wkshp	100-1EX-5-G1-9501019	\$ 525.00



Antelope Valley Transit Authority

Cash Disbursements Report CC 2.E

By Vendor Name

Payment Dates 8/1/2015 - 8/31/2015

Payment Number	Payment Date	Description (Item)	Account Number	Amount
20060	08/13/2015	L. Engel- Airfare- BusCon	100-1EX-5-G1-9501019	\$ 262.50
20060	08/13/2015	Virtual server- Monthly Fee	100-2FF-5-G1-9401012	\$ 19.99
20060	08/13/2015	C. Foust- Canopy repair parts	100-2FF-5-G1-9401036	\$ 124.98
20060	08/13/2015	M. Perry Wood book shelf	100-5CS-5-G1-9501039	\$ 667.80
20060	08/13/2015	C. Foust- Vehicle software update	600-1XX-5-J1-9909062	\$ 107.99
<b>Vendor V0302 - US Bank Total:</b>				<b>\$ 2,294.70</b>

**Vendor: V0550 - Waste Management**

20069	08/13/2015	Utilities, Waste- June 2015	100-2FF-5-G1-9401023	\$ 701.38
20069	08/13/2015	Utilities, Waste- July 2015	100-2FF-5-G1-9401023	\$ 712.60
<b>Vendor V0550 - Waste Management Total:</b>				<b>\$ 1,413.98</b>

**Vendor: V0457 - Waxie Enterprises Inc.**

20061	08/13/2015	45 gallon can liners	100-2FF-5-G1-9401036	\$ 236.49
20061	08/13/2015	kitchen paper towels	100-2FF-5-G1-9401036	\$ 29.40
20061	08/13/2015	toilet brushes	100-2FF-5-G1-9401036	\$ 13.25
20061	08/13/2015	universal roll towels	100-2FF-5-G1-9401036	\$ 354.04
20061	08/13/2015	vinyl gloves	100-2FF-5-G1-9401036	\$ 50.57
20061	08/13/2015	citrus multi purpose cleaner	100-2FF-5-G1-9401036	\$ 185.05
20061	08/13/2015	toilet bowl cleaner	100-2FF-5-G1-9401036	\$ 31.23
20061	08/13/2015	trigger nozzle	100-2FF-5-G1-9401036	\$ 11.45
20061	08/13/2015	spray bottles	100-2FF-5-G1-9401036	\$ 9.70
20061	08/13/2015	premium toilet tissue	100-2FF-5-G1-9401036	\$ 502.05
20061	08/13/2015	multisurface glass cleaner	100-2FF-5-G1-9401036	\$ 58.45
20061	08/13/2015	scouring sticks	100-2FF-5-G1-9401036	\$ 23.72
20061	08/13/2015	powdered hand soap	100-2FF-5-G1-9401036	\$ 81.97
20061	08/13/2015	mop handles	100-2FF-5-G1-9401036	\$ 126.18
20061	08/13/2015	corn booms case	100-2FF-5-G1-9401036	\$ 152.64
20061	08/13/2015	sc584b HEPA vacuum	600-1XX-5-J1-9902010	\$ 542.55
20112	08/27/2015	liquid hand soap	100-2FF-5-G1-9401036	\$ 70.17
<b>Vendor V0457 - Waxie Enterprises Inc. Total:</b>				<b>\$ 2,478.91</b>

**Vendor: V0112 - Western Exterminators**

20063	08/13/2015	Extermination services, June 2015	100-2FF-5-G1-9401005	\$ 92.50
<b>Vendor V0112 - Western Exterminators Total:</b>				<b>\$ 92.50</b>

**Vendor: V0124 - Witts**

20064	08/13/2015	Office Supplies	100-3FS-5-G1-9501009	\$ 5.77
20113	08/27/2015	Office Supplies	100-3FS-5-G1-9501009	\$ 97.99
<b>Vendor V0124 - Witts Total:</b>				<b>\$ 103.76</b>

**Grand Total: \$ 1,553,192.23**



**DATE:** September 22, 2015  
**TO:** BOARD OF DIRECTORS  
**SUBJECT:** 2015 Dial-a-Ride (DAR) Customer Survey

---

#### **RECOMMENDATION**

Receive and file the results of the DAR Customer Survey.

#### **FISCAL IMPACT**

There is no fiscal impact associated with the DAR Customer Survey results.

#### **BACKGROUND**

This is the fourth DAR Customer Survey that Moore and Associates has conducted for AVTA. The primary goal of the survey is to identify current customer perceptions about the service, areas for improvement, and the level of customer satisfaction. The consultant made comparisons with results from the survey conducted in 2014, as summarized in Attachment A.

Responses were very positive regarding service quality with a 3.4 rating out of 4. Similar to the 2014 survey the three highest requests for improvements were better reservation process, shorter wait times and longer service hours.

Customer Characteristics: Results were very similar to last year. Based upon the collected survey data, the typical AVTA DAR customer survey respondent:

- Can communicate in English;
- Is traveling to/from Lancaster and Palmdale;
- Is no longer licensed, or no longer drives (63%);
- Is traveling to access healthcare (58.9%);
- Has a mobility impairment;
- Does not travel with a companion/attendant or service animal;
- Rides less than once per week; and
- Has been a customer for two years or longer.

There has been an increase of just under 6% in the number of clients from Quartz Hill. Of those surveyed, 44.8% use our DAR service as their primary mode of travel. Use of Access Services jumped from 4.4% (2013) to 7.9% (2014) to just under 18% this year. Getting a ride from a friend or relative was the second highest mode at 26.2%.

Submitted by:

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Len Engel  
Executive Director

Attachment: A – DAR Customer Survey Summary

**2015 Dial-A-Ride Customer Survey Analysis**  
**Antelope Valley Transit Authority**  
**Final Report**

## Section 2

## 2015 vs. 2014 Customer Survey

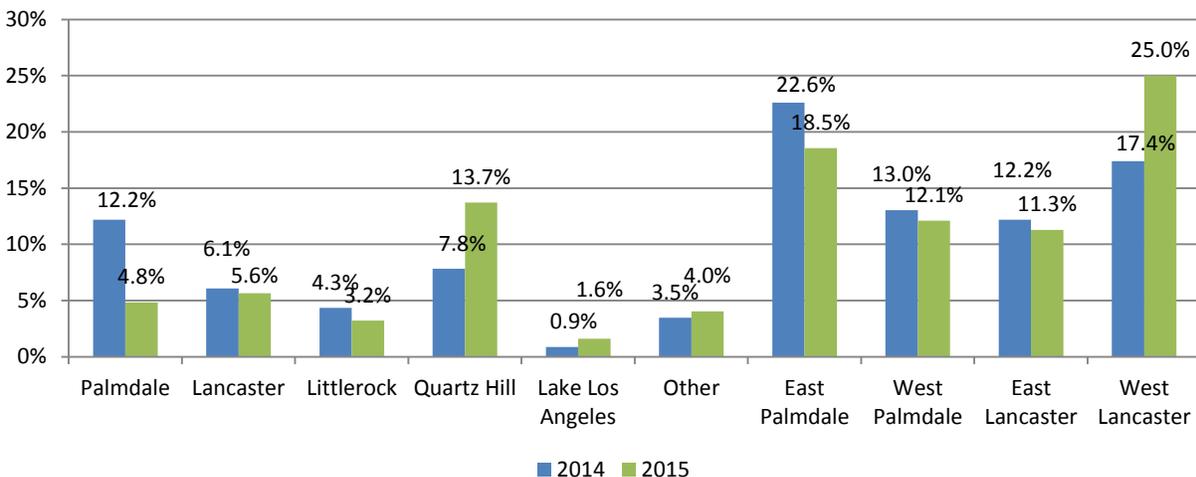
In Spring 2015 Moore & Associates conducted a survey of all registered Antelope Valley Transit Authority (AVTA) Dial-A-Ride (DAR) customers. Nearly 600 surveys were distributed; we received 124 valid responses. The survey data were entered into Microsoft Excel, coded, cleaned, and verified for accuracy, prior to being imported into our Statistical Package for the Social Sciences (SPSS) software for additional processing and analysis.

AVTA requested a direct comparison of survey data between the 2015 survey and the 2014 survey. The following narrative presents direct comparisons and trend analysis of applicable survey questions.

**Question: Where do you normally begin your Dial-A-Ride trip?**

In 2015, respondents were more than seven percentage points more likely to begin their trip from West Lancaster than they were in 2014, with a corresponding drop noted in Palmdale. In addition, a fairly significant increase (5.9 percentage points) in trips originating in Quartz Hill was noted.

Exhibit 2.1 Trip Origin



# 2015 Dial-A-Ride Customer Survey Analysis

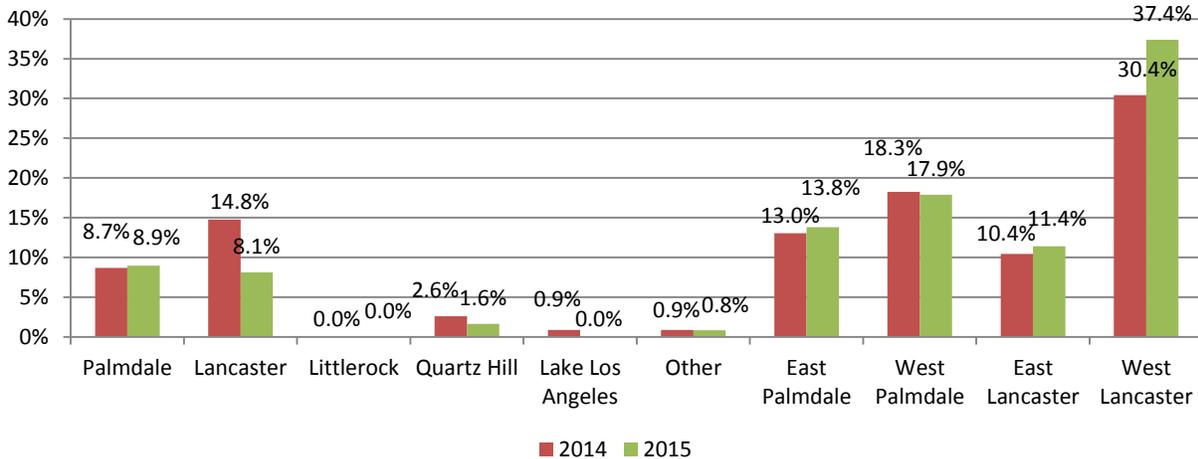
Antelope Valley Transit Authority

Final Report

## Question: Where does your typical Dial-A-Ride trip end?

Similar to the responses provided in trip origins, there was a seven percentage point increase from 2014 to 2015 in trips ending in West Lancaster. However, there was a nearly seven percentage point drop in overall trips ending in Lancaster. For most other destinations, percentages remained largely unchanged since the 2014 survey.

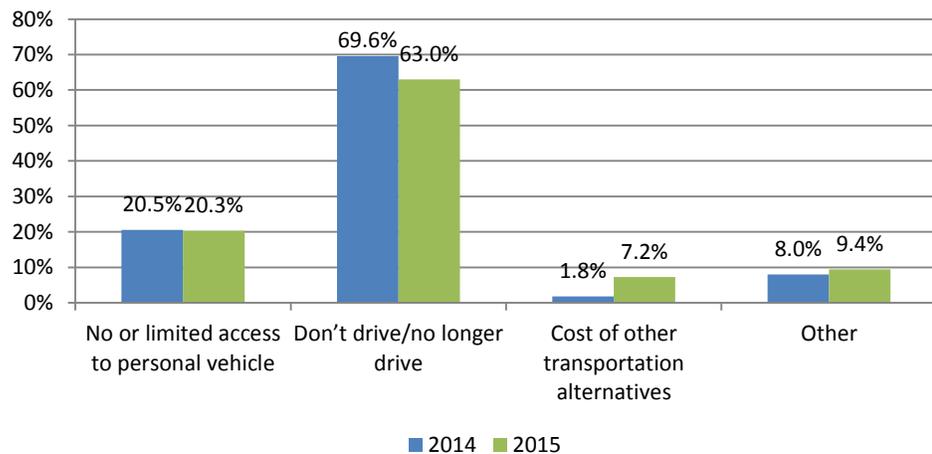
Exhibit 2.2 Trip Destination



## Question: What is your primary reason for using Dial-A-Ride?

Survey respondents were asked to indicate their primary reason for using the Dial-A-Ride service. From 2014 to 2015, there was a 5.4 percentage point increase in respondents citing the cost of other transportation alternatives, and a decrease of 6.6 percentage points in the number of respondents who said they don't drive.

Exhibit 2.3 Reason for Using Dial-A-Ride



# 2015 Dial-A-Ride Customer Survey Analysis

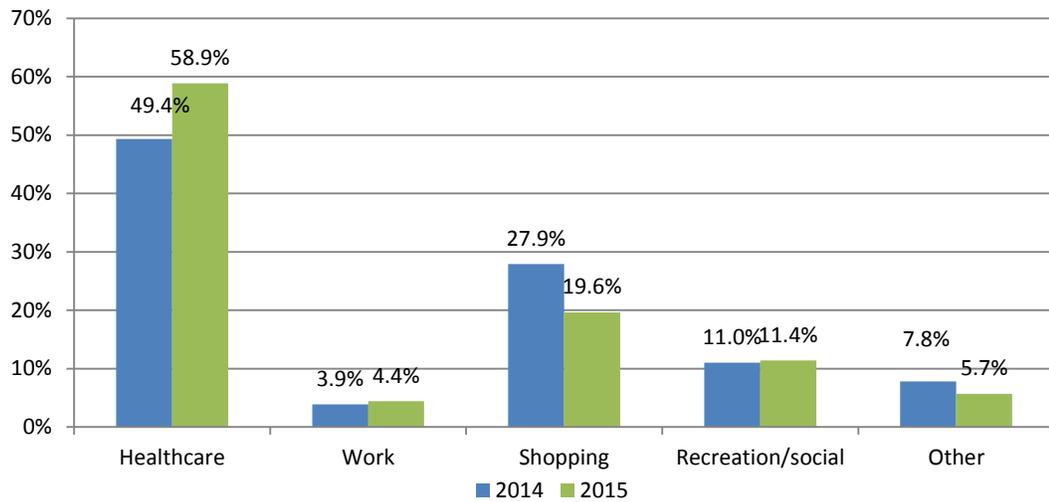
Antelope Valley Transit Authority

Final Report

## Question: What is your most common trip purpose when using Dial-A-Ride?

The percentage of survey respondents who cited “healthcare” as their most common trip purpose rose nearly 10 percentage points to 58.9 percent in 2015. Similarly, there was an 8.3 percentage point drop in the number of respondents who most commonly use Dial-A-Ride for shopping trips.

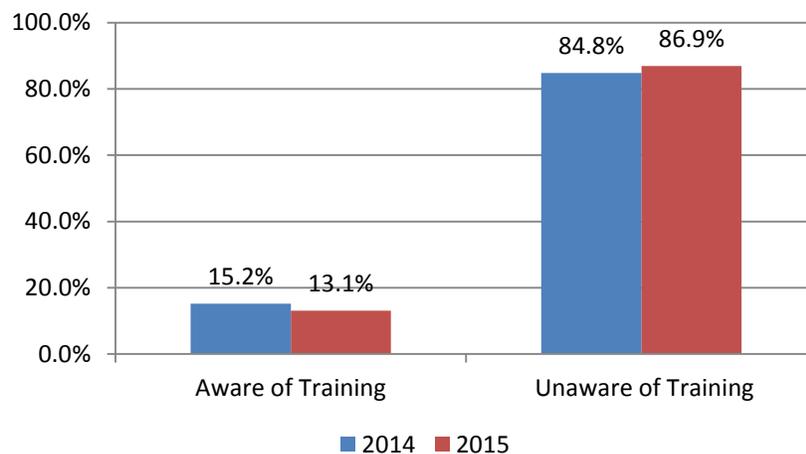
Exhibit 2.3 Trip Purpose



## Question: Have you heard of or participated in a Travel Training opportunity in the past year?

This question was phrased slightly differently in 2015 than in 2014, but the data remain comparable. In 2014, customers were asked if they had heard of or participated in travel training opportunities in the prior six months, while in 2015 customers were asked if they had heard of travel training opportunities in the past year. Despite the larger time frame, awareness of travel training was down slightly in 2015.

Exhibit 2.4 Travel Training Awareness



## 2015 Dial-A-Ride Customer Survey Analysis

Antelope Valley Transit Authority

Final Report

**Question: Please rate your satisfaction with the below AVTA Dial-A-Ride service characteristics by checking the appropriate box.**

Customers were asked to rate a total of seven service characteristics on a scale of “poor” to “excellent.” The respective responses were coded numerically, where “poor” equaled 1, “fair” equaled 2, “good” equaled 3, and “excellent” equaled 4. The mean score for each characteristic is presented in Exhibit 2.5.

Satisfaction scores were up across the board in 2015, and four attributes saw fairly large improvements, led by “Ease of making reservations,” which improved a half-point. “Customer service – office dispatch” and “service overall” improved .33 point, while “dependability” rose .27 point.

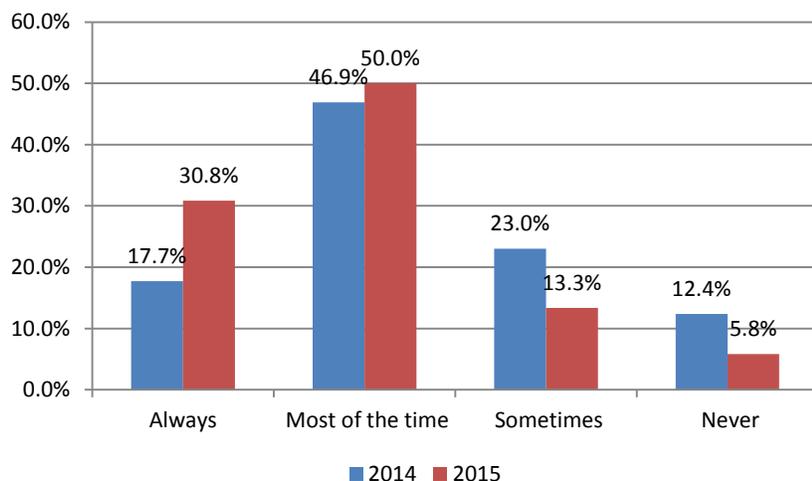
Exhibit 2.5 Ride Satisfaction Ratings

Service Characteristic	2015 Mean Rating	2014 Mean Rating
On-time performance	3.18	3.15
Customer service – office dispatch	3.27	2.94
Customer service – drivers	3.62	3.54
Ease of making reservations	3.13	2.63
Dependability	3.28	3.01
Cost	3.21	3.17
Service overall	3.40	3.07

**Question: How often are you able to obtain your desired trip time?**

This metric shows another area of great improvement in 2015. The number of respondents who reported always obtaining their desired trip time rose 13.1 percentage points, and the number of customers who reported obtaining their desired trip time most of the time rose 3.1 percent.

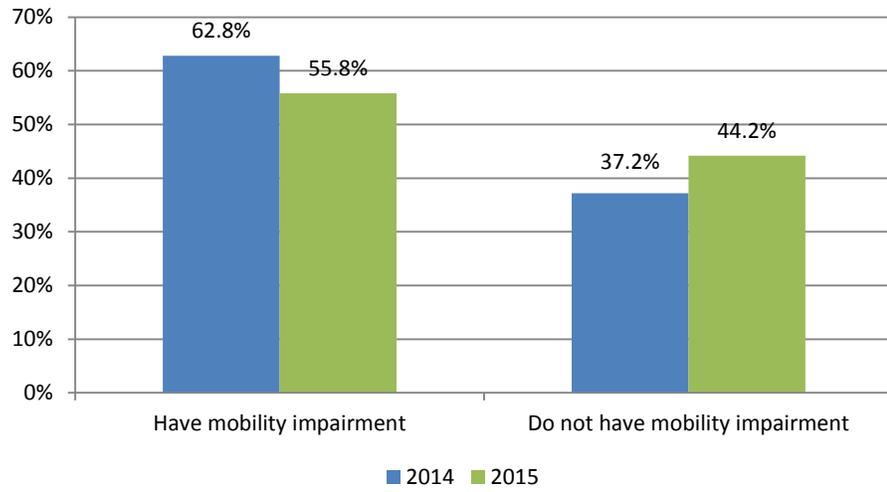
Exhibit 2.6 Desired Trip Time



**Question: Do you have an impairment which impacts your personal mobility?**

In 2015, there was a fairly significant decrease in the number of respondents who reported having a mobility impairment, with the number falling from 62.8 percent to 55.8 percent. While this metric indicates a majority of DAR customers still may be transit dependent due to limited mobility, it also reinforces the finding that more riders are choosing Dial-A-Ride over other options even absent a mobility impairment.

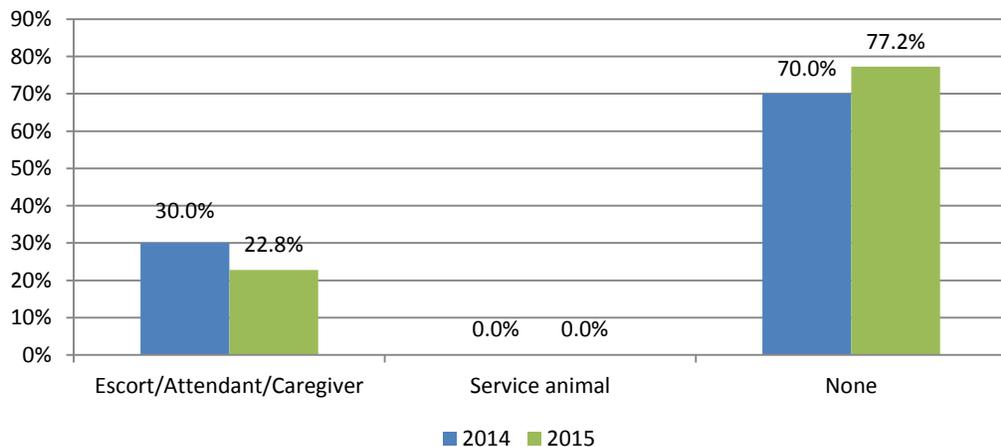
Exhibit 2.7 Mobility Impairment



**Question: When traveling, are you typically accompanied by a companion, attendant, or service animal?**

The number of respondents who reported traveling without a companion or attendant rose 7.2 percentage points to 77.2 percent in 2015. No respondents cited traveling with a service animal in 2014 or 2015.

Exhibit 2.8 Accompanied by Escort, Attendant, Caregiver, or Service Animal



# 2015 Dial-A-Ride Customer Survey Analysis

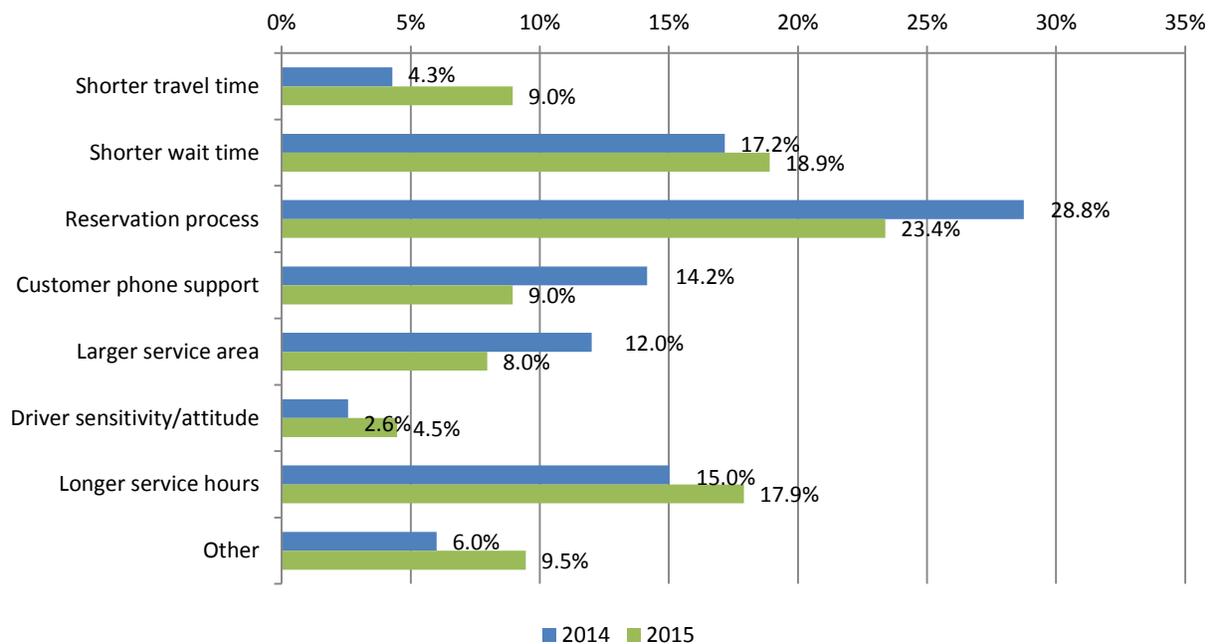
Antelope Valley Transit Authority

Final Report

## Question: How would you improve the Dial-A-Ride service?

In 2015, “reservation process” remained the most frequently cited improvement at 23.4 percent, though that percentage was down from 28.8 percent in 2014. The number of respondents who cited a wish for shorter travel time more than doubled to 9.0 percent in 2015. The desire for “shorter wait times” increased slightly to 18.9 percent from 17.2 percent in 2014. Responses indicating a desire for “larger service area” most likely indicate a lack of awareness of the actual Dial-A-Ride service area, as the AVTA Dial-A-Ride provides service to nearly the entire Valley through its zone-based fare structure.

Exhibit 2.9 Dial-A-Ride Service Improvements



# 2015 Dial-A-Ride Customer Survey Analysis

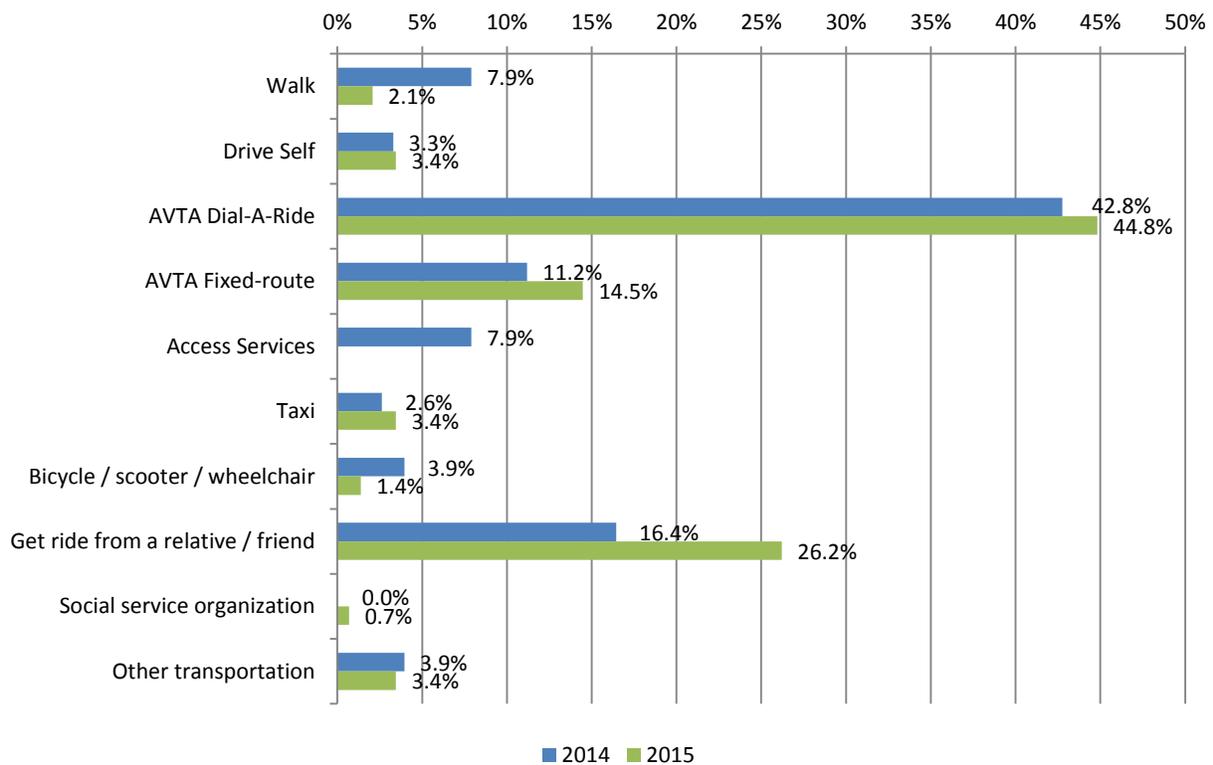
## Antelope Valley Transit Authority

### Final Report

#### Question: How do you typically travel within the Antelope Valley?

Nearly 45 percent of 2015 respondents cited AVTA DAR as their primary mode of travel, up two percentage points from 2014. In addition, the number of respondents who cited AVTA fixed-route service as their primary mode of travel increased 3.3 percentage points in 2015. The number of customers in 2015 who cited “get ride from a relative/friend” increased to 26.2 percent from 16.4 percent in 2014; the 2015 number was closer to the 24.9 percent who cited this mode in 2013. The number of respondents who said they would walk dropped from 7.9 percent to 2.1 percent in 2015. The percentage of those citing Access Services dropped nearly eight percentage points to zero in 2015.

Exhibit 2.10 Typical Travel Mode



# 2015 Dial-A-Ride Customer Survey Analysis

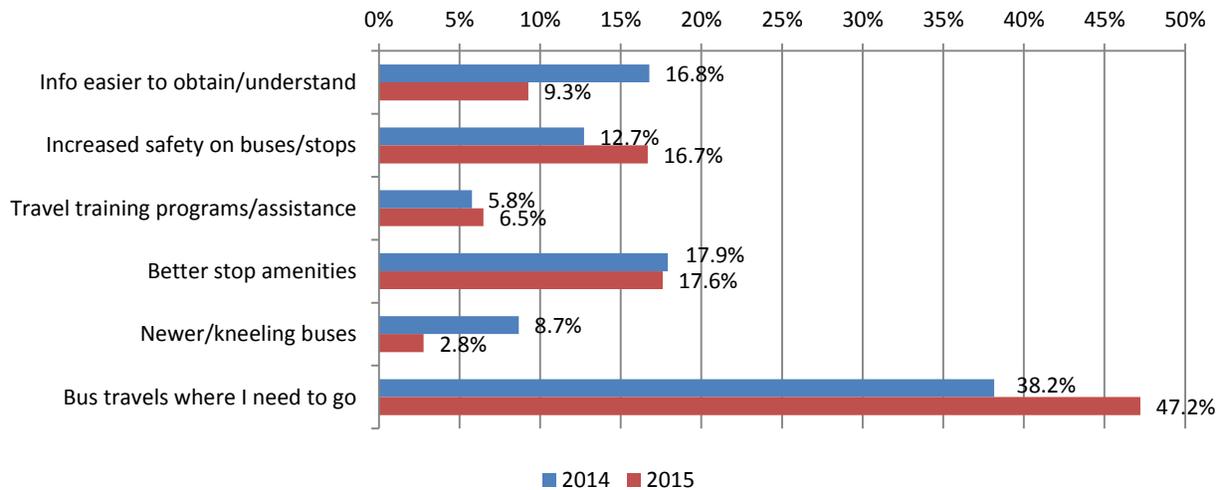
## Antelope Valley Transit Authority

### Final Report

#### Question: Which of the following would cause you to use AVTA's regular bus service for some of your trips?

Slightly more than 47 percent of respondents would use AVTA's regular bus service for some trips if it went where they need it to go, up from 38.2 percent in 2014. The percentage of customers who desire clearer, easier-to-obtain information dropped by nearly half to 9.3 percent. The percentage of customers who desire new buses fell from 8.7 percent in 2014 to 2.8 percent in 2015.

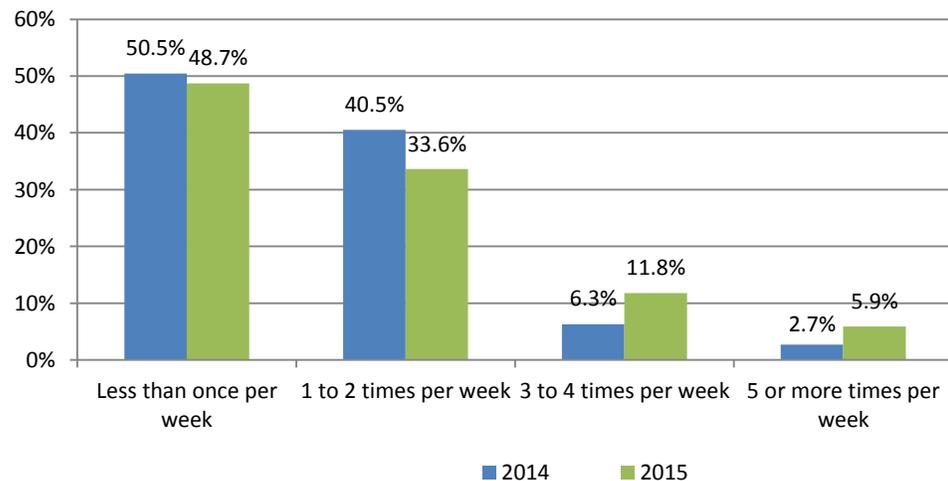
Exhibit 2.10 Cause to Use AVTA Regular Bus Service



#### Question: How often do you use Dial-A-Ride?

A large majority of customers (91 percent) continue to use AVTA DAR two or fewer times per week. However, the number who reported riding at least three times per week increased in 2015 to 17.7 percent, up from 9.0 percent in 2014.

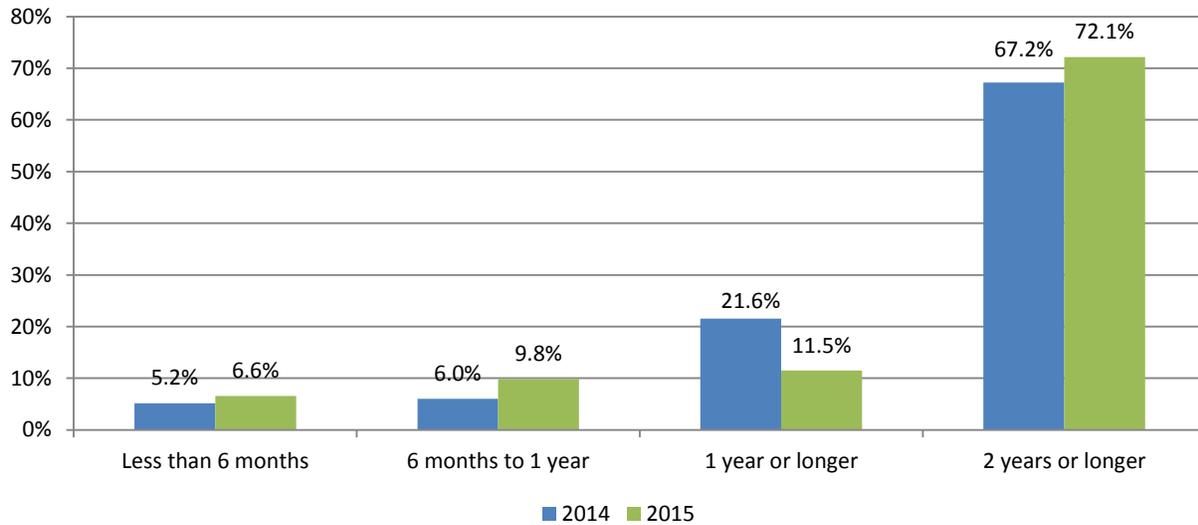
Exhibit 2.12 Frequency of Dial-A-Ride Use



#### Question: *How long have you been using Dial-A-Ride?*

While the number of customers who reported using AVTA DAR for two years or more increased to 72.1 percent in 2015, there was also notable growth in the number of customers who had been using the service less than one year. The number of customers who had been using DAR for less than six months rose slightly to 6.6 percent, and the number of customers who had been using the service for between six months and one year rose from 6.0 percent in 2014 to 9.8 percent in 2015.

Exhibit 2.13 Tenure of Dial-A-Ride Patronage





**DATE:** September 22, 2015  
**TO:** BOARD OF DIRECTORS  
**SUBJECT:** Dial-a-Ride (DAR) No-Shows and Late Cancellations (NSLC) Policy

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**RECOMMENDATION**

That the Board of Directors approve the revised Dial-a-Ride (DAR) No-Show and Late Cancellation (NSLC) Policy.

**FISCAL IMPACT**

There is no fiscal impact to the Authority.

**BACKGROUND**

In an effort to improve the availability of appointment time slots and DAR service efficiencies for all customers, AVTA has revised its current no-show policy to help mitigate on going No-Shows and Late Cancellations (NSLC), which result in lost time and wasted valuable resources.

Periodic NSLCs are an expected cost of doing business for most agencies providing DAR or Paratransit services. For every valid no-show recorded, AVTA is charged a rate of \$20, which is lower than the actual cost of a full trip (\$35.82). In FY2015, the recorded number of no-shows was 2,188, which equated to a cost of \$43,760 or 1,222 trips that could not be provided.

While AVTA understands that there are unexpected circumstances that may prohibit a customer from keeping their appointment, the Authority believes that the current NSLC policy does not provide enough warning to a customer before a suspension is administered or allow the customer adequate time for corrective action.

1 <sup>st</sup> Violation	30-Day suspension
2 <sup>nd</sup> Violation	6-Month suspension
3 <sup>rd</sup> Violation	1-Year suspension

*AVTA No-Show Policy Corrective Steps (current)*

The revised policy clearly defines NSLCs and provides a better progressive corrective action plan for customers utilizing DAR services.

If a customer demonstrates a "pattern or practice" of missing three or more and/or ten percent (10%), whichever is more, of their scheduled trips in any given month will result in a violation. Continued violations can result in suspension of their DAR privileges.

The following actions will apply to violations that occur during any given month within one year of the first violation:

1 <sup>st</sup> Violation	Documented Verbal Warning
2 <sup>nd</sup> Violation	Written Warning
3 <sup>rd</sup> Violation	15-Day Suspension
4 <sup>th</sup> Violation	30-Day Suspension
5 <sup>th</sup> Violation	6-Month Suspension
6 <sup>th</sup> Violation	1-Year Suspension

*AVTA No-Show and Late Cancellations (NSLC) Policy (Revised)*

In addition to corrective steps, if a customer receives a suspension they will have the right to appeal. To file an appeal, a customer or his/her representative must send a written explanation of why he or she should not be suspended along with any supporting facts, statements and documentation. All appeals must be received within 30 days of notification of suspension.

The revised AVTA NSLC policy is in accordance with U.S. DOT Regulations in implementing and addressing the issues of no-shows policies, specifically, 49, CFR 37.125(H).

Prepared by:

Submitted by:

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Dietter A. Aragón  
Senior Planning Officer

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Len Engel  
Executive Director

Attachments: A – DAR: No-Shows and Late Cancellations (NSLC) Policy  
B – Warning Letter Template  
C – Suspension Letter Template

<b>Subject: Dial-a-Ride: No-Show and Late Cancellation (NSLC) Policy</b>	
<b>Policy Revision Date: 9/22/2015</b>	<b>Date Approved: 9/22/2015</b>
<b>Approved by: Executive Director</b>	<b>Page: 1 of 2</b>

**I. Background**

In an effort to improve the availability of reservation time slots and improve Dial-A-Ride (DAR) service efficiencies for all customers, AVTAs has established a No-Show and Late Cancellations (NSLC) Policy.

No-shows and late cancellations result in lost time and wasted valuable resources that could have been used to provide life-line transportation service for other customers. The revised policy considers a customer's overall frequency of use and establishes a pattern of service abuse within a rolling 30-day period. Continued abuse of the DAR services can and will result in suspension of DAR privileges.

AVTA understands that there are unexpected circumstances that may prohibit a customer from meeting their appointment. Customers will have the right to appeal the violation(s) as described in Section IV (Appeal Process).

**II. No-Shows and Late Cancellations (NSLC)**

No-Show

A DAR customer schedules a trip but does not meet the vehicle within 5 minutes of its arrival. On time arrival of the vehicle is within a 30 minute window (10 minutes before or 20 minutes after the scheduled trip time).

Late Cancellation

A DAR customer fails to cancel a trip more than one (1) hour prior to their scheduled pick-up time or cancels the trip at the door after the driver has arrived for the pick-up.

**III. Warnings and Suspensions**

If, within a one month period, a customer missed three (3) or ten percent (10%), whichever is greater, of their scheduled trips a violation will be assessed that may result in suspension of DAR service.

The following actions will apply to violations that occur during a 30-day rolling period within one year from the first violation:

1 <sup>st</sup> Violation	Documented Verbal Warning
2 <sup>nd</sup> Violation	Written Warning
3 <sup>rd</sup> Violation	15-Day Suspension
4 <sup>th</sup> Violation	30-Day Suspension
5 <sup>th</sup> Violation	6-Month Suspension
6 <sup>th</sup> Violation	1 Year Suspension

#### IV. Appeal Process

Persons receiving suspensions will have the right to appeal. To file an appeal, a customer or his/her representative must send a written explanation of why the customer should not be suspended along with any supporting facts, statements or documentation.

All appeals must be received within 30 days of a notification of suspension. Appeals should be sent to:

Antelope Valley Transit Authority  
42210 6<sup>th</sup> Street West  
Lancaster, CA 93534

**Attention: Dial-a-Ride Services - Suspension Appeals.**

Appeals may also be emailed to [dar@avta.com](mailto:dar@avta.com)

A person appealing may continue to schedule DAR services pending the appeal decision.

# DRAFT

**Board of Directors**

**Chairman**  
**Marvin Crist**  
 City of Lancaster

**Vice Chair**  
**Dianne M. Knippel**  
 County of Los Angeles

**Director**  
**Steven D. Hofbauer**  
 City of Palmdale

**Director**  
**Fred Thompson**  
 City of Palmdale

**Director**  
**Angela E. Underwood-Jacobs**  
 City of Lancaster

**Director**  
**Michelle Flanagan**  
 County of Los Angeles

**Executive Director**  
**Len Engel**

Date

First, Last Name  
 Customer ID number  
 Customer Address

**RE: Dial-a-Ride (DAR) Customer No-Show Written Warning – 2nd Violation**

Dear Customer:

We are writing to inform you that your recently scheduled trip(s) on our DAR service resulted in three or more valid No-Show violations within the month of **(Month of Violations)**. One or both of the following issues occurred with your last scheduled trip:

- o The trip cancellation was made less than one (1) hour before the scheduled pick-up time or at the door.
- o The driver arrived within the 30-minute on-time window (10 minutes before or 20 minutes after), waited 5-minutes, and was unable to locate you.

A review of your record shows that in the last month(s) **(insert date timeframe)**, you had the following No-Show trips:

Date	Customer Number	Pick-up Address	Arrival Time	30-Minute Window	Departure Time

*Valid No-Shows*

We encourage you to cancel your reservation when you are unable or no longer require the trip. To cancel a trip, please call the cancellation line at (661) 945-9445 ext.1 and speak to a reservationist or leave a message on the automated voice recorder, which is available 24 hours a day. As stated above, trip cancellations need to be made at least one hour before the scheduled pick-up time.

Addressee Name

Date

Page 2

No Shows and Late Cancellations (NSLC) result in lost time and wasted valuable resources that could have been used to help other passengers. If you can verify that a No-Show is due to circumstances beyond your control, you may request that it be removed from your record. This request must be made within 30-days from the date of this letter.

As a reminder, ongoing no-show violations may/will result in suspension of DAR privileges and cause you to lose all standing reservations.

Please keep in mind that a DAR vehicle arriving anytime within the pick-up window will wait up to five minutes for a passenger. It is important to note that vans arriving within 20 minutes after the scheduled time are still considered on time and within the pick-up window. Should a vehicle arrive early (more than 10 minutes early, you are not required to board until 10 minutes before the scheduled time (at the beginning of the pick-up window).

For your convenience, AVTA has enclosed the Dial-a-Ride Service Brochure and policy, which includes general information on the program's rules and fares.

If you would like to discuss this further, please call AVTA at 661-945-9445 ext. 1, Monday through Friday, between 8:00 a.m. and 4:00 p.m. or email us at [DAR@avta.com](mailto:DAR@avta.com).

Thank you in advance for helping us improve the efficiency and quality of our service.

Sincerely,

AVTA Dial-a-Ride Services

cc: Applicable Jurisdictional Transit Advisory Committee Member

# DRAFT

## Board of Directors

### Chairman

Marvin Crist  
City of Lancaster

### Vice Chair

Dianne M. Knippel  
County of Los Angeles

### Director

Steven D. Hofbauer  
City of Palmdale

### Director

Fred Thompson  
City of Palmdale

### Director

Angela E. Underwood-Jacobs  
City of Lancaster

### Director

Michelle Flanagan  
County of Los Angeles

### Executive Director

Len Engel

Date

First, Last Name

Customer ID number

Customer Address

RE: Insert days of suspension Day Suspension of Dial-a-Ride (DAR) Services insert effective suspension dates – 3rd Violation

Dear (Customer Name):

We are writing to inform you that as of (insert start of suspension date) your DAR privileges are being suspended for (insert duration of suspension) days and will be reinstated on (insert date of reinstatement). Our records indicate that within the last 90 days, (insert # of valid no show trips) trips resulted in a valid no-show or late cancellation.

As a reminder:

- o The trip cancellation was made less than one (1) hour before the scheduled pick-up time or at the door.
- o The driver arrived within the 30-minute on-time window (10 minutes before or 20 minutes after), waited 5 minutes, and was unable to locate you.

During the last **(months of violations)**, you have received a verbal warning and a warning letter sent to you at the above address identifying your no-show infractions. Our DAR rules and policies were reiterated to you and you were advised that if the violations continue, your DAR privileges could be suspended.

Addressee Name

Date

Page 2

Below is a review of the recorded valid No-Show trips within the last 90 days:

Date	Customer Number	Pick-up Address	Arrival Time	30 Minute Window	Departure Time

*Valid No-Shows*

No-shows due to circumstances beyond your control, may be appealed and you may request that it be removed from your record. To file an appeal, please send a written explanation of why you should not be suspended along with any supporting facts and statements.

All appeals must be received within 30 days of this notification. Appeals can be sent or hand delivered to:

Antelope Valley Transit Authority  
42210 6th Street West  
Lancaster, CA 93534  
Attention: Dial-a-Ride Services, Suspension Appeals.

Appeals may also be emailed to [dar@avta.com](mailto:dar@avta.com). During the appeal process, you may continue to ride the DAR services pending the appeal decision. For your convenience, we have enclosed is the Dial-a-Ride Service brochure and policy, which includes general information on the program's rules and fares.

If you require additional information about the suspension, you may contact us at (661) 945-9445 ext. 293, Monday through Friday, between 8 a.m. and 4 p.m. or you may e-mail us at [dar@avta.com](mailto:dar@avta.com).

Sincerely,

AVTA Dial-a-Ride Services

cc: Applicable Jurisdictional Transit Advisory Committee Member



**DATE:** September 22, 2015

**TO:** BOARD OF DIRECTORS

**SUBJECT:** Award Contract #2016-07 to Complete Coach Works for Six 2008 MCI Commuter Coach Refurbishments

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#### **RECOMMENDATION**

That the Board of Directors authorize the Executive Director to execute sole respondent Contract #2016-07 for six 2008 MCI commuter coach refurbishments to Complete Coach Works, Riverside, CA, for an amount not to exceed \$1,000,000.

#### **FISCAL IMPACT**

Sufficient grant funds have been included in the FY16 Business Plan to pay for this required service.

#### **BACKGROUND**

This midlife refurbishment will resolve issues with the worn and problematic Cummins ISM engines. These engines are just past half of their useful life and all are in need of complete engine overhauls, AVTA has already experienced one failure. The transmissions have been problematic over the last year resulting in two failures which caused route delays, numerous customer complaints and emergency procurements.

These buses travel into downtown Los Angeles and any break down is inconvenient for our commuting customers and causes long delays in their commute. This midlife refurbishment will restore our aging fleet of commuter buses to a more reliable condition mechanically and repainting them with the new AVTA paint scheme will enhance our public image.

AVTA released a Request For Proposals (RFP) on July 10, 2015. The solicitation documents were posted to AVTA's website and advertisements were placed in the *Antelope Valley Press* and *Our Weekly Lancaster* newsletter. Prior to issuance of the RFP, the Board and TAC members were notified and asked to submit any recommendations for potential vendors. The local Chambers of Commerce and Antelope Valley Board of Trade were also notified via their respective newsletters and email lists.

AVTA's web based procurement system issued the solicitation notice with procurement documents attached to twenty-four registered firms.

Staff held an optional pre-proposal conference on July 20, 2015, with three firms attending. Two addenda were released prior to closing.

The RFP was opened on August 10, 2015. Of the twenty-four firms that received the RFP, only one (1) response was received. A review panel evaluated and ranked each proposal on the following criteria: proposer's solution (30%), project budget (20%), similar projects (15%), proposer's information (15%), project schedule/benchmarks (10%) and personnel (10%). Three hundred possible total points were available.

The firm and estimated costs for the refurbishment project are listed in the table below.

<b>Firm</b>	<b>Location</b>	<b>Total Score (300 Max)</b>	<b>Estimated Refurbishment Fee</b>
Complete Coach Works	Riverside, CA	272	\$841,894.20 to an amount not to exceed \$1,000,000.00

Complete Coach Works provided the best overall solution for AVTA. In addition to their reasonable pricing, it was obvious that their past commuter coach refurbishment experience with AVTA and other transit agencies gave them a clear insight into our budget requirements. Staff is confident that Complete Coach Works will do an excellent job.

Prepared by:

Submitted by:

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Mark Perry  
Fleet and Facility Manager

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Len Engel  
Executive Director