

REPORT TO SHASTA COUNTY RTPA

SUBJECT	MEETING DATE	ITEM NUMBER
Amendment #1 to the 2004/2005 Overall Work Program (OWP)	10/26/04	4

RECOMMENDATION

It is recommended that the Agency consider and approve Amendment #1 to the 2004/2005 Overall Work Program (OWP).

SUMMARY

The 2004/2005 OWP needs to be amended in order to complete the Transportation Planning Study for Shasta County's Southern Region and prepare the related Traffic Impact Fee Program to fund the improvements identified.

DISCUSSION

On April 22, 2003, the Agency approved the 2003/2004 OWP, which included a task to develop a Shasta County Southern Region traffic study, with a consultant budget of \$100,000. The study would develop improvement alternatives for Gas Point Road, the Gas Point Road and Main Street interchanges, and a new connector road from Gas Point Road to the City of Anderson. The OWP also budgeted a related special project to develop a Traffic Impact Fee Study/Program with a \$150,000 consultant budget. Staff completed the initial steps to scope these studies during 2003/2004; however, the \$250,000 in consultant funds were never spent. At this time, staff is proposing to move forward with the consultant work. It is requested that the Agency add \$150,000 in this year's budget for consultant services as shown in the attached amendment.

Details regarding the proposal study and RFP are included in item 5 of this agenda.

ALTERNATIVES

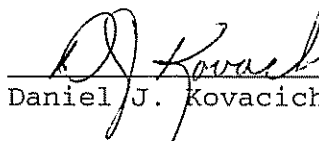
The Agency could choose not to amend the 2004/2005 OWP. This is not recommended since funding is available to complete these projects.

OTHER AGENCY INVOLVEMENT

This item was discussed at the October 12, 2004, Technical Advisory Committee (TAC) meeting. TAC supports the staff recommendation.

FINANCING

The 2004/2005 OWP will require additional revenue of \$132,795 Federal Highway Administration (FHWA) and \$17,205 of Transportation Development Act (TDA) match. These resources are available from the current surplus of prior year funds that were budgeted for this purpose, but not utilized.



Daniel J. Kovacich, Executive Officer

TLH/jac

Attachment: Revenue Sources OWP Page 47
2004/2005 Financial Summaries
2004/2005 OWP Pages 43-45
Minute Order

AVAILABLE REVENUES BY SOURCE

SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY
2004 - 2005 OVERALL WORK PROGRAM
Available Revenue by Source
REVISED FOR AMENDMENT # 1

Sources of Revenue:	Amount
Federal Highway Administration (FHWA) PL Funds 2004/2005 Allocation	398,679
Federal Highway Administration (FHWA) PL Funds - Carryover from Prior Years	245,933
AMENDMENT # 1 FOR RTPA - SOUTHERN REGION STUDY	88,530
AMENDMENT # 1 FOR RTPA - TRAFFIC IMPACT FEE PROGRAM	44,265
Federal Transit Administration (FTA) Planning (Section 5303) Funds 2004/2005 Allocation	50,601
Federal Transit Administration (FTA) Section 5303 - Carryover from Prior Years	14,361
Transportation Development Act Funds Allocated for Administration and Planning	206,665
AMENDMENT # 1 FOR RTPA - SOUTHERN REGION/TIF	17,205
Local In-Kind Match	32,997
Federal Aviation Administration	0
State Planning Partnership	0
State Subvention	0
Match (Caltrans)	0
Total Resources:	1,099,236
Total Expenses in OWP:	1,099,236
Difference between Revenues and Expenses	0

SECTION III
FINANCIAL SUMMARIES

SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY FINANCIAL SUMMARY FOR 2004 - 2005 BY FUNDING SOURCE AND LOCAL AGENCY 2004 - 2005 OVERALL WORK PROGRAM - ADJUSTED WITH AMENDMENT # 1							FUNDING SOURCES				
		A G E N C I E S									
		SHASTA CO	REDDING	SHASTA LAKE	ANDERSON	RABA	FHWA PL	FTA SEC 5303	IN KIND	TDA	ELEMENT SUB-TOTALS
Work Element and Description	Funding Sources										
701 Preparation and Administration of the Regional Transportation Plan	FHWA PL	241,192	3,895		3,156		248,244				
	FTA 5303							0			
	INKIND		0		0				0		
	TDA	31,249	505		409					32,163	
	STATE										
701 Subtotal:		272,441	4,400		3,565		248,244	0	0	32,163	280,406
702 Traffic Circulation Systems	FHWA PL	44,496	89,370	11,206	6,805		151,876				
	FTA 5303							0			
	INKIND	5,765	11,579	1,452	882				19,677		
	TDA	0	0							0	
	STATE										
702 Subtotal:		50,261	100,949	12,657	7,687		151,876	0	19,677	0	171,554
703 Public Transportation	FHWA PL						0				
	FTA 5303					64,962		64,962			
	INKIND					8,417			8,417		
	TDA	0				0				0	
	STATE										
703 Subtotal:		0	0	0	0	73,379	0	64,962	8,417	0	73,379
704 Non-motorized	FHWA PL	12,638	10,049	2,359	5,989		31,035				
	FTA 5303							0			
	INKIND		1,302	306	776				2,384		
	TDA	1,637								1,637	
	STATE										
704 Subtotal:		14,276	11,351	2,665	6,765	0	31,035	0	2,384	1,637	35,056
705 Aviation	FHWA PL	4,887					4,887				
	FTA 5303							0			
	INKIND								0		
	TDA	633								633	
	FAA	0	0								
705 Subtotal:		5,520	0	0	0	0	4,887	0	0	633	5,520
706 Preparation and Administration of the Regional Transportation Improvement Plan	FHWA PL	69,182	0	1,094	1,764		72,041				
	FTA 5303							0			
	INKIND								0		
	TDA	8,963	0	142	229					9,334	
	STATE										
706 Subtotal:		78,145	0	1,236	1,993	0	72,041	0	0	9,334	81,374
707 Administration of the Transportation Development Act	FHWA PL	6,867		0			6,867				
	FTA 5303							0			
	INKIND								0		
	TDA	148,619		0						148,619	
	STATE										
707 Subtotal:		155,486	0	0	0	0	6,867	0	0	148,619	155,486
709 Interagency Coordination and Development of the Overall Work Program	FHWA PL	56,272	2,957	1,094	4,411		64,734				
	FTA 5303							0			
	INKIND	0		0					0		
	TDA	7,291	383	142	572					8,387	
	STATE										
709 Subtotal:		63,562	3,340	1,236	4,983	0	64,734	0	0	8,387	73,121
710 Special Studies	FHWA PL	178,273	0	10,597	8,653		197,523				
	FTA 5303							0			
	INKIND		0	1,373	1,147				2,520		
	TDA	23,097								23,097	
710 Subtotal:		201,370	0	11,970	10,000	0	197,523	0	2,520	23,097	223,340
OWP Work Element Totals:	FHWA PL	613,807	106,271	26,350	30,979	0	777,407				
	FTA 5303	0	0	0	0	64,962		64,962			
	INKIND	5,765	12,881	3,130	2,805	8,417			32,997		
	TDA	221,490	888	284	1,209	0				223,870	
OWP Work Element Totals:		841,062	120,039	29,764	34,993	73,379	777,407	64,962	32,997	223,870	1,099,236

710.00 SPECIAL PROJECTS

Purpose

To establish and provide for the continuous development of the plans and procedures necessary to monitor traffic congestion within Shasta County, and to participate in related air quality planning activities carried out by local jurisdictions and agencies including the Air Quality Management District. This includes monitoring the performance of the transportation system using the performance measures developed for the RTP and the maintenance and operation of the countywide travel demand model.

Previous Ongoing Work

- Report on DBE activities
- Maintain a program to monitor the transportation system performance
- Analysis of census demographics and urban area impacts
- Maintain the Shasta County Travel Demand Model
- Traffic Study for Shasta Lake area
- Support ITS projects for the region
- Develop GIS base files for the region

<u>Task</u>		<u>Description/Estimated Completion</u>
710.01	5,302	Monitor Transportation Metrics/ITS architecture compliance - Review and documentation of Performance Measures, ITS project coordination. (Continuous)
710.02	2,999	GIS development of attributes, development of data layers, Traffic model integration. This task supports TAZ zone improvements for the traffic model. (June/2005)
710.03	2,600	Census data mining, urban/rural, demographic research in support of planning studies, development plans and better assessment of interregional mobility and access needs. (June/2005)
710.04	3,260	ITS review and development of goals and documentation of process. (June/2005)
710.06	2,844	DBE review and development of goals and documentation of process in support of annual filings. (April/2005)

710.08	21,970 <u>71,970</u>	Traffic Impact Fee Study (Consultant cost of \$20,000 \$70,000). This task will inventory existing conditions of interchanges, ramps, road networks, etc. and suggest a menu of solutions. (June/2005)
710.09	34,364 <u>134,364</u>	Transportation Planning Study - Southern Region (consultant cost of \$20,000 <u>120,000</u>). (June 2005)
TOTAL	73,340 <u>223,340</u>	

Products/Target Completion Dates

- Maintain and implement transportation system Performance measures and utilize output in transportation planning decision process. Jun/2005.
- GIS output for graphical display of layers of the network, model integration, etc. (June/2005)
- Census output and analysis of long form in region (June/2005)
- Documentation of performance measures - total system view (June/2005)
- DBE reporting (April/2005)
- Develop Traffic Impact Fee analysis documents for Anderson and Shasta Lake and West Cottonwood(June/2005).
- Utilize Census Transportation Planning Package 2000 (CTIP 2000) to cross-tabulate by race, ethnicity and income, travel flow data to help determine where new transportation systems/facilities can best serve low-income and minority communities.
- Develop transportation planning study for southern region. Identify and document facilities required to meet regional corridor study needs, perform modeling, document base case conditions, develop plan line documents and TIF program. (June 2005)

**FUNDING SOURCES 2004/05
WORK ELEMENT #710**

RESPONSIBLE AGENCY	NOTES	FHWA PL	FTA SEC 5303	INKIND	TDA	Reserve	TOTAL
Shasta County	1	27,772			3,598		31,370
Consultant	2+5	150,501			19,499		170,000
Redding		0		0			
Consultant		0		0			
Shasta Lake		1,744		226			1,970
Consultant	3	8,853		1,147			10,000
Anderson		0		0			
Consultant	4	8,853		1,147			10,000
RABA							
Caltrans							
TOTALS:		197,723	0	2,520	23,097	0	223,340

NOTE:

1)	31,370	SUPPORT FOR RTPA FUNCTIONS
2)	20,000	CONSULTANT SUPPORT FOR RTPA
3)	10,000	CONSULTANT SUPPORT FOR Shasta Lake
4)	10,000	CONSULTANT SUPPORT FOR ANDERSON

5) 100,000 +50 000 Amendment # 1 amounts for RTPA Projects

Staff Costs	32,340
Consultant Costs	190,000
Fixed Assets	
Training Costs	
Other Costs	1,000
Total Costs	223,340
PL CARRYOVER FUNDING IN ABOVE :	
	197,281

SHASTA COUNTY
REGIONAL TRANSPORTATION
PLANNING AGENCY

MINUTE ORDER

STATE OF CALIFORNIA, COUNTY OF SHASTA

The Governing Board of the Shasta County Regional Transportation Planning Agency met in regular session on the 26th day of October 2004 at Redding, California, there being present Board Members Clarke, Connick, Duryee, Hawes, Kight, Mathena, and Wilson.

2004/2005 OVERALL WORK PROGRAM AMENDMENT

On recommendation of the Executive Officer Kovacich, and by motion made, seconded and carried, the Board unanimously voted to amend the 2004/2005 Overall Work Program to use carryover funding from the prior years Overall Work Program to complete the Southern Region Alternative Roadway Plans and Traffic Impact Fee Program. This reflects revising work element 710 to add \$132,795 in Federal Highway Administration funds, and Transportation Development Act funds of \$17,205.

STATE OF CALIFORNIA, COUNTY OF SHASTA:

I, DANIEL J. KOVACICH, Executive Officer of the Shasta County Regional Transportation Planning Agency, do hereby certify the foregoing to be a full, true and correct copy of the minute order of said Transportation Planning Agency Governing Board on October 26, 2004.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 26th day of October 2004.

Daniel J. Kovacich, Executive Officer
Shasta County Regional
Transportation Agency

IX Directory (§26.31)

Shasta County RTPA will refer interested persons to the DBE directory available from the Caltrans' Disadvantaged Business Enterprise Program website at www.dot.ca.gov/hq/bep.

X Overconcentration (§26.33)

Shasta County RTPA has not identified any types of work in DOT-assisted contracts that have an overconcentration of DBE participation. If in the future Shasta County RTPA identifies the need to address overconcentration, measures for addressing overconcentration will be submitted to the DLAE for approval.

XI Business Development Programs (§26.35)

Shasta County RTPA does not have a business development or mentor-protégé program. If the Shasta County RTPA identifies the need for such a program in the future, the rationale for adopting such a program and a comprehensive description of it will be submitted to the DLAE for approval.

XII Required Contract Clauses (§§26.13, 26.29)

Contract Assurance

Shasta County RTPA ensures that the following clause is placed in every DOT-assisted contract and subcontract:

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 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 recipient deems appropriate.

Prompt Payment

Shasta County RTPA ensures that the following clauses or equivalent will be included in each DOT-assisted prime contract:

Satisfactory Performance

The agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the agency of the contract work and pay retainage to the prime contractor based on these acceptances. The prime contractor or subcontractor shall return all monies withheld in retention from a subcontractor within 3 days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Federal regulation (49 CFR 26.29) requires that any delay or postponement of payment over 30 days may take place only for good cause and with the agency's prior written approval.

Any violation of this provision shall subject the violating prime contractor or subcontractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. These requirements shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the prime contractor or subcontractor in the event of a dispute involving late payment, or nonpayment by the prime contractor, deficient subcontract performance, or noncompliance by a subcontractor. This provision applies to both DBE and non-DBE prime contractors and subcontractors.

XIII Monitoring and Enforcement Mechanisms (§26.37)

The Shasta County RTPA will assign a Resident Engineer (RE) or Contract Manager to monitor and track actual DBE participation through contractor and subcontractor reports of payments in accordance with the following:

After Contract Award

After the contract award the Shasta County RTPA will review the award documents for the portion of items each DBE and first tier subcontractor will be performing and the dollar value of that work. With these documents the RE/Contract Manager will be able to determine the work to be performed by the DBEs or subcontractors listed.

Preconstruction Conference

A preconstruction conference will be scheduled between the RE and the contractor or their representative to discuss the work each DBE subcontractor will perform.

Before work can begin on a subcontract, the local agency will require the contractor to submit a completed "Subcontracting Request," Exhibit 16-B of the LAPM or equivalent. When the RE receives the completed form it will be checked for agreement of the first tier subcontractors and DBEs. The RE will not approve the request when it identifies someone other than the DBE or first tier subcontractor listed in the previously completed "Local Agency Bidder DBE Information," Exhibit 15-G. The "Subcontracting Request" will not be approved until any discrepancies are resolved. If an issue cannot be resolved at that time, or there is some other concern, the RE will require the contractor to eliminate the subcontractor in question before signing the subcontracting request. A change in the DBE or first tier subcontractor may be addressed during a substitution process at a later date.

Suppliers, vendors, or manufacturers listed on the "Local Agency Bidder DBE Information" will be compared to those listed in the completed Exhibit 16-I of the LAPM or equivalent. Differences must be resolved by either making corrections or requesting a substitution.

Substitutions will be subject to the Subletting and Subcontracting Fair Practices Act (FPA). Local agencies will require contractors to adhere to the provisions within Subletting and Subcontracting Fair Practices Act (State Law) Sections 4100-4144. FPA requires the contractor to list all subcontractors in excess of one half of one percent (0.5%) of the contractor's total bid or \$10,000, whichever is greater. The statute is designed to prevent bid shopping by contractors. The FPA explains that a contractor may not substitute a subcontractor listed in the original bid except with the approval of the awarding authority.

The RE will give the contractor a blank Exhibit 17-F, "Final Report Utilization of Disadvantaged Business Enterprises, First Tier Subcontractors" and will explain to them that the document will be required at the end of the project, for which payment can be withheld, in conformance with the contract.

Construction Contract Monitoring

The RE will ensure that the RE's staff (inspectors) know what items of work each DBE is responsible for performing. Inspectors will notify the RE immediately of apparent violations.

When a firm other than the listed DBE subcontractor is found performing the work, the RE will notify the contractor of the apparent discrepancy and potential loss of payment. Based on the contractor's response, the RE will take appropriate action: The DBE Liaison Officer will perform a preliminary investigation to identify any potential issues related to the DBE subcontractor performing a commercially useful function. Any substantive issues will be forwarded to the Caltrans Disadvantaged Business Enterprise Program. If the contractor fails to adequately explain why there is a discrepancy, payment for the work will be withheld and a letter will be sent to the contractor referencing the applicable specification violation and the required withholding of payment.

If the contract requires the submittal of a monthly truck document, the contractor will be required to submit documentation to the RE showing the owner's name; California Highway Patrol CA number; and the DBE certification number of the owner of the truck for each truck used during that month for which DBE participation will be claimed. The trucks will be listed by California Highway Patrol CA number in the daily diary or on a separate piece of paper for documentation. The numbers are checked by inspectors regularly to confirm compliance.

Providing evidence of DBE payment is the responsibility of the contractor.

Substitution

When a DBE substitution is requested, the RE/Contract Manager will request a letter from the contractor explaining why substitution is needed. The RE/Contract Manager must review the letter to be sure names and addresses are shown, dollar values are included, and reason for the request is explained. If the RE/Contract Manager agrees to the substitution, the RE/Contract Manager will notify, in writing, the DBE subcontractor regarding the proposed substitution and procedure for written objection from the DBE subcontractor in accordance with the Subletting and Subcontracting Fair Practices Act. If the contractor is not meeting the contract goal with this substitution, the contractor must provide the required good faith effort to the RE/Contract Manager for local agency consideration.

If there is any doubt in the RE/Contract Manager's mind regarding the requested substitution, the RE/Contract Manager may contact the DLAE for assistance and direction.

Record Keeping and Final Report Utilization of Disadvantaged Business Enterprises

The contractor shall maintain records showing the name and address of each first-tier subcontractor. The records shall also show:

1. The name and business address, regardless of tier, of every DBE subcontractor, DBE vendor of materials and DBE trucking company.
2. The date of payment and the total dollar figure paid to each of the firms.
3. The DBE prime contractor shall also show the date of work performed by their own forces along with the corresponding dollar value of the work claimed toward DBE goals.

When a contract has been completed the contractor will provide a summary of the records stated above. The DBE utilization information will be documented on Exhibit 17-F and will be submitted to the DLAE attached to the Report of Expenditures. The RE will compare the completed Exhibit 17-F to the contractor's completed Exhibit 15-G and, if applicable, to the completed Exhibit 16-B. The DBEs shown on the completed Exhibit 17-F should be the same as those originally listed unless an authorized substitution was allowed, or the contractor used more DBEs and they were added. The dollar amount should reflect any changes made in planned work done by the DBE. The contractor will be required to explain in writing why the names of the subcontractors, the work items or dollar figures are different from what was originally shown on the completed Exhibit 15-G when:

There have been no changes made by the RE.

The contractor has not provided a sufficient explanation in the comments section of the completed Exhibit 17-F.

The explanation will be attached to the completed Exhibit 17-F for submittal. The RE will file this in the project records.

The local agency's Liaison Officer will keep track of the DBE certification status on the Internet at www.dot.ca.gov/hq/bep and keep the RE informed of changes that affect the contract. The RE will require the contractor to act in accordance with existing contractual commitments regardless of decertification.

The DLAE will use the PS&E checklist to monitor the Shasta County RTPA's commitment to require bidders list information to be submitted to the Shasta County RTPA from the awarded prime and subcontractors as a means to develop a bidders list. This monitoring will only take place if the bidders list information is required to be submitted as stipulated in the special provisions.

Shasta County RTPA will bring to the attention of the DOT through the DLAE any false, fraudulent, or dishonest conduct in connection with the program, so that DOT 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 §26.109. Shasta County RTPA also will consider similar action under our own legal authorities, including responsibility determinations in future contracts.

XIV Overall Goals (§26.45)

Amount of Goal

Shasta County RTPA's overall goal for the Federal fiscal year FY 2004/2005 is the following: 8% of the Federal financial assistance in FHWA-assisted contracts. This overall goal is broken down into 7% race-conscious and 1% race-neutral components.

Department of Transportation (DOT)-Assisted Contracting Program for FFY 2004/05

The following represents Shasta County Regional Transportation Agency projected FHWA funded contracts and expenditures by work category and corresponding North American Industry Classification for FFY 2004/05:

Work Category	NAIC Category	Estimated \$ Value	% Federal Funding
Traffic Consultants/Engineers	54133	40,000	88.5
Civil Engineering	54133	29,000	88.5
Planners	92512	40,000	88.5
Environmental Engineers	54169	30,000	88.5
Advertising- Newspaper Public	54189	5,000	88.5
Total		144,000	88.5

Goal Methodology

Step 1: Determination of a Base Figure

To establish Shasta County Regional Transportation Agency's Base Figure of the relative availability of DBEs in relation to all comparable firms available for Shasta County's FFY 2004/05 DOT-assisted contracting program, Shasta County Regional Transportation Agency has elected to utilize the Caltrans DBE Directory of Certified Firms (filtered to represent only DBE firms within Shasta County's relevant market area) for calculating the numerator and the Shasta Builders' Exchange (SBE) Winter 2004 Membership Directory (filtered to represent contractors which may perform professional services) within the same geographical market area to calculate the denominator, as follows:

For the numerator: Caltrans' DBE Directory of Firms in Shasta County

For the denominator: Shasta Builder's Exchange Directory of Firms in Shasta County

To derive at the relative availability of DBEs, the number of DBEs available in Caltrans' DBE directory was divided by the number of all comparable Shasta Builder's Exchange (SBE) firms available. Application of this formula yielded the following baseline information:

$$\frac{\text{Number of Ready, Willing, and Able DBEs}}{\text{Number of Ready, Willing, and Able Firms}} = \text{Base Figure}$$

The Base Figure resulting from this calculation is as follows:

$$\begin{aligned}\text{Base Figure} &= \frac{\text{DBE}}{\text{SBE}} * 100 \\ &= \frac{1}{19} = 5.26\%\end{aligned}$$

Step 2: Adjusting the Base Figure

Upon establishing the Base Figure, Shasta County Regional Transportation Agency reviewed and assessed other known relevant evidence to determine what additional adjustments, if any, were needed to narrowly tailor the Base Figure to Shasta County's marketplace. Factors considered in determining Shasta County Regional Transportation Agency's DBE participation that can be expected, absent discrimination, included the following:

A. Current Capacity of DBEs Measured by Forecasted Attainments

The volume of work that DBEs are expected to perform in Shasta County Regional Transportation Agency's DOT-assisted contracting program for Fiscal Year 2004/2005 is as follows:

Work Category	Estimated \$ Paid to Contractors	Estimated \$ Paid to DBE Firms	DBE Goal Attainment
Environmental Engineers/Planners	144,000	11,500	8%

B. Utilizing Goals Approved by Another Agency

The federal government has established goals for minority and female participation expressed in percentage terms for a contractors aggregate workforce in each trade on all construction work. The established goals are as follows:

<u>Classification</u>	<u>Goal</u>	<u>Area</u>
Minority	6.8%	Redding Economic Area
Female	6.9%	Nationwide

C. Census Bureau Business pattern Database (CBP)

The Base Figure was recalculated utilizing CBP data for professional service contractors in Shasta County as the denominator and Caltrans DBE Directory professional service contractor firms as the numerator. A Base Figure calculated by this method yields a Base Figure of 8% utilizing all contractor firms doing business and classified as NAIC Category 54133 in Shasta County.

D. Resultant Goal Adjustment

The impact of these factors resulted in an upward adjustment of the Base Figure from 5.26% to 8% for DBE participation in Shasta County Regional Transportation Agency's DOT-assisted contracts projected to be expended in FY 2004/05.

Utilization of Race-neutral and Race-conscious Methods

Of the overall annual 8% goal (8% = 100%) for DBE participation, Shasta County Regional Transportation Agency projects meeting 12.5% of the goal utilizing race-neutral methods, including making efforts to assure that bidding and contract requirements facilitate participation by DBEs and other small businesses; encouraging prime contractors to subcontract portions of the work that they might otherwise perform themselves; and providing technical assistance, and other support services to facilitate consideration of DBEs and other small businesses. The remaining 87.5% of the goal is anticipated to be accomplished through race-conscious measures, which includes establishing contract specific goals on contracts with subcontracting possibilities, when needed, to meet Shasta County Regional Transportation Agency overall annual DBE goal.

Public Participation in Setting Overall Annual DBE Goals

In conformance with Public Participation Regulatory Requirements of 49 CFR Part 26.45 and Caltrans Local Assistance Procedures Manual (LAPM)-Chapter 9, this goal analysis will be reviewed with minority, women, local business chambers, community organizations, and other U.S. DOT recipients. These entities are knowledgeable about the availability of disadvantaged and non-disadvantaged businesses and the effects of discrimination on contracting opportunities for DBEs within Shasta County's marketplace.

Starting with the federal fiscal year 2004, the amount of overall goal, the method to calculate the goal, and the breakout of estimated race-neutral and race-conscious participation will be required annually by June 1 in advance of the federal fiscal year beginning October 1 for DOT-assisted contracts. Submittals will be to the Caltrans' DLAE. An exception to this will be if FTA or FAA recipients are required by FTA or FAA to submit the annual information to them or a designee by another date. FHWA recipients will follow this process:

Once the DLAE has responded with preliminary comments and the comments have been incorporated into the draft overall goal information, the Shasta County RTPA will publish a notice of the proposed overall goal, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at the Shasta County RTPA principal office for 30 days following the date of the notice, and informing the public that comments will be accepted on the goals for 45 days following the date of the notice. The notice must be published in general circulation media and available minority-focused media and trade association publications. The notice will include addresses to which comments may be sent and addresses (including offices and websites) where the proposal may be reviewed.

The overall goal resubmission to the Caltrans DLAE, will include a summary of information and comments received during this public participation process and Shasta County RTPA responses. This will be due by September 1 to the Caltrans DLAE. The DLAE will have a month to make a final review so the Shasta County RTPA may begin using the overall goal on October 1 of each year.

If there is a design build please refer to Appendix B of this Model DBE Program.

XV Contract Goals (\$26.51)

Shasta County RTPA will use contract goals to meet any portion of the overall goal Shasta County RTPA does not project being able to meet by the use of race-neutral means. Contract goals are established so

that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of the overall goal that is not projected to be met through the use of race-neutral means.

Contract goals will be established only on those DOT-assisted contracts that have subcontracting possibilities. Contract goals need not be established on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work, availability of DBEs to perform the particular type of work). The contract work items will be compared with eligible DBE contractors willing to work on the project. A determination will also be made to decide which items are likely to be performed by the prime contractor and which ones are likely to be performed by the subcontractor(s). The goal will then be incorporated into the contract documents. Contract goals will be expressed as a percentage of the total amount of a DOT-assisted contract.

XVI Transit Vehicle Manufacturers (§26.49)

If DOT-assisted contracts will include transit vehicle procurements, Shasta County RTPA will require each transit vehicle manufacturer, as a condition of being authorized to bid or propose on transit vehicle procurements, to certify that it has complied with the requirements of 49 CFR Part 26, Section 49. Shasta County RTPA will direct the transit vehicle manufacturer to the subject requirements located on the Internet at <http://osdbuweb.dot.gov/programs/dbc/dbc.htm>.

XVII Good Faith Efforts (§26.53)

Information to be Submitted

Shasta County RTPA treats bidders/offers' compliance with good faith effort requirements as a matter of responsiveness. A responsive proposal is meeting all the requirements of the advertisement and solicitation.

Each solicitation for which a contract goal has been established will require the bidders/offers to submit the following information to 1855 Placer Street, Redding, California, no later than 4:00 p.m. on or before the third day, not including Saturdays, Sundays and legal holidays, following bid opening:

1. The names and addresses of known DBE firms that will participate in the contract;
2. A description of the work that each DBE will perform;
3. The dollar amount of the participation of each DBE firm participation
4. Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;
5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractor's commitment; and
6. If the contract goal is not met, evidence of good faith efforts.

Demonstration of Good Faith Efforts

The obligation of the bidder/offeror is to make good faith efforts. The bidder/offeror can demonstrate that it has done so either by meeting the contract goal or documenting good faith efforts. Examples of good faith efforts are found in Appendix A to part 26, which is attached.

The following personnel are responsible for determining whether a bidder/offeree who has not met the contract goal has documented sufficient good faith efforts to be regarded as responsive: Assistant Director of Public Works, Project Design and Administration Division Supervising Engineer, and Plans and Programs Division Senior Planner.

Shasta County RTPA will ensure that all information is complete and accurate and adequately documents the bidder/offeree's good faith efforts before a commitment to the performance of the contract by the bidder/offeree is made.

Administrative Reconsideration

Within 10 days of being informed by Shasta County RTPA that it is not responsive because it has not documented sufficient good faith efforts, a bidder/offeree may request administrative reconsideration. Bidder/offerees should make this request in writing to the following reconsideration official: Thomas Hays, Senior Planner, Shasta County RTPA, 1855 Placer Street, Redding, California, 530/225-5112, wramsdell@co.shasta.ca.us. The reconsideration official will not have played any role in the original determination that the bidder/offeree did not make or document sufficient good faith efforts.

As part of this reconsideration, the bidder/offeree 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/offeree will have the opportunity to meet in person with the reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do so. The Shasta County RTPA will send the bidder/offeree 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. The result of the reconsideration process is not administratively appealable to Caltrans, FHWA or the DOT.

Good Faith Efforts when a DBE is Replaced on a Contract

Shasta County RTPA will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. The prime contractor is required to notify the RE immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, the prime contractor will be required to obtain Shasta County RTPA prior approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts. If the contractor fails or refuses to comply in the time specified, Shasta County RTPA contracting office will issue an order stopping all or part of payment/work until satisfactory action has been taken. If the contractor still fails to comply, the contracting officer may issue a termination for default proceeding.

XVIII Counting DBE Participation (§26.55)

Shasta County RTPA will count DBE participation toward overall and contract goals as provided in the contract specifications for the prime contractor, subcontractor, joint venture partner with prime or subcontractor, or vendor of material or supplies. See the Caltrans' Sample Boiler Plate Contract Documents previously mentioned. Also, refer to XIII. "After Contract Award."

XIX Certification (§26.83(a))

Shasta County RTPA ensures that only DBE firms currently certified on the Caltrans' directory will participate as DBEs in our program.

XX Information Collection and Reporting

Bidders List

The Shasta County RTPA will create and maintain a bidders list, consisting of information about all DBE and non-DBE firms that bid or quote on its DOT-assisted contracts. The bidders list will include the name, address, DBE/non-DBE status, age, and annual gross receipts of firms.

Monitoring Payments to DBEs

Prime contractors are required to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of the Shasta County RTPA, Caltrans, FHWA, or DOT. This reporting requirement also extends to any certified DBE subcontractor.

Payments to DBE subcontractors will be reviewed by the Shasta County RTPA to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the schedule of DBE participation.

Reporting to Caltrans

Shasta County RTPA - Final utilization of DBE participation will be reported to the DLAE using Exhibit 17-F of the Caltrans' LAPM.

Confidentiality

Shasta County RTPA will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal, state, and local laws.

Daniel J. Kovacich

Executive Officer

Shasta County RTPA

This Disadvantaged Business Enterprises Program is accepted by:

Date: _____

[Signature of DLAE]

Date: _____

APPENDIX A TO PART 26 – GUIDANCE CONCERNING GOOD FAITH EFFORTS

I. When, as a recipient, you establish a contract goal on a DOT-assisted contract, a bidder must, in order to be responsible and/or responsive, make good faith efforts to meet the goal. The bidder can meet this requirement in either of two ways. First, the bidder can meet the goal, documenting commitments for participation by DBE firms sufficient for this purpose. Second, even if it doesn't meet the goal, the bidder can document adequate good faith efforts. This means that the bidder must show that it took all necessary and reasonable steps to achieve a DBE goal or other requirement of this part, which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

II. In any situation in which you have established a contract goal, part 26 requires you to use the good faith efforts mechanism of this part. As a recipient, it is up to you to make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. It is important for you to consider the quality, quantity, and intensity of the different kinds of efforts that the bidder has made. The efforts employed by the bidder should be those that one could reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere pro forma efforts are not good faith efforts to meet the DBE contract requirements. We emphasize, however, that your determination concerning the sufficiency of the firm's good faith efforts is a judgment call: meeting quantitative formulas is not required.

III. The Department also strongly cautions you against requiring that a bidder meet a contract goal (i.e., obtain a specified amount of DBE participation) in order to be awarded a contract, even though the bidder makes an adequate good faith efforts showing. This rule specifically prohibits you from ignoring bona fide good faith efforts.

IV. The following is a list of types of actions which you should consider as part of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases.

A. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

B. Selecting portions of the work to be performed by 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.

C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

D. (1) Negotiating in good faith with interested DBEs. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

(2) A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.

E. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.

F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

H. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and Federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

- V. In determining whether a bidder has made good faith efforts, you may take into account the performance of other bidders in meeting the contract. For example, when the apparent successful bidder fails to meet the contract goal, but others meet it, you may reasonably raise the question of whether, with additional reasonable efforts, the apparent successful bidder could have met the goal. If the apparent successful bidder fails to meet the goal, but meets or exceeds the average DBE participation obtained by other bidders, you may view this, in conjunction with other factors, as evidence of the apparent successful bidder having made good faith efforts.

APPENDIX B
TO BE USED FOR DESIGN-BUILD CONTRACTS

The following are hereby incorporated into the Agency's Disadvantaged Business Enterprise (DBE) Program:

II Objectives /Policy Statement (§§26.1, 26.23)

At the end of the first paragraph, add the following:

The Shasta County RTPA recognizes that certain modifications are necessary to adapt the program for use in connection with design-build contracts, and has therefore established certain procedures applicable to design-build DBE contracts under the DBE Program. Public Contract Code Section 4109 requires subcontractors to be identified by the prime contractor for the subletting or subcontracting of any portion of the work in excess of one-half of 1 percent of the prime contractor's total bid. Exceptions are only in the cases of public emergency or necessity, and then only after a finding reduced to writing as a public record of the awarding authority setting forth the facts constituting the emergency or necessity. The written public record of the awarding authority/Agency as to either emergency or necessity is attached hereto (See Appendix C for sample).

XIII Monitoring and Enforcement Mechanisms (§26.37)

At the end of the first paragraph below "After Contract Award", add the following paragraph:

After Design-Build Contract Award

As described in the Section entitled "GOOD FAITH EFFORTS" below, each proposer for an Agency design-build contract will be required to submit a DBE Performance Plan as part of a responsive proposal. Following award of a design-build contract and during both the design and construction portions of the project, the design-build contractor will be required to submit documentation, in the form of progress reports described below, to show that the design-build contractor is meeting the contract goal for the project, or if the goal is not being met, the design-build contractor must submit satisfactory evidence that it has made good faith efforts, in accordance with that Section, to meet the goal. Evidence of good faith efforts, as described in 49 CFR Part 26 Section 26.5349 and Appendix A, will be monitored by the Agency throughout the duration of the design-build project.

At the end of the first paragraph below "Preconstruction Conference", add the following sentence:

The contractor will promptly provide the Agency with the information required by the form entitled "Local Agency DBE Information" upon selection of any DBE or other subcontractor not previously identified by the design-build contractor. During the course of the contract, differences must be explained and resolved by either making corrections or requesting a substitution.

At the end of the fourth paragraph below "Construction Contract Monitoring", add the following paragraph:

The contractor will provide DBE Progress Reports to the Agency with each invoice and will provide an annual report on or before August 1 of each year of the design-build contract. Each report must also include a narrative summary stating whether the contractor is on target with respect to the DBE goal set forth in the design-build contract, whether the goal has been exceeded (stating the amount of the excess), or whether the contractor is behind target (stating the amount of the deficit).

XVII Good Faith Efforts (§26.53)

At the end of the third paragraph below "Information to be Submitted", add the following items:

7. A DBE Performance Plan containing a detailed description of the design-build contractor's planned methodology for achieving the DBE goal stated in the contract, including a description of the good faith efforts the design-build contractor intends to undertake to achieve that goal.

8. A design-build proposal must also include an affidavit that the proposer will either attain the DBE goals for the design-build contract or will exercise good faith efforts to do so.

At the end of the first paragraph below "Demonstration of Good Faith Efforts", add the following sentence:

If it is a design-build contract, each contractor proposing will be required to submit a DBE Performance Plan as part of a responsive proposal and good faith efforts.

[Signature of Local Agency Recipient's Chief Executive Officer]

Date:

This Disadvantaged Business Enterprise Program for design-build contracts is accepted by:

[Signature of DLAE]

Date:

APPENDIX C

RESOLUTION OF THE SHASTA COUNTY REGIONAL TRANSPORTATION PLANNING AGENCY
REGARDING NECESSITY
OR EMERGENCY FOR SUBSEQUENT SUBCONTRACTOR
IDENTIFICATION AND SELECTION FOR DESIGN-BUILD CONTRACTS

(REQUIRED BY PUBLIC CONTRACT CODE SECTION 4109
ENTITLED "Public Emergency Grounds For Change")

- A. EXPLANATION OF PUBLIC NECESSITY OR EMERGENCY:
- B. FACTS CONSTITUTING THE PUBLIC NECESSITY OR EMERGENCY:
- C. FINDINGS:
- D. RESOLUTION FOR SUBSEQUENT IDENTIFICATION OF SUBCONTRACTORS:
- E. ADOPTION OF PROCEDURE TO BE USED BY DESIGN-BUILD CONTRACTOR FOR
SUBSEQUENT IDENTIFICATION OF SUBCONTRACTORS:

F. CERTIFICATE OF SECRETARY

1. MOTION MADE AND DATE

2. VOTING RESULTS

3. SIGNATURES:

(a) (Secretary)

(b) (Chairperson)