

DEL NORTE LOCAL TRANSPORTATION COMMISSION  
MEETING AGENDA: TUESDAY, OCTOBER 5, 2021 AT 3 PM

Public Zoom Webinar Registration Link:

[https://us02web.zoom.us/webinar/register/WN\\_F\\_zG7Dx-Sv21uip-aMsXnA](https://us02web.zoom.us/webinar/register/WN_F_zG7Dx-Sv21uip-aMsXnA)

1. Call Meeting to Order
2. Pledge of Allegiance
3. Public comment period

Anyone wishing to make public comments regarding matters either on or off the agenda and within the Commission's jurisdiction may do so at this time; however, the Commission is not permitted to act on non-agenda items.

4. Adjourn to the Policy Advisory Committee  
CONSENT AGENDA for POLICY and ADMINISTRATIVE

*Items are considered routine in nature and voted on in one motion: Consider public comments or requests to pull matters from the consent agenda for separate action.*

- a) Minutes of September 7, 2021

Staff recommendation: By consensus, accept minutes of September 7, 2021.

- b) Triennial Performance Audit Contract

Proposed action: By polled vote, authorize the executive director to execute a contract with Michael Baker International for Triennial Performance Audit services.

POLICY and ADMINISTRATIVE

- c) Overall Work Program Amendment 1

Staff and TAC recommendation: By polled vote, adopt resolution 2021 15 amending the 2021-22 Overall Work Program

- d) Discussion items

- Hiouchi Flat Trail
- US 199 at Elk Valley Cross Road

5. Policy Advisory Committee comments and reports
6. Action on the recommendations of the Policy Advisory Committee  
Adjourn as the Policy Advisory Committee, reconvene as the Del Norte Local Transportation Commission, and by polled vote, approve and adopt the actions taken by the Policy Advisory Committee in the items listed above.
7. Adjourn until the regular meeting on Tuesday, November 3, 2021 at 3 p.m.

Anyone requiring reasonable accommodation to participate in the meeting should contact the Executive Director Tamera Leighton, at (707) 465-3878, at least five (5) days prior to the meeting.

## CONSENT AGENDA ITEM A-B

**DATE:** OCTOBER 5, 2021  
**TO:** DEL NORTE LOCAL TRANSPORTATION COMMISSION  
**FROM:** TAMERA LEIGHTON, EXECUTIVE DIRECTOR  
**SUBJECT:** CONSENT AGENDA ITEMS

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- a) Minutes of September 7, 2021  
Staff recommendation: By consensus, accept minutes of September 7, 2021.
  
- b) Triennial Performance Audit Contract  
Proposed action: By polled vote, authorize the executive director to execute a contract with Michael Baker International for Triennial Performance Audit services.

This proposal review and scoring process is long-standing and follows the requirements of transportation planning agencies in the State, and the contracted work is a mandate for recipients of Transportation Development Act funding.

**DRAFT**

**DEL NORTE TRANSPORTATION COMMISSION  
REGULAR MEETING MINUTES: TUESDAY, SEPTEMBER 7, 2021 AT 3 PM**

Present: Commissioner Ray Altman, City  
Commissioner Jason Greenough, City, Chair  
Commissioner Gerry Hemmingsen, County  
Commissioner Chris Howard, County  
Commissioner Darrin Short, County, Vice-Chair  
Commissioner Beau Smith, City

Absent: None

Also Present: Tatiana Ahlstrand, Caltrans, Policy Advisory Member  
Susan Brown, Rural Approaches  
Tom Fitzgerald, Caltrans  
Andrew Leighton, City  
Tamara Leighton, Local Transportation Commission  
Brad Mettam, Caltrans  
Joe Rye, Redwood Coast Transit

**1. CALL MEETING TO ORDER**

Vice-Chair Short called the meeting to order at 3:04 p.m.

**2. PLEDGE OF ALLEGIANCE**

Vice-Chair Short led the Pledge of Allegiance

**3. PUBLIC COMMENT PERIOD**

Anyone wishing to make public comments regarding matters either on or off the agenda and within the Commission's jurisdiction may do so at this time; however, the Commission is not permitted to act on non-agenda items.

The following person(s) addressed the Commission: Janet Gilbert inquired about design compliance in the significant transportations issues on page 3 of the Overall Work Plan. Tamera Leighton will get the information to Janet.

**4. ADJOURN TO THE POLICY ADVISORY COMMITTEE**

Chair Greenough adjourned as the Del Norte Local Transportation Commission and immediately reconvened as the Policy Advisory Committee at 3:10 p.m.

**CONSENT AGENDA**

Items are considered routine in nature and voted on in one motion: Consider public comments or requests to pull matters from the consent agenda for separate action.

**a) MINUTES OF JULY 6, 2021**

Staff recommendation: By consensus, accept minutes of July 6, 2021.

**b) FISCAL AUDIT CONTRACT FOR 2020-21 YEAR**

Proposed action: By polled vote, authorize the executive director to execute the contract with Harshwall and Associates for fiscal audit services.

**c) TRANSPORTATION DEVELOPMENT ACT FUNDING FOR TRIENNIAL PERFORMANCE AUDIT**

Proposed action: By polled vote, adopt Resolution 2021 13 allocating Transportation Development Act (TDA) for Triennial Performance Audit services.

**d) RESOLUTION APPROVING THE STATE OF GOOD REPAIR TRANSIT FUNDING LIST**

Proposed action: By polled vote, adopt Resolution 2021 14 approving the State of Good Repair funding project list.

Public Comment: None

On a motion by Commissioner Short, seconded by Commissioner Howard, and unanimously carried on a polled vote the Del Norte Local Transportation Commission approved items 4 a-d.

**POLICY and ADMINISTRATIVE**

**e) DISCUSSION ITEMS**

- Review the conceptual and preliminary proposal for US 199 at Elk Valley Cross Road and the related funding strategy – Tamera Leighton introduced Tom Fitzgerald, Caltrans District 1 Deputy Director, and Brad Mettam, Deputy Director for Planning and Landscape Architecture, who will update the Commissioners on the preliminary Proposal. Tom Fitzgerald shared a mock-up of a proposed 130' round-a-bout that would be constructed at the US 199 and Elk Valley Cross Road. The proposed round-a-bout would fit within the paved area of the road and would slow traffic and lower the severity of accidents. Tom explained that the incident rate for this crossroad does not meet the threshold for major project work. Caltrans has been searching for a solution and found the round-a-bout may be a viable solution. The Safety Index for this crossroad is 230, which is the bare minimum to justify a project. The history of traffic incidents merits about \$2.2 million for project work. Combining Caltrans funding with the available Del Norte Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) funds may bring this project to completion. Right now Caltrans does not have enough information on estimated costs for the project but expects to have an estimate in December. The estimate will help Caltrans decide if the project is doable with Caltrans funds only, or

Caltrans funds combined with CRRSAA funds, or if there are no funds from Caltrans for this project. The funding determination is scheduled to be decided by March of 2022. The proposal will then go to headquarters for conceptual approval and funds may then be committed. Commissioner Short asked if a 130' round-a-bout is a standard width. Tom is not aware of a standard width but informed the Commissioners that the Lake County round-a-bout is 130' which accommodates trucks. The designer working on the Elk Valley Cross Road round-a-bout is the same designer that worked on the Lake County project. 130' is substantial and should be adequate. Of concern is the shoulder because of how it may currently be constructed. Commissioner Hemmingsen asked if there are any hoops to go through or if there is enough data to move this project forward. Tom responded the 8 documented collisions move the project into funding eligibility, however, that funding is at a minimum of approximately \$2.2 million. Tom went on to say they are now trying to fit a project into the budget amount. Getting the estimate is the crucial next step. Commissioner Howard expressed appreciation to Caltrans for their help in moving this project forward as it has been discussed for several years. Tamera informed the Commissioners the CRSSA funds are about \$0.5 million and could assist in getting this project going, and if the project cannot happen the funds can be reallocated to another project such as the Washington Boulevard Culvert Project. Tamera stated and Tom confirmed that Caltrans will make a commitment or inform DNLTC that the project will not go forward by March 31, 2022. Tamera also stated the TAC members are informally supporting the project. Chair Greenough asked if this is the best possible option for the desired result. Tamera related that several studies have been done and meetings with Caltrans concluded that traffic circles are effective and the best possible solution for this intersection and within budget limitations. Tightening the onramp curve that was previously discussed will most likely cause more collisions and is cost-prohibitive. Also, traffic circles solve the traffic problem from all directions, not just for drivers exiting 101 North to 199, though this has the highest collision incidence. Commissioner Smith inquired about collision data. Tamera will distribute the Elk Valley Cross Road document that includes problems and solutions.

- DNLTC Crowdsourcing review with Green DOT Transportation Solutions - Tamera Leighton discussed the crowdsourcing link on the DNLTC website where anyone can insert a pin on an area of concern and add their comment. All comments are moderated to make sure only relevant comments appear. Previous data from Commonplace and collision data from Law Enforcement agencies have been incorporated into the new site. Data can be filtered for specific needs.
- US 199 Safety Audit study update – Tamera Leighton reported there have been multiple contracting delays and a schedule has been requested from

Caltrans. Tamera reported this project has been in the works for about three years and the study will look for lower-level solutions first and will make recommendations for improvements.

- Hiouchi community convening to discuss improvements – Tamera Leighton reported that the community of Hiouchi is taking another look at a possible pedestrian crossing between the rest area and Hiouchi. Community meetings will determine if common ground can be reached or not.
- Transportation economic impact – Tamera Leighton directed the Commissioner to the information in the packet.
- Caltrans milestones chart - Tamera Leighton referred to the information in the packet and stated the Commission should receive quarterly reports tracking projects and their progress.

Public Comment: None

## **5. POLICY ADVISORY COMMITTEE COMMENTS AND REPORTS**

Tasha Ahlstrand discussed the Clean California Program and she is currently reviewing documents for the Crescent City Gateway, Bus Shelter, Smith River Safety corridor, and other projects. Tasha explained she worked with the TAC members on priorities. She also stated there is a current call for applications for planning activities only for Clean California priorities.

Commissioner Short commented on a recent accident at Walker Road and US Highway 199 stating that the cause was the driver not seeing additional traffic. Commissioner Hemmingsen relayed his appreciation to Caltrans for their response to the local transportation needs.

Chair Greenough thanked Caltrans for all their work.

## **6. ACTION ON THE RECOMMENDATIONS OF THE POLICY ADVISORY COMMITTEE**

Adjourn as the Policy Advisory Committee, reconvene as the Del Norte Local Transportation Commission, and by polled vote, approve and adopt the actions taken by the Policy Advisory Committee in the items listed above.

Public Comment: None

On a motion by Commissioner Short, seconded by Commissioner Howard, and unanimously carried on a polled vote the Del Norte Local Transportation Commission approved items 4 a-d.

## **7. ADJOURN UNTIL THE REGULAR MEETING SCHEDULED ON TUESDAY, OCTOBER 5, 2021 AT 3:00 P.M.**

With no further business before the Commission, Chair Greenough adjourned the regular meeting at 4:00 p.m., until the next regularly scheduled meeting on Tuesday, October 5, 2021, at 3:00 p.m.

Respectfully submitted

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Tamera Leighton, Executive Director

DEL NORTE LOCAL TRANSPORTATION COMMISSION  
PROFESSIONAL SERVICES AGREEMENT WITH  
MICHAEL BAKER INTERNATIONAL

THIS PROFESSIONAL SERVICES AGREEMENT ("Agreement") is entered into and effective as October 8, 2021 ("Effective Date"), by and between the Del Norte Local Transportation Commission ("DNLTC") and Michael Baker International ("Consultant") (collectively, the "Parties").

WHEREAS, the Parties enter into this Agreement for the purpose of Consultant providing professional Triennial Performance Auditing services to DNLTC under the terms and conditions set forth in this Agreement.

THEREFORE, in consideration of the mutual covenants contained in this Agreement, the Parties agree as follows:

1. Services. Consultant will provide the professional services as described in and in accordance with Proposal set forth in Exhibit A, attached hereto and incorporated herein ("Services"). As needed by DNLTC, Services will be ordered by DNLTC by specifying the task to be performed ("Task Orders"). There are no additional Task Orders. Additional Task Orders may be agreed to by the Parties and these must be numbered in series and will be set forth in similar format and attached to and become part of this Agreement.

2. Compensation.

A. For the full performance of the Services described in Exhibit A, DNLTC will compensate Consultant on a time-and-materials basis at the compensation rates specified in Consultant's Services Rate Schedule included in Exhibit A; provided, however, that total compensation for the full performance by Consultant of all Services under the Proposal and all Task Orders must not exceed twenty-six thousand nine hundred and ninety dollars (\$26,990).

B. Consultant must submit detailed monthly invoices reflecting all services performed during the preceding month, including a revised or re-stated schedule for performance and any additional documentation requested by DNLTC.

C. Consultant will be compensated for services in addition to those described in Exhibit A, only if Consultant and DNLTC execute a written amendment to this Agreement describing the additional services to be performed and the compensation to



be paid for those services. In no case will the total compensation under this Agreement exceed the "not-to-exceed" amount specified in Paragraph A, above, without prior written authorization from DNLTC.

D. DNLTC's obligation to pay compensation to Consultant is contingent upon Consultant's performance of the Services pursuant to the terms and conditions of this Agreement and any amendments. Before payment is disbursed, Consultant must be in compliance with Paragraph 19 of this Agreement.

3. Term. The term of this Agreement commences on the Effective Date, and terminates on June 20, 2022, unless sooner terminated in accordance with Section 4. Upon termination, any and all of DNLTC's documents or materials provided to Consultant and any and all of the documents or materials prepared for DNLTC or relating to or derived from the performance of the Services, must be delivered to DNLTC as soon as possible, but not later than fourteen (14) days after termination of the Agreement.

4. Termination. DNLTC may terminate this Agreement without cause upon ten (10) days' written notice. DNLTC may immediately terminate or suspend this Agreement for cause. Cause for immediate termination or suspension includes, but is not limited to, any breach of this Agreement by Consultant or Consultant's bankruptcy or insolvency. Upon receipt of notice of termination or suspension for cause, Consultant must immediately stop all work in progress under this Agreement. In the event of early termination of this Agreement by DNLTC, Consultant is entitled to payment for all Services performed to the date of termination to the extent the Services were performed to the satisfaction of DNLTC in accordance with the terms and conditions of this Agreement. If DNLTC terminates this Agreement for cause, Consultant is liable to DNLTC for any excess cost DNLTC incurs for completion of the Services.

5. Consultant's Representation; Independent Contractor. Consultant represents that Consultant possesses distinct skills for performing the Services. DNLTC has relied upon that representation as a material inducement to enter into this Agreement. Consultant must, therefore, provide properly skilled and technical personnel to perform all Services. It is expressly understood that Consultant, its agents, and employees act in an independent capacity and as an independent contractor and not as officers, employees or agents of DNLTC. This Agreement may not be construed as an agreement for employment.

6. Facilities and Equipment. Consultant must, at its sole cost and expense, furnish all facilities and equipment that may be required for furnishing Services under this Agreement. DNLTC will furnish to Consultant no facilities or equipment, unless DNLTC otherwise agrees in writing to provide them.

7. Licenses, Permits, Etc. Consultant must, at Consultant's sole cost and expense, keep in effect and require its subcontractors, if any, to keep in effect at all times during the term

of this Agreement any licenses, permits or other approvals that are legally required for performing the Services.

8. Time. Consultant will devote enough time to the performance of the Services as may be reasonably necessary for satisfactory performance of Consultant's obligations under this Agreement.

9. Inspection. Consultant must provide DNLTC every reasonable opportunity to ascertain that the Services are being performed in accordance with the requirements and intentions of this Agreement. All work done and materials furnished, if any, are subject to inspection and approval by DNLTC. The inspection of the work does not relieve Consultant of any of its obligations under this Agreement.

10. Progress Reports. Upon DNLTC's request, Consultant must provide, in a form acceptable to DNLTC, written progress reports of all oral and written observations, opinions, recommendations, analyses, progress and conclusions related to Consultant's performance of the Services.

11. Confidentiality. In the course of providing services for DNLTC, Consultant may have access to trade secrets and confidential information, disclosure of which is protected or limited by law. Consultant will not directly or indirectly disclose or use any confidential information, except as required for the performance of the Services.

12. Conflict of Interest. Consultant represents that it presently has no interest, and covenants that it will not acquire any interest, direct or indirect, financial or otherwise, which would conflict in any manner or degree with the performance of the Services. Consultant further covenants that, in the performance of this Agreement, it will not employ any subcontractor or person having a conflict of interest. Consultant represents that no one who has or will have any financial interest under the Agreement is an officer or employee of DNLTC. If a conflict of interest arises during this Agreement or any extension, Consultant will immediately advise DNLTC and DNLTC may, at its sole discretion, immediately terminate this Agreement.

13. Consultant No Agent. Except as DNLTC may specify in writing, Consultant has no authority, express or implied, to act on behalf of DNLTC in any capacity whatsoever as an agent. Consultant has no authority, express or implied, under this Agreement to obligate DNLTC in any way.

14. Standard of Performance. Consultant must perform all the Services in a manner consistent with the standards of Consultant's profession. If there is no professional standard applicable to the Services, Consultant must perform in a manner consistent with the standards applicable to Consultant or the type of work. All instruments of service, as defined by the American Institute of Architects, that Consultant delivers to DNLTC under this Agreement, must

be prepared to comply with and conform to the standards of Consultant's type of work. All instruments of service become the sole and exclusive property of DNLTC upon delivery.

15. Assignment/Transfer. Consultant will make no assignment or transfer in whole or in part of this Agreement without the prior written consent of DNLTC.

16. Subcontractors. Consultant must directly perform all Services, and may not subcontract any portion of performance of the Services without the prior written consent of DNLTC. Any approved subcontractors are required to comply, to the full extent applicable, with the terms and conditions of this Agreement. Upon execution of this Agreement, Consultant must furnish a separate schedule of names and addresses of subcontractors, if any, and must notify DNLTC in advance if changes in subcontractors occur.

17. Internal Revenue Service Form W-9. Consultant will provide an Internal Revenue Service Form W-9, Request for Taxpayer Identification Number and Certification, as required by DNLTC to comply with regulations of the United States Department of the Treasury. DNLTC's Finance Department will provide Consultant with the required form. Consultant must complete and file the form with DNLTC before any payment for Services may be made.

18. Business License. Consultant must file and require all its subcontractors to file, a Business License Application as required by the appropriate local government agency. Consultant must file and require all its subcontractors to complete and file the form with the appropriate local government agency and must pay or cause to be paid the business license fee before any payment for Services under this Agreement is rendered.

19. Compliance with All Laws. Consultant and any subcontractors must comply fully with all applicable local, state and federal rules, laws, regulations and ordinances pertaining to performance of the Services, including the Americans with Disabilities Act and any copyright, patent or trademark law. To the extent that any other government agency or entity provides compensation for any Services, Consultant must comply with all rules and regulations applicable to that fiscal assistance. Consultant's failure to comply with any law(s) or regulations(s) applicable to the performance of the Services hereunder may be declared, at the discretion of DNLTC, a breach of contract.

These laws include, but are not limited to, the California Prevailing Wage Law; California Labor Code section 1720 et seq. Because the services described in Exhibit A include "work performed during the design and preconstruction phases of construction including, but not limited to, inspection and land surveying work," the services constitute public works within the definition of section 1720(a)(l) of the California Labor Code.

Therefore, the services described in Exhibit A must be performed in accordance with all

applicable requirements of the California Prevailing Wage Law including, but not limited to, all applicable requirements contained in Exhibit C, which is attached to and made a part of this Agreement. To the extent that any other government agency or entity provides compensation for any services, consultant must comply with all rules and regulations applicable to the fiscal assistance.

20. Discrimination. During the performance of this Agreement, Consultant must not discriminate against any employee or applicant for employment because of race, religion, creed, color, national origin, ancestry, gender, sexual orientation, age or physical or mental disability in violation of any applicable law.

21. Notice. Except as otherwise specified in this Agreement, all notices to be sent pursuant to this Agreement must be made in writing and sent to the Parties at their respective addresses specified below or to any other address a Party may designate by written notice delivered to the other Party in accordance with this Section. All notices must be sent by:

- A. Personal delivery, in which case notice is effective upon delivery; or
- B. Certified or registered mail, return receipt requested, in which case notice will be deemed delivered on receipt if delivery is confirmed by a return receipt; or
- C. Nationally recognized overnight courier, or USPS Express or Priority Mail, with tracking, with charges prepaid or charged to the sender's account, in which case notice is effective on delivery if delivery is confirmed by the delivery service; or

DNLTC:

Tamera Leighton, Director  
Del Norte Local Transportation Comm  
900 Northcrest Drive #16  
Crescent City, CA 95531  
(707) 465-3878

Consultant:

Derek Wong  
Michael Baker International  
2729 Prospect Park Drive, Suite 220  
Rancho Cordova, CA 95670  
Phone: (916) 231-2225

22. Ownership of Documents. All original papers, documents or computer material on disk or microfilm, and copies thereof, produced as a result of this Agreement (collectively "Project Documents"), are the property of DNLTC and may not be used by Consultant without the written consent of DNLTC. Consultant will provide documents in electronic form in a format required by DNLTC. Copies of these documents or papers must not be disclosed to others without the written consent of the Director or their designated representative. DNLTC agrees to indemnify and hold Consultant harmless for claims resulting from DNLTC's alteration of the Project Documents for another DNLTC project.

23. Internet-Ready Deliverables. If applicable to this Agreement, each contract deliverable must be delivered as an unlocked data file suitable for publication on the Internet. The following specifications define the formats that satisfy this requirement:

- A. Brochures, reports, plan documents, catalogues, flyers with graphics included, and forms are to be formatted as screen-optimized ".pdf " files, if possible.
- B. Freestanding, individual graphics such as logos, small maps and photos are to be formatted as ".tif " files, with the largest side no larger than four inches.
- C. Large maps are to be formatted as ".jpg" files with the largest side no larger than four inches, unless mutually agreed otherwise by the Parties.
- D. Short text documents with no graphics are to be in MS Word.
- E. Freestanding charts, graphs and listings are to be in MS Excel.

24. Indemnification. To the fullest extent allowed by law, Consultant will indemnify, defend with counsel acceptable to DNLTC, and hold harmless DNLTC and its officers, officials, employees, agents and volunteers from and against any and all liability, loss, damage, claims, suits, actions, arbitrations proceedings, administrative proceedings, regulatory proceedings, civil penalties and fines, expenses and costs (including, without limitation, attorney's fees and costs and fees of litigation) (collectively, "Liability") of every nature, whether actual, alleged or threatened, arising out of or in connection with Consultant's performance of the Services or its failure to comply with any of its obligations contained in this Agreement, except such Liability caused by the sole negligence or willful misconduct of DNLTC.

The Consultant's obligation to defend and indemnify will not be excused because of the Consultant's inability to evaluate Liability or because the Consultant evaluates Liability and determines that the Consultant is not liable to the claimant. The Consultant must respond within thirty (30) days to the tender of any claim for defense and indemnity by DNLTC, unless this time has been extended by DNLTC. If the Consultant fails to accept or reject a tender of defense and indemnity within thirty (30) days, in addition to any other remedy authorized by law, so much of the money due the Consultant under and by virtue of this Agreement as is necessary for DNLTC may be retained by DNLTC until disposition has been made of the claim or suit for damages, or until the Consultant accepts or rejects the tender of defense, whichever occurs first. Furthermore, Consultant and Subcontractors' obligations to indemnify and defend DNLTC are binding on their successors and assigns and will survive the termination or completion of this Agreement for the fullest extent and duration allowed by law.

With respect to third party claims against the Consultant, the Consultant waives any and all rights of any type to express or implied indemnity against the Indemnitees.

Notwithstanding the foregoing, to the extent this Agreement is a "construction contract" as defined by California Civil Code section 2783, as may be amended from time to time, such duties of Consultant to indemnify will not apply when to do so would be prohibited by California Civil Code Section 2782.

Notwithstanding the foregoing, to the extent that this Agreement includes design professional services under Civil Code Section 2782.8, as may be amended from time to time, such duties of Consultant to indemnify will only be to the full extent permitted by Civil Code Section 2782.8.

The defense and indemnification obligations of this Agreement are undertaken in addition to, and will not in any way be limited by, the insurance obligations contained in this Agreement. If any term or portion of this section is held to be invalid, illegal, or otherwise unenforceable by a court of competent jurisdiction, said section will be interpreted to allow the broadest indemnity permitted by law.

25. Insurance. Consultant must procure and maintain for the duration of this Agreement insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Consultant, Consultant's agents, representatives and employees.

A. Minimum Scope of Insurance. Coverage must be at least as broad as:

1. Insurance Services Office Commercial General Liability coverage (occurrence form CG 0001).
2. Insurance Services Office form number CA 0001 (Ed. 12/90) covering Automobile Liability, code 1(any auto), or code 8, 9 if no owned auto.
3. Workers' Compensation Insurance as required by the State of California and Employers' Liability Insurance. If no employees are utilized, the Consultant will provide a signed declaration as described in California Health and Safety Code Section 19825.
4. Professional liability insurance appropriate to the Consultant's profession. Architects' and Engineers' coverage is to be endorsed to include contractual liability.

B. Minimum Limits of Insurance. Consultant will maintain limits no less than:

1. General Liability: \$2,000,000 per occurrence for bodily injury, personal injury and property damage. If Commercial General Liability Insurance or other form with a general aggregate limit is used, either the general aggregate limit must apply separately to this project/location or the general aggregate limit must be twice the required occurrence limit.
2. Automobile Liability: \$1,000,000 per accident for bodily injury and property damage.
3. Workers ' Compensation: statutory limit; Employer's Liability: \$1,000,000 per accident for bodily injury or disease.
4. Professional liability: \$1,000,000 per occurrence or claim.

C. Umbrella or Excess Insurance. The limits of insurance required in this Agreement may be satisfied by a combination of primary and umbrella or excess insurance. Any umbrella or excess insurance must contain or be endorsed to contain a provision that this coverage also apply on a primary and non-contributory basis for the benefit of DNLTC before DNLTC's insurance or self-insurance is called upon to protect it as a named insured.

D. Deductibles and Self-Insured Retention. Any deductibles or self-insured retentions must be declared to and approved by DNLTC and do not reduce the limits of liability. Policies containing any self-insured retention provision must provide or be endorsed to provide that the self-insured retention may be satisfied by either the named Insured or DNLTC. At the option of DNLTC, either: the insurer must reduce or eliminate the deductibles or self-insured retentions as respects DNLTC, its officers, officials, employees and volunteers, or the Consultant must provide a financial guarantee satisfactory to DNLTC guaranteeing payment of losses and related investigations, claim administration and defense expenses. DNLTC reserves the right to obtain a full certified copy of any insurance policy and endorsements. Failure to exercise this right does not constitute a waiver of right to so exercise later.

E. Other Insurance Provisions.

1. The Commercial General Liability and Automobile Liability policies are to contain, or be endorsed to contain, the following provisions:

- a. DNLTC, its officers, officials, employees and volunteers (the "Additional Insureds") are to be covered as insureds as respects: liability arising out of work or operations as performed by or on behalf of the

Consultant; or automobiles owned, leased, hired or borrowed by the Consultant.

b. For any claims related to this project, the Consultant's insurance coverage is primary insurance as respects DNLTC, its officers, officials, employees and volunteers. Any insurance or self-insurance maintained by DNLTC, its officers, officials, employees or volunteers is in excess of the Consultant's insurance and does not contribute with it. The Additional Insured coverage under the Consultant's policy must be at least as broad as ISO Form CG 20 01 04 13.

c. Each insurance policy required by this clause must be endorsed to state that coverage will not be canceled by either Party, unless thirty (30) days prior written notice by certified mail, return receipt requested, has been given to DNLTC.

2. The Workers' Compensation endorsement must contain a Waiver of Subrogation against DNLTC. The Consultant will provide to DNLTC an endorsement from the Workers' Compensation insurer, if any, agreeing to waive all rights of subrogation against DNLTC for injuries to employees of the Insured resulting from work for DNLTC.

F. Acceptability of Insurers. Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A:VII, unless otherwise agreed to by DNLTC.

G. Verification of Coverage. Consultant must furnish DNLTC with original certificates and amendatory endorsements effecting coverage required by this clause. The endorsements should be on forms provided by DNLTC or on other than DNLTC's forms provided those endorsements conform to DNLTC's requirements. All certificates and endorsements are to be received and approved by DNLTC before work commences.

H. Subcontractors. Consultant must include all subcontractors as insureds under its policies or furnish separate certificates and endorsements for each subcontractor prior to commencement of subcontractor's work. Consultant agrees that all contracts with subcontractors will include the same requirements stated in this Agreement with respect to indemnity and insurance. Subcontractors hired by Consultant must agree to be bound contractually to Consultant and DNLTC in the same manner and to the same extent as Consultant is bound to DNLTC under this Agreement. Subcontractors must further agree to include these same provisions with any Sub-subcontractor. A copy of these indemnity and insurance provisions must be furnished by Consultant to any subcontractor. The Consultant must require all subcontractors to



provide a valid certificate of insurance and the required endorsements prior to commencement of any work by that subcontractor and Consultant will provide proof of compliance to DNLTC. If DNLTC is not furnished separate endorsements for each subcontractor prior to the commencement of subcontractor's work, then Consultant must include all subcontractors as insureds under its policies.

26. Amendment. This Agreement may be amended only by a written instrument executed by both Parties.

27. Litigation. If litigation ensues between DNLTC and a third-party, which pertains to the subject matter of Consultant's services hereunder, Consultant, upon request from DNLTC, agrees to testify therein at a reasonable and customary fee.

28. Construction. This Agreement is the product of negotiation and compromise on the part of both Parties and that the Parties agree that, notwithstanding Civil Code Section 1654, any uncertainty in the Agreement may not be construed against the drafter of the Agreement.

29. Governing Law; Venue. This Agreement must be enforced and interpreted under the laws of the State of California. Any action arising from or brought in connection with this Agreement must be venued in the Superior Court for the County of Del Norte, State of California.

30. Non-Waiver. DNLTC's failure to enforce any provision of this Agreement or the waiver thereof in a particular instance is not a general waiver of any part of that provision. The provision will remain in full force and effect.

31. Severability. If any term or portion of this Agreement is held to be invalid, illegal, or otherwise unenforceable by a court of competent jurisdiction, the remaining provisions of this Agreement continue in full force and effect.

32. No Third-Party Beneficiaries. The Parties do not intend to create, and nothing in this Agreement creates, any benefit or right in any third party.

33. Mediation. The Parties agree to make a good faith attempt to resolve any dispute arising out of this Agreement through mediation prior to commencing litigation. The Parties must mutually agree upon the mediator and divide the costs of mediation equally.

34. Consultant's Books and Records.

A. Consultant must maintain any and all ledgers, books of accounts, invoices, vouchers, canceled checks, and other records or documents evidencing or relating to charges for services, or expenditures and disbursements charged to DNLTC for a minimum period of three (3) years or for any longer period required by law, from the date

of final payment to Consultant under this Agreement.

B. Consultant must maintain all documents and records which demonstrate performance under this Agreement for a minimum period of three (3) years or for any longer period required by law, from the date of termination or completion of this Agreement.

C. Any records or documents required to be maintained under this Agreement must be made available for inspection or audit, at any time during regular business hours, upon written request by the Director or their designated representative. Copies of these documents will be provided to DNLTC when it is practical to do so. Otherwise, unless an alternative is mutually agreed upon, the records must be available at Consultant's address indicated for receipt of notices in this Agreement.

D. If DNLTC has reason to believe that records or documents may be lost or discarded due to dissolution, disbandment or termination of Consultant's business, DNLTC may, by written request by the Director, require that custody of the records be given to DNLTC and that the records and documents be maintained by DNLTC. Access to these records and documents will be granted to any party authorized by Consultant, Consultant's representatives, or Consultant's successor in interest.

35. Headings. The headings used in this Agreement are for convenience only and are not intended to affect the interpretation or construction of any provisions herein.

36. Survival. All obligations arising prior to the termination of this Agreement and all provisions of this Agreement allocating liability between DNLTC and Consultant will survive the termination or completion of this Agreement.

37. Entire Agreement. This Agreement, including the exhibits attached hereto and incorporated herein, constitutes the entire agreement between the Parties with respect to the Services, and supersedes all prior agreements or understandings, oral or written, between the Parties in this regard.

[Signature page to follow]

IN WITNESS WHEREOF, the Parties have executed this document the fifth day of October 2021.

**DEL NORTE LOCAL TRANSPORTATION COMMISSION**  
A California Regional Transportation Planning Agency

\_\_\_\_\_  
*Tamera Leighton, Executive Director*

Dated: October 5, 2021

APPROVED AS TO FORM:

\_\_\_\_\_  
*Autumn Luna, Counsel*

Dated: \_\_\_\_\_

**MICHAEL BAKER INTERNATIONAL, INC.**

\_\_\_\_\_  
*Ali Seyedmadani, Vice President*

Dated: \_\_\_\_\_

Proposal for Services

DEL NORTE COUNTY  
LOCAL TRANSPORTATION COMMISSION &  
REDWOOD COAST TRANSIT AUTHORITY

TRANSPORTATION  
DEVELOPMENT ACT:  
**TRIENNIAL  
PERFORMANCE AUDIT  
SERVICES**



Submitted By:

**Michael Baker**  
INTERNATIONAL

September 28, 2021

**Proposal for Services**

DEL NORTE COUNTY  
LOCAL TRANSPORTATION COMMISSION &  
REDWOOD COAST TRANSIT AUTHORITY

TRANSPORTATION  
DEVELOPMENT ACT:  
**TRIENNIAL  
PERFORMANCE AUDIT  
SERVICES**

Submitted To:

**Tamara Leighton**

Executive Director

Del Norte County  
Local Transportation Commission  
900 Northcrest Drive, PMB 16  
Crescent City, CA 95531

Submitted By:

**Michael Baker International**

Contact: Derek Wong

2729 Prospect Park Drive, Suite 220  
Rancho Cordova, CA 95670  
Office: (530) 601-2508  
TF: (866) 828-6762  
[www.mbakertnl.com](http://www.mbakertnl.com)

**Michael Baker**

**INTERNATIONAL**



**I N T E R N A T I O N A L**

September 28, 2021

Tamara Leighton, Executive Director  
**DEL NORTE LOCAL TRANSPORTATION COMMISSION**  
900 Northcrest Drive, PMB 16  
Crescent City, CA 95531

**RE: REQUEST FOR PROPOSALS FOR TRANSPORTATION DEVELOPMENT ACT: TRIENNIAL PERFORMANCE AUDIT SERVICES FOR DEL NORTE LOCAL TRANSPORTATION COMMISSION AND REDWOOD COAST TRANSIT AUTHORITY**

Dear Ms. Leighton:

We are pleased to submit this proposal for conducting the triennial performance audits of the Del Norte Local Transportation Commission (DNLTC) and the Redwood Coast Transit Authority for the period of fiscal years (FY) 2018-19 through 2020-21, ending June 30, 2021. The Michael Baker International team is uniquely structured as an independent third party as required by state law to conduct the audits. Through our experience providing Transportation Development Act (TDA) performance audit services in rural and urbanized areas, including the prior FY 2016-18 cycle for the DNLTC and other transportation agencies in the North State, we offer a strong combination of performance auditing and functional review of current operational issues facing transit agencies in the region and throughout the state.

Beyond the legal requirements of the California Public Utilities Code and specifications that the performance audit addresses, the performance audit is intended to provide an independent, comprehensive review of the recipient's management and use of TDA funds. Our goal is to create a management tool through the audit process and afford the audited agency a means to review the efficiency and effectiveness of its management of various elements of its TDA programs.

The person authorized to bind Michael Baker International contractually is:

Ali Seyedmadani, PhD, PE, Vice President  
Michael Baker International  
2729 Prospect Park Drive, Suite 220  
Rancho Cordova, CA 95670  
(916) 231-2225  
ali.seyedmadani@mbakerintl.com

We acknowledge that we have reviewed the DNLTC's Standard Agreement with qualifications. Our comments to the Standard Agreement are contained in the appendix to this proposal.

We appreciate the opportunity to propose on this project, and we look forward to answering any questions you may have. Project manager Derek Wong, AICP, may be contacted at (530) 601-2508, or by email at [dwong@mbakerintl.com](mailto:dwong@mbakerintl.com), in the event any clarification is needed regarding the contents of our proposal.

Sincerely,



Ali Seyedmadani, PhD, PE  
Vice President  
Rancho Cordova Office Executive



Derek Wong, AICP  
TDA Project Manager



# 1. TECHNICAL CAPACITY AND APPROACH



# 1. TECHNICAL CAPACITY AND APPROACH

## STATEMENT OF UNDERSTANDING OF THE SCOPE OF WORK

California Public Utilities Code Section 99246 requires that regional transportation planning agencies (RTPA)/local transportation commissions (LTC) and transit operators that receive Transportation Development Act (TDA) funds have a triennial performance audit of their activities. Beyond the legal requirements and specifications addressed in the performance audit, it is also intended to provide an independent, comprehensive review of each agency's management, administration, and use of TDA funds to improve its efficiency, effectiveness, and economy. In addition, the triennial performance audit is designed to assure the legislature, governing boards, and the public that the financial resources of the LTC and transit agencies are being effectively and efficiently utilized.

Many transportation planning agencies and transit operators use the analysis to identify and implement improvements that may not be apparent to internal staff focused on day-to-day operating and administrative issues. Performance and management audits are likewise an important opportunity to point out accomplishments and successful improvements that may have been implemented during the previous three years or are in process.

In short, the triennial performance audit affords management the opportunity to have an independent, constructive, and objective evaluation of the organization and operations that otherwise might not be feasible given the daily demands of managing transportation programs and activities. It is our belief that an audit is a management tool which should underscore successes and point out where improvements in organizational performance may be appropriate. The objective of the audit is to support management in carrying out its responsibilities.

The requirements for conducting a performance audit include a determination that the Del Norte Local Transportation Commission (DNLTC) as a regional transportation planning entity has achieved the following:

- Complied with pertinent laws and regulations
- Established agency goals, as well as goals and objectives for its activities and programs
- Developed standards to measure agency performance
- Achieved desired program results
- Conducted its activities in an efficient and effective manner



The purpose of the transit operator audit is to review how the Redwood Coast Transit Authority (RCTA) has provided public transportation services, complied with state requirements, and performed using the following minimum performance indicators:

- Operator's operating cost per passenger
- Operating cost per vehicle service hour
- Passengers per vehicle service hour
- Passengers per vehicle service mile
- Vehicle service hours per employee as defined in California Public Utilities Code Section 99247
- Farebox recovery

Senate Bill (SB) 508, signed into law in October 2015, introduced a series of changes to the TDA farebox recovery ratio as well as application of the eligibility requirements for State Transit Assistance (STA) funds. Impacts of this legislation on transit operations and performance reporting will be discussed for the three-year audit period. We are knowledgeable about the implications of this law on both transit operators and transportation planning agencies and will discuss the intricacies as a value-added service to this audit project. Assembly Bill (AB) 1113 (chapters into state law in July 2017) is another piece of state legislation impacting transit funding and reporting that we will discuss with the DNLTC.

Our analysis of farebox recovery and other key performance indicators will address the impacts of the COVID-19 pandemic on transit operations. AB 90, passed into law and signed by the governor in June 2020 in response to the COVID-19 pandemic impacts, prohibits the imposition of penalties on a transit operator that does not maintain the required ratio of fare revenues to operating cost during FY 2019–20 or FY 2020–21.

Michael Baker International (Michael Baker) has been closely following the activities of the TDA Reform Task Force, formed in early 2019 and composed of a cross-section of public transit operators and RTPAs. The TDA Reform Task Force has been involved in a draft concept framework for possible legislative revisions to the TDA to improve the current performance measures—farebox recovery ratio for Local Transportation Funds and operating cost per hour operator eligibility criteria for STA Program funds—and to educate and engage state policymakers on the question of how the state, transit agencies, and other stakeholders could collaborate to understand and begin working toward breaking down the barriers to greater public transportation use in California.

Other issues to be addressed in the performance audit include transit system operations, maintenance, service planning, management and organization, marketing and public relations, financial planning and control, and a review of previous performance audit recommendations. Among the developments that the audit will address are the 2020 COVID-19 pandemic service adjustments; impacts such as the reduction in the evening service schedule, reduction to one daily round trip on both Routes 20 and 199, and the elimination all Saturday service; the purchase of two low-floor buses for the Crescent City local routes; and the adoption of the 2018-19 RCTA Short-Range Transit Plan update, which included a consolidated transportation services agency (CTSA) implementation plan. The audit will also address the implementation of a zonal fare program in 2017 with adult fares ranging from \$1.25 for one zone to \$10 for a 5-zone trip to Arcata. In April 2021, RCTA released a

# Technical Capacity and Approach

Request for Proposals (RFP) for General Manager Services. Three proposals were received and vetted. A five-year contract was awarded to Herron/TMTP.

In developing recommendations, each transit system's culture, resources, and organizational processes will be considered. With this information as background, the role of the audit must be to ensure that all of the Public Utilities Code section requirements are met in performing the audit. The audits must also comply with California Department of Transportation (Caltrans) guidelines and requirements.

## QUALIFICATIONS AND SUMMARY OF WORK EXPERIENCE

### Michael Baker

#### INTERNATIONAL

We attribute our success to our focus on understanding and meeting our clients' needs in the most efficient and creative manner possible. No matter what the assignment, Michael Baker works to ensure a team approach in identifying effective strategies for resolving project challenges. We offer local perspectives enhanced by our broad experience to help clients achieve a successful outcome. The firm possesses the highest level of expertise and provides project teams to undertake a diverse range of projects, with solutions focused on sustaining the future. Services span the complete life cycle of infrastructure, environmental, development, and managed asset projects along with a comprehensive continuum of mission critical and human intelligence services.

Our knowledge of relevant transportation laws affecting triennial performance audits and transportation in general has been instrumental in our success. Michael Baker's TDA triennial performance audit experience is based on a focused practice area that meets the requirements of law for an independent assessment of the administration and expenditure of TDA revenues. Our personnel assigned to this project are very familiar with the TDA law and state and federal laws guiding transit allocations. We regularly participate in discussions with Caltrans headquarters TDA branch staff regarding the interpretation of the law and practical implementation on the local level. In addition, we participate in industry conferences as an expert panelist on TDA issues.

The firm's direct experience with the conduct of TDA performance audits lies in its dedicated staff. Given that consulting engagements typically utilize staff members who are highly specialized in the subject matter, Michael Baker is confident that the project team proposed for this audit will meet your standards and satisfaction.

## PREVIOUS EXPERIENCE ON SIMILAR ENGAGEMENTS

Michael Baker has conducted numerous triennial performance audits of RTPAs, CTSA's, and transit operators in rural and urban settings. The project manager, Derek Wong, has been directly involved in the TDA for 26 years as a performance auditor, statewide instructor, and transit finance practitioner. Our select list of audit clients includes:

- Del Norte Local Transportation Commission
- Humboldt County Association of Governments
- El Dorado County Transportation Commission

- Modoc County Transportation Commission
- Mendocino Council of Governments
- Inyo-Mono Counties Local Transportation Commissions
- Plumas County Transportation Commission
- Shasta Regional Transportation Agency
- Calaveras Council of Governments
- Nevada County Transportation Commission
- Madera County Transportation Commission
- Kern Council of Governments
- Fresno Council of Governments
- San Joaquin Council of Governments
- Stanislaus Council of Governments
- Sacramento Area Council of Governments
- San Luis Obispo Council of Governments
- San Benito Council of Governments
- Tahoe Regional Planning Agency
- Kings County Association of Governments
- Tulare County Association of Governments
- Santa Cruz County Regional Transportation Commission
- Transportation Agency for Monterey County
- Imperial County Transportation Commission
- San Bernardino Associated Governments
- Orange County Transportation Authority
- San Diego Association of Governments
- Riverside County Transportation Commission
- Santa Barbara County Association of Governments

## PROPOSAL APPROACH AND METHODOLOGY

Michael Baker proposes a clearly defined work plan that we believe addresses the dual needs of meeting all audit requirements and providing substantive value to the DNLTC and the transit operator. Our work program specifies the data elements to be sampled, documents to be reviewed, techniques that will be used, and administrative and operational management expertise that will be employed.

The tasks contained in the DNLTC audit include determining compliance with statutory and regulatory requirements, following up on prior audit recommendations, assessing compliance with respect to the review of transit claimants, and assessing functional areas such as TDA fund allocation, transit plans and programming, productivity oversight of transit service, and reporting responsibilities. An administrative draft report will be developed for review, followed by preparation of the final audit report and presentations.

The tasks contained in the audit of RCTA include determining compliance with statutory and regulatory requirements, following up on prior audit recommendations, verifying performance indicators and comparison against goals, and reviewing operator functions in detail. If warranted, the verification of performance could extend beyond the five Public Utilities Code–required indicators and include others as appropriate to help determine trends in performance and the underlying causes of the trends. Other indicators would be developed for specific review of certain functions, such as administration or maintenance, should the audit deem them

# Technical Capacity and Approach

necessary to determine trends in service. An administrative draft report will be developed for review, followed by preparation of the final audit report and presentations.

We believe that our familiarity with Del Norte County and the North Coast region and our understanding of rural transit systems will be of tremendous value. This knowledge will allow us to conduct the audits extremely efficiently, focusing directly on those areas that will be most beneficial to the audited agencies.

Separate scopes of work are presented, one for the DNLTC and the other for the RCTA, to distinguish the differences in effort required of each audit to comply with the Caltrans *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*.

## PERFORMANCE AUDIT OF DEL NORTE LOCAL TRANSPORTATION COMMISSION

### TASK 1: KICKOFF MEETING AND DATA COLLECTION

**Objective:** Conduct initial kickoff meeting with the DNLTC to communicate work scope and schedule, understand project expectations, and answer questions. Develop list of specific documents to be provided by the DNLTC.

**Approach:** We will coordinate the kickoff meeting to:

- Introduce the Michael Baker team.
- Review overall performance audit objectives.
- Clarify any aspects of our work plan, schedule, or approach.
- Clarify the roles and responsibilities of the DNLTC and the consultant team.
- Discuss the study schedule and progress reporting.
- Initiate the data collection effort.

During the kickoff meeting, we intend to discuss the audit steps and schedule, and understand some of the issues through discussion with the DNLTC as the LTC.

As part of our initial communication, we will create a list of data needs and documents that traditionally have been used to help create a background assessment of the agency's performance and compliance over the past three years. Additional items may be identified as a result of the kickoff discussion. We will coordinate with the DNLTC on the request for specific information and documents necessary to complete the audit requirements. We will follow up with telephone calls to answer questions and clarify data needs. At a minimum, the types of information required will include:

- Prior TDA performance audit.

- Annual budgets and financial and compliance audits.
- TDA and STA claims and Board of Directors resolutions.
- Organizational chart, goals, objectives, policies, and procedures.
- Unmet transit needs documentation.
- Transportation Improvement Program documentation.
- Overall Work Program/Annual Financial Plan.
- Response to prior performance audit recommendations.

## TASK 2: EVALUATE COMPLIANCE WITH TDA ADMINISTRATIVE PROCESSES

**Objective:** Evaluate the way in which the DNLTC complies with requirements under the TDA.

**Approach:** Caltrans's *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* identifies a series of compliance requirements that RTPAs, such as the DNLTC, must meet. These comprise 14 specific requirements found in the Public Utilities Code and in the California Code of Regulations. Conformance with these requirements will be ascertained during this task.

With this in mind, we will review the DNLTC's previous performance audit, relevant accounting records, internal documents such as the Board of Directors' meeting minutes, meeting minutes from relevant policy and technical advisory committees, and other pertinent information.

In addition, we will interview DNLTC staff to identify any problems that may impede the efficient and timely administration of the TDA funds. As part of this evaluation, we will conduct audit investigations to ensure that adequate documentation and instructions to claimants are available and that accurate records exist regarding apportionments and allocations to the claimants.

We will develop a table of the 14 compliance requirements and document the DNLTC's effort to meet each requirement.

## TASK 3: EVALUATE TDA CLAIM APPROVAL PROCESS AND TRANSIT PERFORMANCE OVERSIGHT

**Objective:** Review the TDA claims process and transit monitoring program.

**Approach:** We will review the claims process and the DNLTC's role in administering the funds. We will review documentation or reports required to confirm issues and seek to develop procedures that could assist the process if, in fact, problems are perceived.

# Technical Capacity and Approach

Sample completed claims packets and accompanying documentation to substantiate the claims for TDA and STA funds will be collected and reviewed. Compliance checklists and/or other documents typically attached to the claims forms will be evaluated and reviewed with staff.

We will also review the transit performance reporting and monitoring system employed by the DNLTC. We will confirm or verify that the data provided by the transit operator are “adequate” for basing decisions on claim allocations and for monitoring progress on previous allocations. In performing this evaluation, we will select certain data provided by the systems and verify through independent confirmations that the data is materially correct. Our evaluation will also review the usefulness of the performance indicator monitoring system as a means to monitor trends in transit operator performance and provide a focus for the performance audit process.

## TASK 4: CONDUCT DETAILED REVIEW OF DNLTC FUNCTIONS

**Objective:** Determine operational and structural efficiencies and institutional relationships.

**Approach:** We will review the DNLTC’s organizational effectiveness by analyzing the following areas.

- **DNLTC Administration and Management.** We will examine the general management of the agency, identifying achievements and challenges, policies and goals, Board of Directors and committee activities, and overall work programs. We will interview DNLTC staff to identify any administrative and management issues of concern to them. We will investigate potential issues and make findings and possibly recommendations as part of the audit. Topics to be covered include:
  - General administration
  - Internal planning and achievement
  - Board of Directors activities
  - Personnel
- **Planning and Regional Coordination.** This effort will include evaluating the DNLTC’s regional functions as an LTC. It will include the practices and methods in which the DNLTC prepares transportation and related planning documents. We will also examine the process the DNLTC follows in managing transit plans and other transit projects in its area of jurisdiction. Topics to be covered include:
  - 2020 Regional Transportation Plan (RTP) development and adoption in March 2021
  - RTP topics and implementation
  - Transportation and transit planning and programming
  - Information collection, generation, and distribution for use in the planning process
- **Relationship with Related Agencies.** We will interview DNLTC staff on the agency’s role in working with allied planning organizations such as neighboring LTCs and Caltrans, as well as other

local governmental agencies in the DNLTC's jurisdiction and in adjacent areas where travel and development may have an impact on the DNLTC's related responsibilities. We will contact these other agencies as necessary.

- **Transportation Funds Administration.** This will include examining fiscal operations and the way in which the DNLTC allocates and manages LTF, STA funds, and any related revenues.
- **Marketing and Transportation Alternatives.** We will review the DNLTC's marketing and communication efforts pertaining to its regional transportation planning activities. We will review the DNLTC's efforts to help keep the public informed about transportation issues and external events that influence travel and transportation choices.
- **Grant Management.** This will include gaining an understanding of the level of grant administration and assistance provided by the DNLTC for transportation revenue sources such as state and federal programs. We will review the DNLTC's ability to secure discretionary funding sources that enhance and increase the availability and quality of transportation in the county. Topics to be covered include:
  - Grant application coordination
  - Grant application assistance
  - Grant management and compliance

## TASK 5: FOLLOW UP ON PRIOR PERFORMANCE AUDIT RECOMMENDATIONS

**Objective:** Review prior performance audit recommendations and actions taken by the DNLTC to implement the recommendations.

**Approach:** We will follow up on the implementation status of the three prior recommendations from the FY 2015–16 through FY 2017–18 performance audit. The prior audit recommendations for the DNLTC are summarized as follows:

- Commission an annual TDA fiscal audit of the CTSA.
- Develop performance metrics to evaluate the cost effectiveness of the CTSA.
- Continue efforts to engage Social Services Transportation Advisory Council members in broader transit issues.

As a general course for this task, we will focus our activities in the following specific areas.

- **Obtain and Review Key Documents.** We will collect documents that contain prior recommendations and review the status of those recommendations. Possible key literature includes prior performance audits, recommendations submitted in management memorandums, and other performance evaluation documents.

# Technical Capacity and Approach

- **Document Implementation of Recommendation.** We will follow up on the course of action taken by the DNLTC to implement the recommendations.
  - If the DNLTC has implemented a recommendation, we will seek data to confirm implementation, discuss the effectiveness and benefits from the recommendation, and discuss difficulties and costs associated with the recommendation.
  - If the DNLTC is currently implementing a recommendation, we will address the current status of implementation, as well as any difficulties and costs of implementation.
  - If a recommendation has not been implemented, we will determine whether the recommendation is (a) no longer applicable due to changes in circumstances, (b) infeasible, or (c) still valid and should still be implemented. For each determination, we will draw conclusions on the implementation status of these recommendations. If the prior recommendation still deserves merit, we will include the recommendation in the current audit report.

We will document evidence of implementation. Evidence may be contained in operator reports, memorandums and documents, or obtained through direct observation.

## TASK 6: IDENTIFY IMPROVEMENTS AND DEVELOP RECOMMENDATIONS

**Objective:** Identify the specific improvements and issues that have been identified in each of the previous tasks and develop recommendations that would assist in implementing the improvements.

**Approach:** Based on work done earlier during the study, recommendations could be developed for the following principal areas:

- The TDA administrative process, including the institutional arrangements, organizational structure, allocation process, prioritization, detailed LTC review, and how the previous performance audit recommendations have been implemented.
- The monitoring of performance indicators and how the data can be used for claim review, analysis, and monitoring performance.
- The adequacy of the monitoring system, including the validity of the data and whether the most appropriate data are being collected and utilized. Data consistency and comparability will be reviewed in developing recommendations for improvement.
- Effectiveness of administrative controls.

The task will highlight both accomplishments and any areas where the DNLTC might not be in compliance with TDA regulations; the impact of noncompliance will be identified. We will provide recommendations in sufficient detail to address the issue or concern found. In addition, all recommendations will identify the priority and responsible party for implementing the recommendations.



## TASK 7: PREPARE AUDIT REPORT AND PRESENTATION

**Objective:** Prepare an administrative draft for review and then finalize the audit report.

**Approach:** The draft and final versions of the report will contain the detailed review, findings, and recommendations from the audit process. An executive summary will also be included summarizing the audit findings and recommendations.

We will provide the DNLTC executive director an electronic PDF copy of the draft audit report for distribution, review, and comment. After we have received comments, we will prepare the final report and deliver six printed and bound copies and one electronic PDF copy of the final report by May 15, 2022.

## PERFORMANCE AUDIT OF REDWOOD COAST TRANSIT AUTHORITY

### TASK 1: KICKOFF MEETING AND DATA COLLECTION

**Objective:** Coordinate the kickoff with the DNLTC and the RCTA to communicate work scope and schedule, understand project expectations, and answer questions. Develop a list of specific documents to be provided by the operator.

**Approach:** We will coordinate the kickoff to discuss the audit steps and schedule and to understand some of the issues through discussion with the RCTA.

As part of our initial communication, we will create a list of data needs and documents that traditionally have been used to help create a background assessment of the transit operator's performance and compliance over the past three years. Additional items may be identified as a result of the kickoff discussion. We will coordinate on the request for specific information and documents necessary to be provided by the operators to complete the audit requirements. We will follow up with telephone calls to answer questions and clarify data needs. At a minimum, the types of information required will include (for the audit period plus the FY 2018 baseline year):

- Prior TDA performance audit of the transit system.
- Transit Operator Financial Transactions Reports submitted to the State Controller.<sup>1</sup>
- National Transit Database Reports (Form RR-20).
- Annual budgets and financial and compliance audits.

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<sup>1</sup> Contingent on the completion and availability of the FY 2021 Transit Operator Financial Transactions Reports submitted to State Controller, which are not due to the state until January of each year, three months later than previous law allowed.

# Technical Capacity and Approach

- California Highway Patrol Safety Compliance Report/Terminal Record Update, Carrier Inspection, and Equipment Inspection Report.
- Memorandums of Understanding/service provider agreements with other operators and agencies.
- Performance productivity reports (e.g., monthly and end-of-year summary).
- Vehicle operations data such as on-time performance, road calls, vehicle failures, and customer complaints.
- Organizational charts, goals, objectives, policies, and procedures.
- Short-range transit plans.
- Response to prior performance audit recommendations.

Upon receipt of the data, we will compile performance profiles using numeric data and initiate compliance reviews. We will begin to identify areas of compliance as well as potential noncompliance. We will also compile the TDA-mandated performance indicators, farebox recovery ratios, and other indicators relevant to functional area performance. We will document the values used for the statistics and indicators, note the amount of change, and determine whether this change represents a positive or negative trend. Causal factors for all observed trends will be determined in subsequent tasks.

## TASK 2: CONDUCT SITE VISIT AND INTERVIEWS

**Objective:** Conduct in-person site visit.

**Approach:** Prior to our site interviews and fieldwork, we will review the materials provided from the list under Task 1 and generate a list of follow-up questions to ask during the meetings and possibly other materials. The background data and preliminary analysis as described in the prior task will serve as a basis for the audit process and site visits.

Performance trend results will be discussed with the RCTA in major functional areas such as operations, maintenance, and administration in order to focus the site visit interviews accordingly. Interview guides will be developed and used to help focus discussions and maximize the effectiveness of time spent in discussions with transit staff. Potential topics for discussion include:

- Data collection and reporting processes.
- Performance trends and factors influencing trends.
- Accomplishments and challenges.
- Actions taken to implement prior audit recommendations, the resources required for implementation, and the results of those actions.

We will not examine performance in a vacuum, which is why site visits are important for this assignment. As the auditor, we recognize that performance findings are only meaningful when placed in the context of established objectives, overall policy direction, and constraints of the operating environment.

### TASK 3: DETERMINE COMPLIANCE WITH STATUTORY AND REGULATORY REQUIREMENTS

**Objective:** Review and make a determination as to the operator's compliance with the TDA and related sections of the California Code of Regulations.

**Approach:** During this task, we will focus our activities in three specific areas.

- **Discuss Compliance Requirements with the Operator.** This first step involves meeting with operator staff and discussing the compliance requirements to ensure the operator is aware of the compliance requirements described in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*. We will discuss the 11 operator compliance requirements listed in the guidebook.
- **Investigate Evidence of Compliance.** Based on the interviews and discussions with transit staff, we will investigate evidence of compliance by collecting pertinent documents and records that show sufficient objective evidence to meet each of the 11 compliance requirements. Some documents will be from the initial data list provided during the kickoff. Staff assistance from the operator and from the DNLTC will be used to obtain the most relevant data. Evidence of compliance may also be produced from our direct observation of the compliance requirement.
- **Disclose Results of the Compliance Review.** We will document the methodology and results of the compliance review. The review will ensure that the evidence collected is objective and representative of the transit operator's activities for the past three years. If we find an indication of noncompliance with any of the requirements, we will make a finding in the audit report, draw conclusions, and make appropriate recommendations.

### TASK 4: FOLLOW UP ON PRIOR PERFORMANCE AUDIT RECOMMENDATIONS

**Objective:** Review prior performance audit recommendations and actions taken by the operator to implement the recommendations.

**Approach:** During this task, we will focus our activities in three specific areas.

- **Review Prior Recommendations and Evidence of Compliance.** We will review the prior audit recommendations with transit staff and review the status of implementation. We will work with staff to determine the validity of each recommendation considering the evolving nature of transit operations.

# Technical Capacity and Approach

Evidence may be contained in operator reports, memorandums and documents, and performance evaluation documents, or obtained through direct observation.

- **Document Implementation of Recommendation.** We will follow up on the course of action taken by the operator to implement the recommendations.

If the operator has implemented a recommendation, we will seek data to confirm implementation, discuss the effectiveness and benefits from the recommendation, and discuss difficulties and costs associated with the recommendation.

If the operator is currently implementing a recommendation, we will address the current status of implementation, as well as any difficulties and costs of implementation.

If a recommendation has not been implemented, we will determine whether the recommendation is (a) no longer applicable, with a clear statement as to why, (b) infeasible, with a clear statement as to why, or (c) still valid and should be implemented and the benefits that are likely to result. For each determination, we will draw conclusions on the implementation status of these recommendations. If the prior recommendation still deserves merit, we will include the recommendation in the current audit report, either as stated or modified to account for any changes in conditions. The prior five audit recommendations for the RCTA are summarized as follows:

- Include tracking and reporting of additional operations data in the RCTA Annual Report.
  - Build a capital fund reserve.
  - Work with the RCTA independent fiscal auditor to capitalize contractor equipment and/or preventive maintenance.
  - Consider resource allocations to enhance Redwood Coast Transit visibility.
  - Continue efforts with the National Park Service and the California State Park system regarding possible bus service options to the national and state parks.
- **Disclose Results of Follow-Up Review.** We will document the results of the review and report the status of prior recommendations. For those recommendations that have been implemented, significant accomplishments will be recognized as well as difficulties and costs of implementation. The evidence used to confirm implementation will meet the standards for performance audit fieldwork evidence described in the Comptroller General's revised Government Auditing Standards.

## TASK 5: VERIFY PERFORMANCE INDICATORS

**Objective:** Quantify and review the efficiency and effectiveness of the transit operator's activities, TDA-required performance measures, and other potential performance indicators if warranted.

**Approach:**

**Subtask A:** We will first review and validate the operator’s collection methods of basic data needed to calculate these indicators, including operating cost, passenger counts, vehicle service hours, vehicle service miles, employee hours, and fare revenue. This will be accomplished by tracing and evaluating the steps taken by the operator to report the data. We will review sample driver logs, driver manifests, daily and monthly operator reports, and other pertinent materials where actual performance data is recorded to determine their compliance with the TDA definitions (Public Utilities Code Section 99247).

Additional operations data such as on-time arrival, missed trips, and number of road calls and preventable accidents will be included in the review of operational performance. We will discuss this process with the transit operator and identify any issues discovered during our review. If warranted, we will then suggest corrective actions to ensure compliance with the statute.

**Subtask B:** A triennial performance audit must include the verification of a minimum of five performance measures. Public Utilities Code Section 99246(d) requires the following performance indicators:

- Operator’s operating cost per passenger
- Operating cost per vehicle service hour
- Passengers per vehicle service hour
- Passengers per vehicle service mile
- Vehicle service hours per employee as defined in Section 99247 of the California Public Utilities Code

Though the farebox recovery ratio is not a required performance indicator under Section 99246(d), Section 99268 et seq. requires that the farebox ratio be calculated so that an operator’s eligibility for funding under Article 4 can be determined. We will be attentive to how each operator calculates its farebox ratios, as reflected in documents such as the State Controller Report, TDA claims, and annual fiscal audits. Farebox adjustments made effective by the passage of SB 508 in October 2015 will also be reviewed to determine what impacts, if any, the legislation has had on operator farebox ratios.

Our analysis of farebox recovery and other key performance indicators will address the impacts of the COVID-19 pandemic on transit operations. AB 90, passed into law and signed by the governor in June 2020 in response to the COVID-19 pandemic impacts, prohibits the imposition of penalties on a transit operator that does not maintain the required ratio of fare revenues to operating cost during FY 2019–20 or FY 2020–21.

We will create user-friendly tables to depict the trends over the recent three-year period on a system-wide basis and by mode/type (e.g., fixed route, dial-a-ride). We will contrast these performance trends with other three-year trends that influence transit performance (e.g., Consumer Price Index). We will document the values used for the statistics and indicators, note the amount of change, and determine whether this change

# Technical Capacity and Approach

represents a positive or negative trend. We will document causal factors for all observed performance trends based on the numerical information and information from the site visits.

In addition to tables, we will include visual graphic representations via bar/line charts and data labels. The performance trends will identify changes in efficiencies and effectiveness and provide symptoms of potential issues that will be reviewed in depth during the functional review audit.

Other performance indicators to be determined will be calculated if the analysis warrants further examination of a particular performance area of concern not covered by any of the five indicators. Any additionally developed performance measures are intended to be useful and help determine trends in service. Sample additional performance indicators include complaints per 100,000 passengers, on-time performance, and vehicle breakdowns per 100,000 revenue miles.

We will consult the Transit Cooperative Research Program (TCRP) document entitled *A Guidebook for Developing a Transit Performance-Measurement System* for a comprehensive listing of performance indicators relative to various transit functional areas. Additional functional area performance indicators pertaining directly to service efficiency and effectiveness during the audit period will be developed as necessary.

Each piece of basic data can be influenced by a series of interrelated variables in transit operations. Therefore, the calculation and analysis of the above performance indicators may point out potential issues or concerns that may need investigation during the next task, which will examine the operator functions. We will select and use the appropriate performance indicators to identify, quantify, and/or resolve performance problems and potential areas for improvement. We will draw on our experience and consult the TCRP document to select additional indicators. If appropriate, we will also compare the performance indicators to select peer transit agencies for informational purposes and as a frame of reference.

We will consult other authoritative sources as warranted for performance indicators, such as the Caltrans *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* and the Mineta Transportation Institute publication *Transit Performance Measures in California*.

## TASK 6: OPERATOR FUNCTIONAL REVIEWS

**Objective:** Review the various functions and investigate potential functional concerns, problems, and possible improvements, while also highlighting recent accomplishments.

**Approach:** The review of operator functions can be divided into two parts: an initial review and a detailed review. The initial review will provide an understanding of the operator's characteristics and the functions performed. Operator characteristics include general data such as a description of the entity providing service, legal status (e.g., joint powers authority), mode of service (bus, van, general public, specialized, etc.), type of service (fixed route, dial-a-ride), and size of operations. We will review pertinent documents such as transit plans and staff reports in addition to conducting discussions with appropriate transit staff to obtain a clear view of the audited transit system's general functions.

The detailed review of operator functions can be divided into the various functions of a transit operator. The various functions are consistent with the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*. These functions include management and organization, operations, service planning, maintenance, financial planning and control, and marketing and public relations. Each function, in turn, can be divided into several subfunctional areas. For example, maintenance subfunctions include preventive maintenance, sufficiency of facility, vehicle conditions, and parts procurement. Likewise, operations subfunctions can include dispatch, operations, on-time performance, and driver training. We will use various data as means to perform the assessment, including interviews with transit staff and management, in-house data collection, annual productivity reports, surveys and public input, transit plans, and other materials presented to the board.

Each functional review can be categorized into several subfunctional areas as described by the following:

- **General Management and Organization.** We will review the management and structure of the operator including an assessment of:
  - Administrative oversight
  - Organizational structure and reporting
  - Recent program changes and innovations
  - Areas of interest to management and the board
- **Scheduling, Dispatch, and Operations.** The daily scheduling and coordination of routes, drivers, and vehicles will be reviewed, including:
  - Assignment of drivers and vehicles to specific routes
  - Driver absence and sick leave
  - Part-time and cover drivers
  - Dispatch procedures and communication
- **Service Planning.** We will review how short-range transit plan recommendations, public input through surveys, and other planning and evaluation techniques have been implemented, and assess their results on operations. Topics include:
  - Strategic planning
  - Short-range planning
  - Evaluation of routes
  - Planning for special transportation needs
  - Surveys of riders/non-riders
  -
- **Maintenance.** We will review maintenance records, California Highway Patrol terminal and vehicle inspections, and other maintenance-related documentation on the condition of the vehicles and other capital facility assets. The subfunctions in this area include:
  - Preventive maintenance
  - Sufficiency of facility
  - Vehicle condition and maintenance schedules
  - Parts and inventory management
  - Communications with dispatch
  - Maintenance outsourcing

# Technical Capacity and Approach

- ***Personnel Management and Training.*** We will review personnel policies, driver recruitment practices, turnover trends, and management of human resources. Topics to be covered include:
  - Recruitment and motivation
  - Training and safety
  - Discipline
  - Benefits
- ***Administration and Financial Controls.*** Business and support services necessary for agency operations will be assessed. We will examine adopted policy documents guiding financial management and procurement practices. Administrative activities include:
  - Budgeting, financial, and grants management
  - Revenue collection and cash management
  - Payroll
  - Risk management
- ***Marketing and Public Information.*** Efforts to make information available to the public, market the service to the community, and communicate with social service agencies and other governmental entities will be reviewed. The assessment will include:
  - Marketing programs and objectives
  - Communications strategies with the public
  - Intergovernmental communications

We will describe the improvements and changes made over the past three years in each function. We will also review events and/or activities that may have occurred either before or after the audit period, as necessary, to gain a deeper understanding of the actions taken during the audit period. Among the developments that the audit will address are the 2020 COVID-19 pandemic service adjustments and impacts such as the reduction in the evening service schedule, reduction to one daily round trip on both Routes 20 and 199, and the elimination all Saturday service; the purchase of two low-floor buses for the Crescent City local routes; and the adoption of the 2018-19 RCTA Short-Range Transit Plan update, which included a CTSA implementation plan. The audit will also address the implementation of a zonal fare program in 2017 with adult fares ranging from \$1.25 for one zone to \$10 for a 5-zone trip to Arcata. In April 2021, RCTA released an RFP for General Manager Services. Three proposals were received and vetted. A five-year contract was awarded to Herron/TMTP.

We will identify any functional concerns and evaluate them using applicable and relevant methods. Our site visits and interviews, as well as documents such as board and advisory committee reports and agendas and internal documentation, will help with describing the service changes or performance concerns.

From the functional review, we will provide a set of clear and concise recommendations for improvement with a clear timeline for implementation (possibly prioritized by year and quarter) and identify the potential cost savings/benefit and responsible party for follow-up. Depending on the operator function, the recommendations may range from managerial improvements to operational efficiencies to financial controls. We are prepared to bring a fresh, objective approach to the audits and conduct the work as prescribed by state law.



## TASK 7: PREPARE AUDIT REPORT AND PRESENTATION

**Objective:** Prepare administrative drafts for review and then finalize the audit reports.

**Approach:** We will prepare a draft report encompassing all aspects of the audit process and meeting state TDA requirements. The report will also serve as a detailed action plan for recommended improvements, thereby providing a useful management tool for the transit operators. The report will include a discussion of:

- Audit scope, approach, methods used to test compliance and internal controls, interviews conducted, and documents reviewed.
- Agency accomplishments during the audit period as well as particular challenges.
- Performance trends, audit findings, and conclusions for the TDA indicators.
- Causal factors contributing to performance results.
- Specific recommendations for improvements as warranted by findings and conclusions with a suggested action plan for implementation.

We will provide the DNLTC executive director an electronic PDF copy of the draft audit report for distribution, review, and comment. After we have received comments, we will prepare the final report and deliver six printed and bound copies and one electronic PDF copy of the final report by May 15, 2022.

We acknowledge the option to deliver a presentation of the final work product to the DNLTC upon request by the commission. Michael Baker International is pleased to offer a virtual presentation in lieu of an in-person presentation, should conditions warrant.

We will assist the DNLTC and the RCTA in an advisory capacity in implementing the recommendations after the board's approval of the performance audits. Our philosophy to help meet our clients' needs not only applies during the project but also extends beyond the timeline to ensure the findings and recommendations we make positively influence an agency's overall health and growth. We will provide assistance as needed via phone and email upon receiving a request from the agency.

# Technical Capacity and Approach

## SCHEDULE

The proposed schedule generally follows the task duration and milestones described in the RFP. Collection of information in collaboration with the DNLTC could start as soon as the issuance of a Notice to Proceed by the DNLTC on or around October 5, 2021. While we will discuss the potential start date with the DNLTC executive director, a general start date of late October/early November 2021 is anticipated, which closely aligns with the availability of key data identified in our work scope. As mentioned under Task 1 of the performance audit of RCTA, there is a new reporting period for the transit operator State Controller Reports, which are not due to the state until January of each year, three months later than previous law allowed.

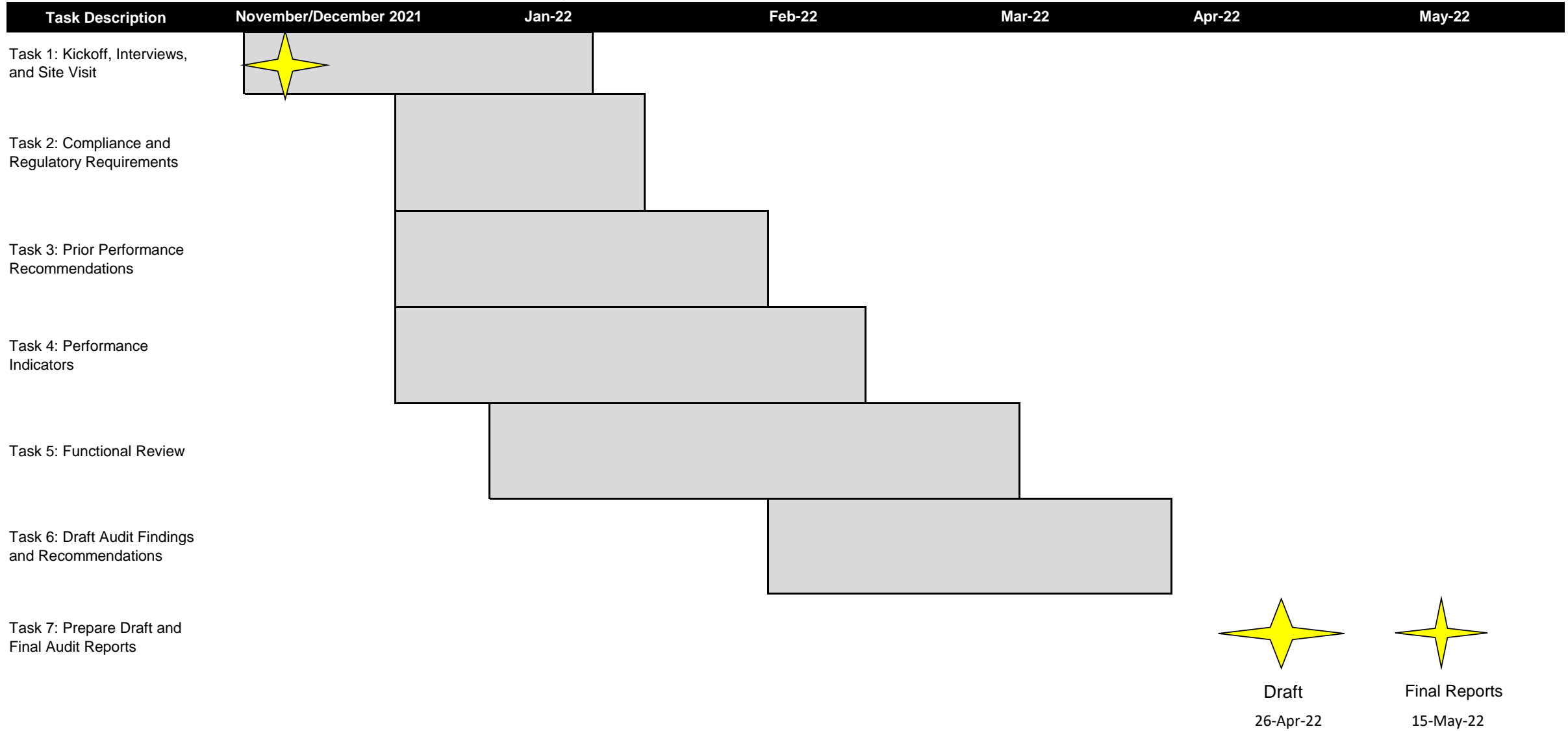
The detailed schedule identifies task duration, interviews and site visits, draft and final deliverables, and presentations. Audits of both the DNLTC and the transit operator will be conducted in parallel to achieve cost savings in areas such as data collection, site visits, and presentations. The schedule of tasks and deliverables assumes full cooperation from each entity during the conduct of the audit. We will discuss any change in milestone dates with the DNLTC and to secure assurance from the Caltrans Division of Rail and Mass Transportation.

## SCHEDULE

The proposed schedule for the audits is shown below. We will follow the general schedule parameters described in the RFP and propose completion of all audit tasks no later than May 15, 2022.

Caltrans will receive the audits by June 30<sup>th</sup>, 2022, which serves as a final end-date of the audit project. However, pending any unknown delays or presentation to the Commission Board, the project end date may be extended.

## Schedule, Triennial Performance Audits





## 2. PROJECT MANAGEMENT



# 2. PROJECT MANAGEMENT

## PROJECT PERSONNEL



### DEREK WONG, AICP, PROJECT MANAGER

Derek has 26 years of direct TDA performance audit experience and knowledge of TDA guidelines, enabling him to bring unique and applicable skills to the performance audit. Because TDA performance audits are conducted in cycles for all RTPAs, Derek manages these audits on a regular basis for agencies throughout the state and has built a wealth of knowledge about efficient and effective practices for implementing transportation programs.

Derek participated on an expert panel to discuss TDA at the spring 2015 CalACT conference in Yosemite. He developed the curriculum and was the lead trainer on Caltrans- and CalACT-funded training workshops that focused on TDA audit education, performance measurement and monitoring, and transit financial analysis. He was under retainer by Caltrans to instruct statewide workshops on how to conduct effective TDA performance audits. Caltrans TDA branch staff continue to consult with Derek on TDA-related issues and questions.

He has been the lead staff on numerous triennial performance audits of RTPAs, CTSA's, and transit operators in rural and urban settings, including for metropolitan areas. Several RTPAs have retained Michael Baker for multiple audit cycles. For most of these clients, Derek conducted TDA audits of both the planning agency and multiple transit agencies, ranging from small rural dial-a-ride operators to larger fixed-route providers. Because many of these planning agencies administer the TDA program over a large and diverse service area, the audits of various types and sizes of operators have given him a wealth of experience with a range of transit issues. He provides analyses related to the efficiency and economy of transit systems and develops strategies and recommendations for improvements that further the goals of the system. Derek's careful attention to the details of audit requirements has resulted in findings and recommendations that have been beneficial to both the transportation planning agency and the transit operator.

He works from the company's Rancho Cordova office in Sacramento County.

**Project Responsibilities:** Derek will serve as lead staff consultant, managing the project and participating significantly in all tasks, including conducting interviews, data performance analysis, functional review, and report preparation and presentation.

**BS, Transportation Planning,**  
University of California, Davis

**MBA,** California Polytechnic State  
University, San Luis Obispo

**Member,** American Institute of  
Certified Planners (AICP)

APA Sacramento Valley Section Board  
(Sacramento Division Director,  
Membership Director, Treasurer)



## RICK WILLIAMS, AICP, SENIOR TRANSIT ANALYST

Rick's experience includes serving as a transportation planner for the Kings County Association of Governments. His experience encompasses both transportation and land use planning. He was the lead planner assigned to update the Kings County Transit Development Plan. Rick administered the TDA and Federal Transit Administration Sections 5310 and 5311 transit allocation programs for agencies and jurisdictions in Kings County. He also prepared transportation planning grant applications and coordinated Social Service Transit Advisory Council hearings for the purpose of determining unmet transit needs in Kings County.

Rick has been an analyst on numerous performance audits for 14 years, including for the DNLTC, Humboldt County Association of Governments, Butte County Association of Governments, Madera County Transportation Commission, Nevada County Transportation Commission, El Dorado County Transportation Commission, Sacramento Area Council of Governments, Fresno Council of Governments, Santa Barbara County Association of Governments, Imperial County Transportation Commission, and San Bernardino Associated Governments.

He works from the company's Rancho Cordova office in Sacramento County.

**Project Responsibilities:** Rick will assist with various aspects of the audits, given his knowledge and understanding of the TDA, transit systems, and regional planning agencies. He will assist with data collection and review, performance indicator analysis, and functional review.

**BA, Management and Organizational Development,** Fresno Pacific University, Fresno, CA

**AA, Travel-Tourism/Geography,** West Los Angeles College, Culver City, CA

**Member,** American Planning Association; American Institute of Certified Planners



## EMILY WEBB, PLANNER

Emily is a multimodal transportation planner specializing in geographic information system (GIS) mapping and transit planning. As a transportation planner, she has extensive experience with fixed-route public transit and rural shared-ride/paratransit transportation services. She conducted shared-ride annual performance reviews for the Pennsylvania Department of Transportation (PennDOT), Central Office. For several years, Emily has conducted operational and financial reviews of shared-ride and paratransit providers across the Commonwealth to evaluate the efficient use of state

**B.A., Geography/Anthropology,** Vassar College

**Graduate Certificate, Preservation Studies,** The Pennsylvania State

# Qualifications and Experience

resources. She has provided guidance to shared-ride providers for any aspect of operations that were non-compliant with the terms of the grant agreement between the provider and PennDOT. She will provide project support assessing operations and performance metrics.

## ADDITIONAL STAFF RESOURCES

The above list represents the staff which Michael Baker anticipates will be required; however, it is possible that the need for additional staff may arise. Therefore, Michael Baker may assign additional staff types as necessary to complete the services required under this agreement. Compensation rates for additional staff types will be determined by Michael Baker and will be consistent with the rates listed herein. Assignment of additional staff will not change the budget of this agreement, unless agreed upon by both parties with the execution of an amendment. Résumés are included in the back of the proposal.



### 3. BUDGET



# 3. BUDGET

## Budget Proposal for Triennial Performance Audit

Task	Michael Baker Team Staff Hours								Total Hours	Total Budget
	D. Wong Project Manager		R. Williams Sr. Transit Analyst		E. Webb Planner		Administrative/Tech Editing			
	Hours	\$175	Hours	\$115	Hours	\$100	Hours	\$80		
Task 1: Kickoff, Interviews, and Site Visit	16	\$2,800	16	\$1,840	0	\$0	0	\$0	32	\$4,640
Task 2: Compliance and Regulatory Requirements	4	\$700	6	\$690	2	\$200	0	\$0	10	\$1,390
Task 3: Prior Performance Recommendations	6	\$1,050	12	\$1,380	2	\$200	0	\$0	18	\$2,430
Task 4: Performance Indicators	4	\$700	6	\$690	4	\$400	0	\$0	10	\$1,390
Task 5: Functional Review	18	\$3,150	24	\$2,760	12	\$1,200	0	\$0	42	\$5,910
Task 6: Draft Audit Findings and Recommendations	6	\$1,050	12	\$1,380	2	\$200	0	\$0	18	\$2,430
Task 7: Prepare Draft and Final Audit Reports	16	\$2,800	24	\$2,760	4	\$400	8	\$640	48	\$6,200
<b>Subtotal Labor</b>	<b>70</b>	<b>\$12,250</b>	<b>100</b>	<b>\$11,500</b>	<b>26</b>	<b>\$2,600</b>	<b>8</b>	<b>\$640</b>	<b>204</b>	<b>\$26,990</b>
<b>Direct Expenses</b>										
Travel										\$780
Bound Copies										\$30
Express Delivery										\$35
<b>Subtotal Direct Expenses</b>										<b>\$845</b>
Direct Expense Mark-Up (10%)										\$85
<b>Total Audit Hours/Budget</b>									<b>204</b>	<b>\$27,920</b>
Optional: Presentation to DNLTC Board	8	\$1,400							8	\$1,400
Direct Expense (travel, per diem)										\$155
<b>Cost: Optional Presentation to DNLTC Board</b>									<b>8</b>	<b>\$1,555</b>



## 4. REFERENCES



# 4. REFERENCES

The following are recent professional references for similar triennial performance audit services, several of which are in the North State.

## TAHOE REGIONAL PLANNING AGENCY (TRPA) TDA TRIENNIAL PERFORMANCE AUDIT

Michael Baker completed the most recent TDA triennial performance audit of TRPA and the transit operators, Tahoe Truckee Area Regional Transit and the Tahoe Transportation District, covering FY 2017 through FY 2019. TRPA's performance audit was intended to describe how well the regional agency was meeting its administrative and planning obligations under the TDA and to evaluate its organizational management and efficiency in a multi-jurisdictional setting. The operator audits included review of TDA compliance and transit management, as well as an assessment of performance against TDA indicators, including farebox recovery ratios and other standards. Recommendations were made to enhance each agency's administration and use of the TDA and certain provisions of the statute.

**Consultant Staff:**

Derek Wong was the project manager/lead analyst, and Rick Williams was the project analyst.

**Contact:**

Kira Smith, Associate  
Transportation Planner  
Tahoe Regional Planning Agency  
P.O. Box 5310  
Stateline, NV 89449  
(775) 589-5236  
[ksmith@trpa.org](mailto:ksmith@trpa.org)

**Completion Date:**

October 2020

## PLUMAS COUNTY TRANSPORTATION COMMISSION (PCTC) TDA TRIENNIAL PERFORMANCE AUDIT

Michael Baker completed the most recent TDA triennial performance audit of PCTC and the transit operators Plumas Transit Systems and Plumas Seniors Transportation, covering FY 2016 through FY 2018. The audits reviewed each agency's compliance with state requirements and improvements in the delivery of their respective services. Recommendations were made to further PCTC's administrative efficiencies in administering the TDA and each transit agency's efficiency and economy in the provision of public transportation services.

**Consultant Staff:**

Derek Wong was the project manager/lead analyst, and Rick Williams was the project analyst.

**Contact:**

Jim Graham, Executive Director  
Plumas County Transportation  
Commission  
1834 East Main Street  
Quincy, CA 95971  
(530) 283-6169  
[jimgraham@countyofplumas.com](mailto:jimgraham@countyofplumas.com)

**Completion Date:**

June 2019

## LASSEN COUNTY TRANSPORTATION COMMISSION (LCTC) TDA TRIENNIAL PERFORMANCE AUDIT

Michael Baker completed the most recent TDA triennial performance audit of LCTC and Lassen Transit Service Agency, covering FY 2016 through FY 2018. The audits reviewed each agency's compliance with state requirements and improvements in the delivery of their respective services, coming at a time of rapid change at the transit authority. Recommendations were made to further LCTC's administrative efficiencies in administering the TDA and the transit agency's efficiency and economy in the provision of public transportation services.

**Consultant Staff:**

Derek Wong was the project manager/lead analyst, and Rick Williams was the project analyst.

**Contact:**

John Clerici, Executive Secretary  
Lassen County Transportation  
Commission  
P.O. Box 1028  
Susanville, CA 96130  
(530) 919-9739  
[jfclerici@gmail.com](mailto:jfclerici@gmail.com)

**Completion Date:**

April 2020

# References

## MENDOCINO COUNCIL OF GOVERNMENTS (MCOG) TDA TRIENNIAL PERFORMANCE AUDIT

Michael Baker completed the most recent performance audit of MCOG and the Mendocino Transit Authority, the primary transit provider in the rural service area and the designated CTSA. The audit of the transit authority evaluated system performance and management of nonprofit transportation providers, including trends in the system farebox recovery ratio. Recommendations were made covering administrative procedures and performance measurement and reporting.

**Consultant Staff:**

Derek Wong was the project manager/lead analyst, and Rick Williams was the project analyst.

**Contact:**

Janet Orth, Deputy  
Director/CFO  
Mendocino Council of  
Governments  
525 South Main Street, Suite B  
Ukiah, CA 95482  
(707) 463-1859  
[orthj@dow-associates.com](mailto:orthj@dow-associates.com)

**Completion Date:**

April 2020

## 5. CONTRACTING WITH MICHAEL BAKER



**Michael Baker**  
INTERNATIONAL

# 5. CONTRACTING WITH MICHAEL BAKER

## **CONTRACTING WITH MICHAEL BAKER**

We appreciate the opportunity to preview the consultant services agreement that will be utilized by the Del Norte Local Transportation Commission (DNLTC) for this project. Michael Baker has contracted on thousands of projects over our 81-year history, including with the DNLTC, and we are confident in our ability to come to mutually acceptable terms with all of our clientele. Upon selection of this proposal, we would respectfully request the opportunity to discuss certain contract terms with the DNLTC due to the professional standard of care required for performance of services, insurance commercially available, terms outside our control to effect, and professional experience.





# **APPENDIX A: RÉSUMÉS**



## Derek Wong, AICP

### TDA Project Manager



Mr. Wong has over 25 years of project management and consulting experience specializing in Transportation Development Act (TDA) performance audits, infrastructure financing of public facilities, and transit financial management. He has conducted TDA triennial performance audits for both urban and rural clients throughout the state. He has managed complex engagements that require the identification and analysis of revenues and costs for local and regional projects and programs, including for the transportation and development communities.

### Education

MBA | California Polytechnic State University, San Luis Obispo

BS, Environmental Policy Analysis and Planning, Emphasis on Transportation Policy | University of California, Davis

### Relevant Project Experience

**TDA Triennial Performance Audits.** Conducting performance audits of various regional transportation planning agencies and transit operators in California for more than 25 years. Managed or currently managing performance audits of regional transportation planning agencies (RTPAs) and public transit operators as required by the state TDA. Reviewed the efficiency and effectiveness of operations, maintenance, and management. Developed findings and recommendations to improve future service provision. Client list includes the Del Norte Local Transportation Commission, Plumas County Transportation Commission, Tahoe Regional Planning Agency, Lassen County Transportation Commission, and the Sacramento Area Council of Governments.

**CalACT Conference, Yosemite, TDA Presenter.** Participated on expert panel to discuss TDA and application to RTPAs and transit operators. Presented historical perspective, statutory provisions, and new legislation. Interpreted TDA language to assist with practical practice.

### Professional Affiliations and Service

- American Institute of Certified Planners
- American Planning Association, California Chapter, VP of Administration
- American Planning Association, Sacramento Valley Section Division Director, Section Membership Director, Section Treasurer

Team Member since 2005

**California Department of Transportation, TDA Instructor.** Retained by Caltrans over a three-year period to develop curriculum and provide instruction to transportation professionals on TDA audits. Conducted a series of workshops throughout California, including in Fresno, Sacramento, and Redding.

**San Bernardino Associated Governments, TDA Guidebook Update and Training.** Managed update to the TDA guidebook, including legislative updates, performance measures, and procedural language that improves SANBAG's administration of the TDA fund. Prepared workshop presentations for SANBAG staff and transit operators on TDA claim process and implementation of the statute. Prepared update of claim forms and simplified TDA statute descriptions and requirements to reflect new legislation and administration of the law.

**Morongo Basin Transit Authority, TDA Funding Cost Allocation Study.** Evaluated revenue and cost allocation methodologies to address transit funding shortfalls as an integral part of the Short Range Transit Plan update. Developed rationale and equitable basis for alternative allocation methods of funding including TDA, and provided recommended measures for local agency member contributions to transit. The outcomes resulted in additional TDA commitment to transit funding by the member agencies.

**Santa Barbara County Association of Governments, TDA Manual Update and Funding Guide.** Prepared update of agency Local Transportation Fund and State Transit Assistance claim manuals through review and structural edits to claims process and description of TDA provisions in light of new legislation and administration of the law. Prepared a reference funding guide with key dates for operator action to obtain TDA-related funding and reporting.

**Nevada County Transportation Commission, TDA Funding Equity Study.** Conducted a study focused on transit funding equity among the Nevada County public transit entities. The study evaluated the distribution methods and policies enacted by NCTC for the TDA and determined how fairly these revenues were allocated and whether there were funding issues to be addressed.

**Inyo/Mono Local Transportation Commissions, TDA Transit Roles and Responsibilities Study.** Analyzed responsibility of the regional transit operator for operational decisions as well as statutory and procedural requirements for TDA functions. The study responded to questions posed by the transit operator and LTCs relevant to the administration, implementation, and funding of public transportation service in the counties.

**Humboldt County Association of Governments, Transit Development Plan.** Managed the short-range transit plans for eight transit systems in Humboldt County. Conducted existing conditions assessment, on-board surveys, and interviews with each transit operator's staff. A financial operations and capital plan was developed providing projections for near-term operations and asset replacement.

**Solano Transportation Authority, Transit Sustainability Study.** Conducted a study that focused on existing financial conditions and performance trends of six Solano County transit operators. Assessed operations and capital expenditures and determined the relative financial sustainability to continue current services.

## Rick J. Williams, AICP

### Senior Transit Analyst



Mr. Williams has 21 years of multidisciplinary experience in the private and public sectors specializing in public affairs outreach and transportation planning encompassing transit financial management and Transportation Development Act (TDA) performance audits. He has conducted TDA triennial performance audits for both urban and rural clients throughout the state. Mr. Williams is also experienced in developing and implementing multicultural public outreach and marketing campaigns for general plan updates, specific

plans, and transportation plans using communication tools such as fact sheets, press releases, email blasts, meeting facilitation, intercept interviews, public service announcements, website copy, and summary reports. His expertise includes being bilingual in Spanish. He has a proven ability to work collaboratively with policymakers and stakeholders as well as to forge strong working relationships and partnerships in multidisciplinary project teams.

### Education

BA, Management and Organizational Development | Fresno Pacific University, Fresno, CA

AA, Travel-Tourism/Geography | West Los Angeles College, Culver City, CA

### Relevant Project Experience

**TDA Triennial Performance Audits.** Conducted performance audits of various regional transportation planning agencies and transit operators in California for over 13 years as required by the state TDA. Reviewed the efficiency and effectiveness of operations, maintenance, and management. Developed findings and recommendations to improve future service provision. Select clients include:

- Del Norte Local Transportation Commission
- Plumas County Transportation Commission
- Mendocino Council of Governments
- Tahoe Regional Planning Agency
- San Luis Obispo County of Governments
- Council of San Benito County Governments
- Lassen County Transportation Commission
- Del Norte Local Transportation Commission
- San Bernardino County Transportation Authority
- Riverside County Transportation Commission

### Professional Affiliations

- American Planning Association
- American Institute of Certified Planners

Team Member since 2005

# Michael Baker

## INTERNATIONAL

- Imperial County Transportation Commission
- Sacramento Area Council of Governments
- Santa Barbara County Association of Governments
- Calaveras Council of Governments
- Humboldt County Association of Governments
- Shasta Regional Transportation Agency
- Placer County Transportation Planning Agency
- El Dorado County Transportation Commission
- Nevada County Transportation Commission
- Tulare County Association of Governments
- Fresno Council of Governments

**San Bernardino Associated Governments, TDA Guidebook Update and Training.** Managed update to the TDA guidebook, including legislative updates, performance measures, and procedural language that improves SANBAG's administration of the TDA fund.

**Morongo Basin Transit Authority, Short Range Transit Plan Financial Analysis and Cost Allocation Plan.** Developed funding plan for the SRTP comprising an operations and capital plan including forecasted funding sources and amounts. Prepared white paper on assessment of current funding sources. Conducted cash flow analysis of revenues and costs for the preferred service plan.

**City of Wasco Transit, Title VI Report.** Managed the preparation of the federally required Title VI report detailing the assurances of the City's transit program for receipt of federal transit grant funding.

**County of Stanislaus, Comprehensive Operations Analysis.** Participated in a COA study that undertook a full analysis of transit services and provided system-wide recommendations and an implementation plan. Conducted analysis of ride checks, on-board surveys, and interviews to prepare performance analysis and service improvement plan. Technology integration was an aspect of the COA.

**Humboldt County Association of Governments, Dial-A-Ride/Dial-A-Lift Consolidation Study.** Involved in developing and coordinating the study's public outreach plan to social service agencies, Native American tribal governments, and paratransit providers. Outreach deliverables included fact sheets, press releases, stakeholder interviews, and a public outreach summary report.

**City of Tracy, Short Range Transit Plan Financial Analysis.** Managed funding plan for SRTP. Prepared current assessment white paper outlining current funding sources and amounts. Developed cash flow revenues and costs for preferred service plan including on-demand transit mode and local fixed-route operations.



## Emily Webb, Planner

Ms. Webb is a multimodal transportation planner with a background in geographic analysis and cultural resource management. Ms. Webb has been employed with Michael Baker International for five years, specializing in geographic information system (GIS) mapping and transit planning. As a transportation planner, she has extensive experience with fixed-route public transit and rural shared-ride/paratransit transportation services.

### Education

BA, Geography/Anthropology | Vassar College

Graduate Certificate, Preservation Studies, The Pennsylvania State University, Harrisburg Campus.

### Relevant Experience

**Westmoreland County Transit Development Plan.** *Southwestern Pennsylvania Commission (SPC).* Planner. Worked with SPC and the Westmoreland County Transit Authority (WCTA) to develop a strategic plan for the future direction of WCTA and a Transit Development Plan (TDP) to map out transit improvement options over the next five years. Analyzed regional travel patterns and demographic trends to inform fixed-route service recommendations.

**Specialized Transportation Compliance Reviews, Pennsylvania.** *Pennsylvania Department of Transportation, Central Office.* Planner. Conducted an operational and financial review of 9 shared-ride providers across the Commonwealth to evaluate the efficient use of state resources. Provided guidance to shared-ride providers for any aspect of operations that were uncompliant with the terms of the grant agreement between the provider and PennDOT. Michael Baker assisted the Bureau of Public Transportation in its continuing effort of conducting periodic reviews of the Shared-Ride and Persons with Disabilities (PwD) Program. Michael Baker performed nine site visits with grantees who received funds during the 2015-16 fiscal year.

**Jefferson County Veterans Transportation.** *North Central Pennsylvania Regional Planning and Development.* Technical Lead. Conducted an analysis of the Jefferson County Veterans Affairs Office's medical transportation program for veterans, including a profile of topical demographics and an existing transportation profile. Interviewed county- and state-level veterans' transportation coordinators to inform a best practices review.

**Port Authority Long-Range Plan.** *Port Authority of Allegheny County.* Planner. Conducted research about Port Authority's previous planning initiatives, including ridership demographics and busway extensions. Calculated transit propensity for residents of each census tract in Allegheny County to inform ridership opportunities. Produced demographic maps and assisted in writing a series of white papers on transit policies.



PROPOSAL  
SEPTEMBER 28, 2021

## Del Norte Local Transportation Commission

TDA Triennial Performance Audit Services for Del Norte Local Transportation  
Commission and Redwood Coast Transit Authority





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September 28, 2021

Ms. Tamara Leighton  
Executive Director  
Del Norte Local Transportation Commission  
900 Northcrest Drive, PMB 16  
Crescent City, CA 95531

**Submitted via email to Tamera@dnltc.org**

*Subject: Request for Proposal for TDA Triennial Performance Audits*

Dear Ms. Leighton:

Moore & Associates is committed to improving public transit in each and every community in which we are fortunate to work. We pledge to bring this same commitment as we present our proposal to conduct Triennial Performance Audits of the Del Norte Local Transportation Commission (DNLTC) and the single transit operator (Redwood Coast Transit Authority) to which it allocates TDA funding for the period FY 2018/19 through FY 2020/21.

A Triennial Performance Audit serves as a systematic process for objectively evaluating the effectiveness, efficiency, and economy of an organization. Each Transportation Development Act (TDA) audit must be performed in accordance with California Public Utilities Code Section 99246, the procedures of which are delineated in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* published by Caltrans. Every Moore & Associates' staffer understands how the effective and efficient provision of public transit service enhances the quality of life of transit riders and non-riders alike.

Moore & Associates is a public transportation-focused consulting firm based in California. Established in 1991, we enjoy a track record of successfully assisting public transportation organizations with Triennial Performance Audits that are not only fully compliant with TDA guidelines, but also present practical recommendations tailored to the needs and realities of each organization, RTPA and transit operator alike.

Performance and management audits, service evaluations and design, and marketing are the professional and technical foundations of our firm. Our unique advantage is the ability to look at the "bigger picture," given our public transportation focus. This specialization provides us with a depth of insight that cannot be obtained from merely reviewing documents or looking at performance indicators.

Our recent audit work includes successful assignments with the Alpine Local Transportation Commission, Butte County Association of Governments, Council of San Benito County Governments, El Dorado County Transportation Commission, Fresno Council of Governments, Imperial County Transportation



Commission, Kern Council of Governments, Kings County Association of Governments, Lake County/City Area Planning Council, Madera County Transportation Commission, Modoc County Transportation Commission, Nevada County Transportation Commission, Sacramento Area Council of Governments, San Joaquin Council of Governments, Shasta Regional Transportation Agency, Stanislaus Council of Governments, and Ventura County Transportation Commission. This extensive experience ensures the Del Norte Local Transportation Commission that its audit reports will be in full accordance with all TDA requirements.

Our audit team has a first-hand understanding of transit operations working both from an operator and consultant perspective. Our methodology allows us to take a comprehensive look at the operational mechanism, needs, and concerns of the transit operators in addition to evaluating TDA compliance and performance. As such, we propose [Kathy Chambers](#) as project manager. Kathy brings a sharp eye for detail as well as extensive skill in data analysis and report preparation. Her considerable experience ensures the proposed audits will be completed on-time and in full compliance with TDA guidelines. Kathy will be supported by Associate Auditor [Stephanie Roberts](#), who brings more than nine years of TDA audit experience in California.

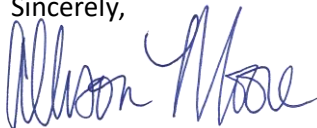
As a **value-added bonus**, we will provide the DNLTC with a “white paper” analysis of the recent TDA legislative changes and their impact on both the RTPA and transit operators across the next several years. We believe doing so will assist both the DNLTC and Redwood Coast Transit Authority in practically applying the new legislation as well as preparing for future years when many of the provisions contained therein are scheduled to expire.

Enclosed is one electronic copy of our proposal. This submission represents a firm offer which remains in effect for 90 days from the filing deadline. As our firm’s Corporate Secretary, I am authorized to negotiate and sign any legally binding contract on behalf of our firm. Should you have any questions, please contact me by phone at (661) 253-1277 or email at [allison@moore-associates.net](mailto:allison@moore-associates.net).

We look forward to discussing our proposed project approach, credentials, and experience with you and the selection committee.

Thank you for your consideration of Moore & Associates, Inc.

Sincerely,



Allison Moore  
Corporate Secretary

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## Section 1 | Technical Capacity and Approach

### Experience and Qualifications

Established in 1991, Moore & Associates consults in the areas of performance and management audits, service evaluation and design, and marketing exclusively to public transportation organizations throughout the United States. The firm has a proven track record of successfully assisting public entities with Triennial Performance Audits that are not only fully compliant with TDA guidelines but also present practical and sustainable recommendations specifically tailored to the needs and realities of each organization, whether RTPA or transit operator.

Moore & Associates has successfully completed more than 250 Triennial Performance Audits throughout California across the past 15 years. We have streamlined the TPA process so as to realize an optimal outcome with minimal administrative burden on our clients. Our proposed project approach is designed to minimize the impact on the parties involved while collecting all the data needed to assess compliance, review performance, make customized recommendations, and recognize successes. Rather than being painful necessities, performance audits have the potential to be valuable tools for improving regional planning efforts as well as individual operator performance while increasing public support for public transportation services.

Moore & Associates' unique advantage is the ability to look at the bigger picture, given it has been a part of more than just the audit process. Our firm's considerable experience in strategic planning, transit management, and other integral elements of public transportation provision provides a depth of insight that cannot be obtained from merely reading reports or looking at performance indicators. Moore & Associates' work has covered all public transportation modes, ranging from large multi-modal metropolitan transportation organizations such as the Los Angeles Metropolitan Transportation Authority, Orange County Transportation Authority, and Sacramento Regional Transit to modest rural transit programs such as the Modoc Transportation Agency. We understand public transit from multiple perspectives, including as auditors, planners, and riders. Therefore, our recommendations will take into account the unique characteristics of a service area, including its opportunities and challenges.

We have worked successfully with nearly 300 public transportation clients from coast to coast. Recent relevant consulting assignments include performance audit work with the Alpine County Transportation Commission, Butte County Association of Governments, Council of San Benito County Governments, El Dorado County Transportation Commission, Fresno Council of Governments, Imperial County Transportation Commission, Kern Council of Governments, Kings County Association of Governments, Lake County/City Area Planning Council, Los Angeles County Metropolitan Transportation Authority, Madera County Transportation Commission, Modoc County Transportation Commission, Nevada County Transportation Commission, Placer County Transportation Planning Agency, Plumas County Transportation Commission, Sacramento Area Council of Governments, San Joaquin Council of Governments, Shasta Regional Transportation Agency, Stanislaus Council of Governments, Transportation Agency for Monterey County, Tulare County Association of Governments, and Ventura County

Transportation Commission. These audits were completed in full compliance with the California Transportation Development Act, and the majority included both RTPA and transit operator components.

Unlike CPA firms, as a public transportation consulting firm, Moore & Associates does not undergo peer reviews. However, our audit work products are available for public review and are consistently accepted by Caltrans as well as RTPAs and operators throughout the state.

## Project Understanding

A Triennial Performance Audit is designed to provide an independent, objective evaluation of those activities funded using State of California Transportation Development Act (TDA) funds. The scope of the project includes audits of the Del Norte Local Transportation Commission (DNLTC) as the Regional Transportation Planning Agency (RTPA) and the single transit operator to which it allocates TDA funding: Redwood Coast Transit Authority (RCTA).

The Del Norte Local Transportation Commission (DNLTC) serves as the Regional Transportation Planning Agency for Del Norte County. RCTA provides a combination of demand-response, fixed-route, school tripper, and intercity transit services. As the RTPA, DNLTC assists local governments with transportation issues and allocating federal and state transportation funds.

A Triennial Performance Audit serves as a systematic process for objectively evaluating the effectiveness, efficiency, and economy of an organization. The audit will serve to inform recommendations so as to optimize the value of state, federal, and other revenues for cost-effective transportation investment strategies which connect communities, people, and goods in the region. The proposed audit will cover three fiscal years, from July 1, 2018 through June 30, 2021 (FY 2018/19, FY 2019/20, and FY 2020/21).

A Triennial Performance Audit is required for every RTPA and transit operator funded through Article 4 of the State of California's Transportation Development Act (TDA), and is recommended for those funded under Article 8. Each audit must be performed in accordance with California Public Utilities Code Section 99246, the procedures of which are delineated in the *Performance Audit Guidebook for Transit Operators and Transportation Planning Entities* published by Caltrans, as well as *Government Audit Standards* published by the U.S. Comptroller General.

## Developments Occurring During the Audit Period

The last half of this audit period was markedly different from the first. The impact of the COVID-19 pandemic has resulted in significant declines in ridership and revenue. In many instances, transit operators strove to retain operations staff despite adopting a reduced schedule, resulting in significant changes to many cost-related performance metrics. While infusions of funding through the CARES Act mitigated some of the lost revenues, most transit programs have yet to return to pre-pandemic ridership and fare levels. As a result, the Triennial Performance Audits will provide an assessment not only of how COVID-19 impacted each organization, but also how each responded to the crisis.

In addition to the COVID-19 pandemic, recent and proposed changes to the TDA may result in future audit reports that look somewhat different than in prior years. In the nearly 50 years since introduction of the

Transportation Development Act, there have been many changes to public transportation in California. Many operators have faced significant challenges in meeting the farebox recovery ratio requirement, calling into question whether it remains the best measure for TDA compliance. In 2018, the chairs of California’s state legislative transportation committees requested the California Transit Association spearhead a policy task force to examine the TDA, which resulted in a draft framework for TDA reform released in early 2020. The draft framework maintains the farebox recovery ratio requirement, but eliminates financial penalties and allows more flexibility with respect to individual operator targets. These changes have yet to be implemented due to the COVID-19 pandemic.

Assembly Bill 90, signed into law on June 29, 2020, provides temporary regulatory relief for transit operators required to conform with Transportation Development Act (TDA) farebox recovery ratio thresholds in FY 2019/20 and FY 2020/21. While the ability to maintain state mandates and performance measures is important, AB 90 offers much-needed relief from these requirements for the years initially impacted by the COVID-19 pandemic while TDA reform continues to be discussed. AB 90 includes provisions specific to transit operator funding through the TDA, including temporary farebox recovery ratio waivers, changes regarding the allocation of STA funds, and eligibility for using STA for operating purposes.

Assembly Bill 149, signed into law on July 16, 2021, provides additional regulatory relief with respect to TDA compliance. Recognizing the ongoing impact of the COVID-19 pandemic, it extends the provisions of AB 90 through FY 2022/23 as well as provides additional relief with respect to local funding, operating cost, and use of STA funds.

Our work scope ensures the resulting audits will be reflective of all legislative changes, and recommendations will be shaped by them as well. As a **value-added bonus**, Moore & Associates, Inc. will present a TDA legislative analysis “white paper” discussing the impact of these changes on the Del Norte Local Transportation Commission as well as the Redwood Coast Transit Authority. Doing so will assist each organization in understanding the provisions of AB 149 and effectively preparing for future years when several of those provisions expire.

## Proposed Approach and Methodology

Following the award of each Triennial Performance Audit project, we develop data needs lists for the RTPA and operator specific to the county in which the review is taking place. This allows us to incorporate any locally generated reporting mechanisms into the audit process, which can often be used to assess consistency in reporting.

Data to be requested from the RTPA will include:

- Triennial Performance Audit report for the prior review period;
- Annual budgets;
- Audited financial statements/annual fiscal audits;
- State Controller Reports;
- Policies and Procedures Manual;

- Social Service Transportation Inventory and Action Plan;
- Overall Work Program;
- Regional planning documents;
- Board information and meeting agendas;
- Organizational chart;
- TDA claims manuals;
- Article 8 Unmet Needs public noticing and findings;
- TDA and transit funding allocations to operators; and
- Documentation of steps to address prior audit recommendations.

Data to be requested from RCTA will include:

- Triennial Performance Audit report for the prior review period;
- Documentation of steps to address prior audit recommendations;
- Most recent Short Range Transit Plan or other planning documents;
- Monthly and annual performance reports;
- Summary of service or fare changes during the audit period;
- Annual budgets;
- Audited financial statements/annual fiscal audits;
- State Controller Reports;
- National Transit Database Reports;
- TDA claim forms;
- CHP inspection reports;
- Organizational chart;
- Examples of transit marketing collateral;
- Preventive maintenance forms and logs (sample);
- Fleet inventory;
- Methodologies for collecting and/or calculating performance data;
- List of FTEs with method of calculation identified;
- Performance measurement system;
- Customer complaint log (sample);
- Data regarding missed trips/trip denials; and
- Evidence of on-time performance monitoring.

Our goal is to conduct the compliance assessment and initial review of performance prior to the site visit and staff interviews for the RTPA and transit operator. A pre-visit review minimizes the administrative burden on RTPA and operator staff alike, making the audit process less burdensome.

As an objective third-party consultant, Moore & Associates is dedicated to discovering and investigating areas of concern that may require corrective action as well as identifying processes that may be functioning as intended. The result will be effectively run, cost-efficient transportation entities that are fully compliant with the TDA and on solid footing to meet the mobility needs of Del Norte County.

## Detailed Work Plan

Our audit team will conduct a virtual project initiation meeting shortly following receipt of a Notice to Proceed. Our project manager will submit our data needs requests to each entity following this meeting to allow sufficient time to gather the data.

We will work with the Commission and RCTA to schedule audit site visits to discuss program performance, review functions and compliance, and assess progress made in implementing recommendations presented within the prior audit. Given the demonstrated volatility of the COVID-19 pandemic, we recommend conducting virtual site visits with each entity. We have conducted virtual site visits with numerous RTPAs and operators over the past 18 months, which has enabled us to keep projects on schedule despite the challenging environment. DNLTC and RCTA can expect the same high-quality deliverables regardless of the site visit method.

### Part A: Regional Transportation Planning Agency Performance Audit

The purpose of this performance audit is to objectively evaluate the efficiency, economy, and effectiveness of the Del Norte Local Transportation Commission (DNLTC) as the RTPA. The audit will focus on the RTPA's performance as it relates to TDA compliance and overall function. The audit objectives include:

1. Assess compliance with TDA regulations;
2. Review actions taken to implement prior recommendations;
3. Evaluate the efficiency and effectiveness of the RTPA through a review of its functions; and
4. Provide sound, constructive recommendations for improving the efficiency and functionality of the RTPA.

### Task 1: Determine Compliance with Legal and Regulatory Requirements

Moore & Associates will review the DNLTC's compliance with applicable sections of the Transportation Development Act California Code of Regulations (July 2018 update). Chapter IV of the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* lists specific RTPA compliance requirements that should be investigated through the use of existing documents and interviews with DNLTC staff. Throughout the assessment, our audit team will objectively evaluate each of the requirements and discuss compliance with DNLTC staff.

Our goal will be to complete the compliance review in advance of the site visit so that any findings regarding non-compliance can be discussed during the site visit. If an indication of non-compliance is found, a finding regarding the non-compliance will be made in the audit report along with recommendations for its resolution.

### Task 2: Follow-Up on Prior Performance Audit Recommendations

To ensure the Triennial Performance Audit process remains constructive, Moore & Associates will obtain and review key documents to determine the status of the recommendations included within the prior performance audit of the DNLTC. Our discussion will include a summary of those recommendations and

review progress which the organization has made toward implementation. If implementation of a recommendation is ongoing, we will note this and document the progress to-date. If a prior audit recommendation has not been implemented, we will determine the reasons why and assess if it remains relevant or feasible to implement. If an unimplemented prior recommendation is still relevant and feasible, we will include it in the current audit report. Notable accomplishments in implementing prior recommendations will also be included in the audit report.

### Task 3: Review RTPA Functions

The roles and related functions of the Regional Transportation Planning Agency differ significantly from those of a transit operator. A transit operator's functional review focuses on a single specific transit program and its supporting functions. By contrast, the functional review of an RTPA has a dual focus: the internal functioning of the RTPA as an organization as well as its role in supporting and funding each of the transit operators within its jurisdiction. Rather than evaluating a series of objective performance measures, such as those calculated for transit operators, our audit team instead will review regional goal-setting and coordination activities.

In conducting a functional review of the DNLTC, our audit team will identify and determine the extent and efficiency of the RTPA's functions using the following sources:

- Interviews with DNLTC staff and management, select Board members, and advisory committees as warranted;
- Interviews with RCTA;
- Supplemental interviews with other regional agencies and/or Caltrans;
- Internal and external agency documents (including Board reports, planning studies, etc.); and
- Organizational policies and processes (including TDA claims).

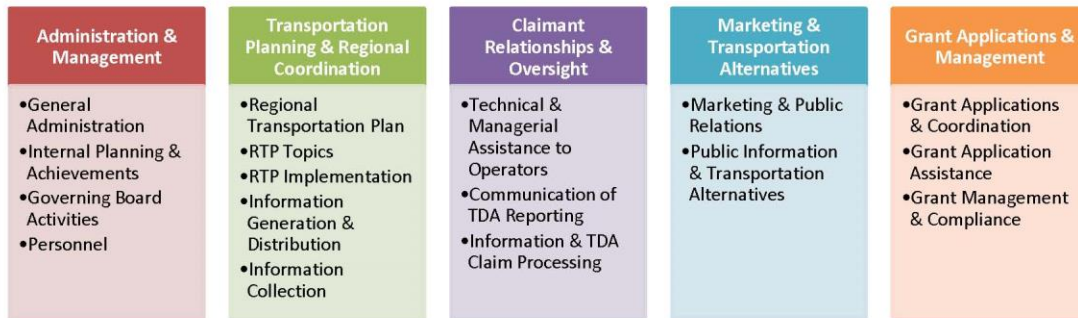
During the site visit, our audit team will conduct interviews with key DNLTC staff. Our functional review is guided by key questions set forth in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*. It will also focus on the status of prior recommendations as well as possible issues identified through our discussions with the transit operator.

A functional review of an RTPA determines the effectiveness and efficiency of key functional areas. Our audit team will review the various related functions of the RTPA for consistency with those included in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*, the elements of which are shown below.

In addition, our audit team will also review the RTPA's goal-setting and regional planning activities. When warranted, additional documentation or interviews will be requested to fully examine performance or functional issues. Issues arising during the functional review will be included as functional findings, with recommendations for their resolution.



## RTPA Functions



### Part B: Transit Operator Performance Audit

A Triennial Performance Audit of a transit operator is intended to:

1. Provide operator management with information specific to the economy, efficiency, and effectiveness of its programs across the prior three years;
2. Provide the operator with insight for use in future planning; and
3. Assure legislative and governing bodies (as well as the public) that TDA funds are being utilized efficiently.

Our audit team will verify methodologies for calculating performance indicators, compare data reported to multiple agencies (such as the National Transit Database and State Controller’s Office), examine operations functions (such as service planning, maintenance, financial planning, etc.), and provide sound, constructive recommendations for improving efficiency and functionality.

### Task 4: Determine Compliance with Statutory and Regulatory Requirements

Moore & Associates will review the Redwood Coast Transit Authority’s compliance with applicable sections of the Transportation Development Act California Code of Regulations (July 2018 update). Chapter III of the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* lists specific operator compliance requirements (such as timely filing of TDA fiscal audits and eligibility to use State Transit Assistance funds for operating purposes) that should be investigated through the use of existing documents and interviews with operator staff.

Our audit team will work with RCTA to acquire all necessary documents, and will be available to answer questions should there be any confusion as to what exactly is needed. Our goal will be to complete the compliance review in advance of the site visit so that any findings regarding potential areas of non-compliance can be discussed at that time. If an indication of non-compliance is found, a finding regarding the non-compliance will be made in the corresponding audit report along with recommendations for resolution.

#### Task 5: Follow-Up on Prior Performance Audit Recommendations

To ensure the Triennial Performance Audit process remains constructive for all parties involved, our audit team will obtain and review key documents to determine the status of recommendations included within the prior TDA audit.

The review process plays a vital role in ensuring the RCTA complies with applicable regulations, fulfills its assigned responsibilities, and offers the most cost-effective service(s) possible. This objective assessment will provide assurance the RCTA has made quantifiable progress toward improving both the efficiency and effectiveness of its performance. If a prior audit recommendation has not been implemented, we will determine the reasons why, and assess if it remains relevant or feasible to implement. Findings and recommendations from the prior TDA audit will be included in the 2022 audit report.

Moore & Associates also believes it is important to document notable accomplishments, especially with respect to prior audit recommendations, as these often demonstrate an operator's commitment to full TDA compliance as well as making improvements to its operations and/or administration.

#### Task 6: Verify Performance Indicators

Through a review of performance indicators, our audit team will develop a thorough understanding of the recent performance of the Redwood Coast Transit Authority. Such indicators can provide insight into current operations as well as the specific operator's performance across a period of time. Further, information gathered in this task may be used to identify potential issues or concerns that may lead to further examination during the functional review. We propose to review at least the following TDA-mandated performance indicators:

- Operating Cost/Passenger,
- Operating Cost/Vehicle Service Hour,
- Passengers/Vehicle Service Hour,
- Passengers/Vehicle Service Mile,
- Vehicle Service Hours/Employee, and
- Farebox Recovery Ratio.

In addition, our audit team will review supplemental (non-TDA) data and performance indicators we believe to be valuable in evaluating program performance. These are:

- Operating Cost/Vehicle Service Mile,
- Vehicle Service Miles/Vehicle Service Hour, and
- Average Fare/Passenger.

To ensure the information is both valid and reliable, Moore & Associates will assess the internal controls regarding the collection of performance-related data. The following data collection methods will be used in validating performance measures:

- **Operating Cost:** Operating cost will be validated by verifying that the operator keeps records of transit costs according to the Uniform System of Accounts and Records developed by the State Controller and the California Department of Transportation.
- **Ridership:** Verify the passenger data collection process by obtaining copies of reports that provide a listing of passenger counts for the reporting period being audited.
- **Vehicle Service Hours and Miles:** Following a review of data relating to Vehicle Service Miles and Hours for the audit period, the definition and methodology for calculating Vehicle Service Hours and Vehicle Service Miles will be discussed and reviewed to ensure compliance.
- **Employee Hours:** This metric is one of the most frequently misunderstood and miscalculated elements of the audit. Our audit team will verify all transportation system-related hours worked by persons employed in connection with the system are captured. This includes employees not directly employed by the operator (such as operations contractors) as well as hours worked by staff not normally assigned to transit, but who support the transit program (such as financial analysts). In addition, we will ensure the TDA definition of full-time equivalent is used in calculating this metric for the State Controller Reports.
- **Fare Revenue:** Utilize total audited fiscal year fare revenues to calculate the farebox recovery ratio. Our audit team will also review any fare revenue supplement associated with local program funds. The integrity of the revenue data collection process should be tested by (a) dividing total fare revenue by passenger count to obtain an average fare per passenger, (b) sampling fare collection data at its source, and (c) comparing the two figures.

In addition, we will compare performance indicators to those calculated within the prior TDA Triennial Performance Audit for further trend analysis with the intent of identifying potential issues or concerns that may need further examination during the functional review.

#### Task 7: Review Operator Functions

During the site visit, our audit team will conduct interviews with RCTA staff. Our audit team will objectively evaluate each operator function for consistency with those presented in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*. The functional review will address seven key functional areas. The following chart provides further details on the elements to be explored for each functional area.

### Operator Functions

General Management & Organization	Service Planning	Scheduling, Dispatch, & Operations	Personnel Management & Training	Administration	Marketing & Public Information	Maintenance
<ul style="list-style-type: none"> <li>•Administrative Oversight</li> <li>•Organizational Structure &amp; Reporting</li> <li>•Recent Program Changes &amp; Innovations</li> <li>•Areas of Interest to Management &amp; Board</li> </ul>	<ul style="list-style-type: none"> <li>•Strategic Planning</li> <li>•Short-Range Planning</li> <li>•Evaluation of Routes</li> <li>•Planning for Special Needs Transportation</li> <li>•Public Participation</li> <li>•Survey of Riders/Non-Riders</li> </ul>	<ul style="list-style-type: none"> <li>•Assignment of Drivers</li> <li>•Vacation, Absences, &amp; Sick Leave</li> <li>•Assignment of Passengers to Demand-Response Routes</li> <li>•Part-Time and Cover Drivers</li> <li>•Assignment of Vehicles to Routes</li> </ul>	<ul style="list-style-type: none"> <li>•Recruitment</li> <li>•Motivation</li> <li>•Training &amp; Safety</li> <li>•Discipline</li> <li>•Benefits</li> </ul>	<ul style="list-style-type: none"> <li>•Budgeting &amp; MIS</li> <li>•Financial &amp; Grants Management</li> <li>•Risk Management</li> <li>•Contract Management</li> <li>•Facility Management</li> <li>•Accounts Payable</li> <li>•Procurement</li> <li>•Revenue Collection &amp; Cash Management</li> <li>•Payroll</li> </ul>	<ul style="list-style-type: none"> <li>•Marketing &amp; Public Information</li> <li>•Communications with Other Government Agencies</li> </ul>	<ul style="list-style-type: none"> <li>•Preventive Maintenance</li> <li>•Sufficiency of Facility</li> <li>•Vehicle Condition</li> <li>•Repair Scheduling</li> <li>•Parts Management</li> <li>•Communications with Dispatch</li> <li>•Contracting Out</li> <li>•Providing Maintenance to Other Organizations</li> </ul>

Our functional review of the transit operator will include:

- Interviews with management, staff, advisory committees, and select contractor staff;
- Review of documents (i.e., committee reports, surveys, or transit planning studies);
- Calculation of additional metrics to provide additional insight into respective performance; and
- Review of the RCTA’s response to the COVID-19 pandemic.

#### Part C: Completion of Audits

##### Task 8: Draft and Final Audit Reports

A draft triennial performance audit report of the RTPA as well as a separate report for the Redwood Coast Transit Authority will be provided for staff review no later than February 7, 2022. Should either the RTPA or the RCTA be able to produce additional information or documentation to warrant removal of a finding, this would take place at this time. Following receipt of comments from staff on the draft audit reports, we will incorporate any edits, comments, or management responses into the reports. The final reports will be submitted no later than April 11, 2022, with project completion by May 15, 2022.

Along with the draft reports, as a **value-added bonus**, Moore & Associates will provide a TDA legislative analysis “white paper” discussing the impact of these changes specific to the DNLTC (as the RTPA) as well as the RCTA across the next several years. Doing so will not only enhance each organization’s understanding of the legislation, but will also assist each entity in effectively preparing for future years when the relief accorded by the legislation ends.

*Part C deliverables: Draft triennial performance audit reports of DNLTC and RCTA by February 7, 2022; TDA legislative analysis “white paper”; final audit reports submitted by April 11, 2022.*

##### Task 9: Presentations (Cost-option)

As requested in the DNLTC’s Request for Proposals, presentations to the Del Norte Local Transportation Commission and Redwood Coast Transit Authority Board are offered as a cost-option. The DNLTC meets on the first Tuesday of the month, while the RCTA Board meets on the fourth Monday of every other month (though this schedule has been somewhat disrupted by the COVID-19 pandemic). Depending upon

the circumstances of those meetings, we have provided cost-options for both virtual and in-person presentations as part of our Project Budget in Section 3.

## Project Schedule

TASKS	OCTOBER				NOVEMBER					DECEMBER				JANUARY				FEBRUARY			MARCH			APRIL			MAY							
	4	11	18	25	1	8	15	22	29	6	13	20	27	3	10	17	24	31	7	14	21	28	7	14	21	28	4	11	18	25	2	9	16	23
<b>Part I: RTPA Performance Audit</b>																																		
Task 1: Determine Compliance with Legal and Regulatory Requirements																																		
Task 2: Follow Up on Prior Performance Audit Recommendations																																		
Task 3: Review of DNLTC Functions																																		
<b>Part II: Transit Operator Performance Audit</b>																																		
Task 4: Determine Compliance with Statutory and Regulatory Requirements																																		
Task 5: Follow Up on Prior Performance Audit Recommendations																																		
Task 6: Verify Performance Indicators																																		
Task 7: Review of Operator Functions																																		
<b>Part III: Completion of Audits</b>																																		
Task 8: Draft and Final Reports and Presentations																																		
Task 9: Presentation (cost-option)																																		
<b>PROJECT MILESTONES</b>																																		
<i>Notice to Proceed</i>	▼																																	
<i>Project initiation meeting</i>		▼																																
<i>Monthly Progress Report</i>																																		
<i>Deadline for submittal of data</i>																																		
<i>Site visits</i>																																		
<i>Submit draft reports</i>																																		
<i>Submit final reports</i>																																		
<i>Optional: Presentation to DNLTC Commission and/or RCTA Board</i>																																		
<i>Project completion</i>																																		

## Section 2 | Project Management

### Project Management

We propose [Kathy Chambers](#) as our audit project manager. She will be directly involved in each aspect of any assigned work, ensuring that all team members meet the established schedule and that all work products are completed and accurate.

Effective project management is the key to a successful project outcome. It ensures the four project constraints of scope, time/schedule, cost, and quality are kept in balance throughout the course of the engagement. Each Moore & Associates' project manager is responsible for planning, organizing, motivating, and controlling the resources, processes, and protocols necessary for achieving a project's specific goals.

To support our proposed project management approach, Moore & Associates will utilize Basecamp, a no-cost, easy-to-use web-based project collaboration tool. Basecamp allows us to monitor task progress in real-time, assign resources effectively, and keep tabs on the project schedule. It ensures transparent communication between our project team and the client so that there are no surprises.



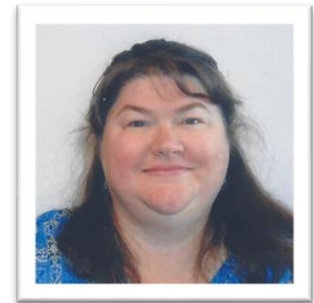
Our project manager will remain accountable throughout the entire project duration to ensure Del Norte Local Transportation Commission's project manager is kept up to date on all key aspects of the project. Our project team meets frequently to discuss all project elements and plan necessary actions. Upon identification of priority tasks, we will update the project Basecamp account, thereby providing DNLTC's project manager with real-time access to all project materials. Should any question arise from our anticipated tasks, they may be submitted via the same Basecamp account, further maintaining complete transparency and open communication.

In addition to the real-time status updates available through the Basecamp platform, Moore & Associates will provide regular status teleconferences with DNLTC's project manager to provide project status updates, recent tasks completed, as well as upcoming project tasks inclusive of anticipated staff assistance.

### Project Team

The Moore & Associates' personnel selected for this project were chosen not only for their experience conducting numerous successful triennial performance audits, but also for their specialized insight into public transportation. They are seasoned professionals, well-versed in industry terminology, best TDA audit practices, and public transit operational and compliance standards.

We propose [Kathy Chambers](#) as our audit project manager. Kathy brings more than 15 years of California TDA audit experience, including more than 120 successful Triennial Performance Audits throughout California within the past five years.



Kathy served as project manager for audits of the Alpine Local Transportation Commission, Butte County Association of Governments, El Dorado County Transportation Commission, Fresno Council of Governments, Imperial County Transportation Commission, Lake City/Council APC, Imperial County Transportation Commission, Kern Council of Governments, Kings County Association of Governments, Modoc County Transportation Commission, Nevada County Transportation Commission, San Benito Council of Governments, San Joaquin Council of Governments, Stanislaus Council of Governments, and Ventura County Transportation Commission. She is intimately familiar with TDA compliance requirements, and strives to guide clients through a successful audit by remaining available to answer questions and address concerns via telephone, email, and our firm's Basecamp project management software.

Kathy brings a sharp eye for detail as well as a keen understanding of both the TDA performance audit process and recent TDA-related legislation. In addition, her experience in transit planning, grants, and program administration provides a unique understanding of the realities of transit program operation. This combination of experience, knowledge, and insight has positioned Moore & Associates as one of the leading TDA Triennial Performance Audit consulting firms in California.

Kathy will be responsible for coordinating work assignments within our project team and for ensuring all project deliverables are of the highest quality. A hands-on project manager, she will not only oversee but participate in all audit activities. Kathy will provide frequent updates via email, telephone, and written monthly progress memos.



Joining Kathy on the project team will be Project Associate [Stephanie Roberts](#). Stephanie brings more than nine years of high-profile transportation experience, including participation in many of Moore & Associates' recent audit engagements. Stephanie has provided support for Triennial Performance Audits of the Butte County Association of Governments, Fresno Council of Governments, Madera County Transportation Commission, Modoc County Transportation Commission, Nevada County Transportation Commission, San Joaquin Council of Governments, Stanislaus Council of Governments, and Ventura County Transportation Commission. She will be responsible for coordinating receipt of key audit documents, reviewing documents to ensure accuracy and appropriateness, coordinating audit site visits, verifying performance indicators, and assisting with audit report preparation.

Resumes for each project team member are provided below.



## Guarantees

We affirm all key personnel proposed for this project have sufficient capacity and availability to complete this project within the proposed timeframe and budget. **As such, we also offer the Del Norte Local Transportation Commission the following guarantees:**

- No person designated as “key” to the project shall be removed or replaced without the prior written concurrence of DNLTC’s project manager.
- The quality of all deliverables will meet DNLTC’s standards as well as TDA requirements.
- All deadlines agreed upon at project initiation will be met.

Failure to maintain any of these guarantees will result in payment of a **financial penalty** to the DNLTC. After the project initiation meeting, Moore & Associates will present a check equivalent to eight percent of the total project budget (an amount reflective of the firm’s anticipated project profit).

**In 30 years of consulting history, Moore & Associates has never failed to have each of its “project guarantee” checks returned uncashed at the successful end of each client project.**



## Kathy Chambers

### Project Role

- Project Manager
- Lead Auditor

### Education

- Master of Music in Musicology, Texas Christian University, Fort Worth, TX
- Bachelor of Music Education, Baylor University, Waco, TX

### Performance Audits

- Alpine County Local Transportation Commission (RTPA, Alpine County).
- Butte County Association of Governments (RTPA, City of Gridley, Butte Regional Transit).
- Fresno Council of Governments (RTPA, City of Clovis, City of Fresno, Fresno County Rural Transit Agency, Fresno County Economic Opportunities Commission).
- Imperial County Transportation Commission (RTPA, Imperial County, the Imperial Irrigation District, Brawley, Calexico, Calipatria, El Centro, Holtville, Imperial, and Westmorland).
- Kern Council of Governments (cities of Arvin, California City, Delano, McFarland, Ridgecrest, Shafter, Taft, Tehachapi, and Wasco; North of the River CTSA; Kern Transit; Golden Empire Transit; and RTPA).
- Kings County Association of Governments (City of Corcoran, Kings County Area Public Transit Agency, and RTPA).
- Lake City/County Area Planning Council (Lake Transit Authority and Lake APC as RTPA).
- Los Angeles County Metropolitan Transportation Authority (LACMTA as RTPA and operator as well as 21 additional operators).

- Madera County Transportation Commission (Chowchilla Area Transit Express; Madera Area Express; Madera County Connection; City of Madera Dial-A-Ride; Eastern Madera County Escort/Senior Bus; and RTPA).
- Modoc County Transportation Commission (Modoc Transportation Authority, RTPA).
- Nevada County Transportation Commission (RTPA, County of Nevada, and Town of Truckee).
- Orange County Transportation Authority (OCTA as RTPA; Orange County Transit District and Laguna Beach as operators).
- Placer County Transportation Planning Agency (cities of Auburn, Lincoln, and Roseville; Placer County Transit; CTSA; and RTPA).
- Sacramento Area Council of Governments (Sacramento Regional Transit and Paratransit, Inc.).
- San Joaquin Council of Governments (cities of Lodi, Ripon, and Tracy; San Joaquin RTD; Regional Rail Commission; and RTPA).
- Santa Cruz County Regional Transportation Commission (including RTPA and Santa Cruz MTD).
- Shasta Regional Transportation Agency (RTPA and Redding Area Bus Authority).
- Stanislaus Council of Governments (cities of Ceres, Modesto, and Turlock; ROTA; County of Stanislaus; and RTPA).
- Tulare County Association of Governments (cities of Dinuba, Exeter, Porterville, Tulare, Visalia, and Woodlake; County of Tulare; and TCAG).
- Ventura County Transportation Commission (cities of Camarillo, Moorpark, Ojai, Simi Valley, and Thousand Oaks; County of Ventura; Gold Coast Transit District; Valley Express; and RTPA).

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## Stephanie Roberts

### Project Role

- Project Associate
- Associate Auditor

### Education

- Bachelors of Arts in Sociology, San Francisco State University

### Performance Audits

- Alpine County Local Transportation Commission (RTPA, Alpine County).
- Butte County Association of Governments (RTPA, City of Gridley, Butte Regional Transit).
- Fresno Council of Governments (RTPA, City of Clovis, City of Fresno, Fresno County Rural Transit Agency, Fresno County Economic Opportunities Commission).
- Kern Council of Governments (cities of Arvin, California City, Delano, McFarland, Ridgecrest, Shafter, Taft, Tehachapi, and Wasco; North of the River CTSA; Kern Transit; Golden Empire Transit; and RTPA).
- Los Angeles County Metropolitan Transportation Authority (LACMTA as RTPA and operator as well as 21 additional operators).

- Modoc County Transportation Commission (Modoc Transportation Authority, RTPA).
- Nevada County Transportation Commission (RTPA, County of Nevada, and Town of Truckee).
- Orange County Transportation Authority (OCTA as RTPA; Orange County Transit District and Laguna Beach as operators).
- Placer County Transportation Planning Agency (cities of Auburn, Lincoln, and Roseville; Placer County Transit; CTSA; and RTPA).
- Sacramento Area Council of Governments (Sacramento Regional Transit and Paratransit, Inc.).
- San Joaquin Council of Governments (cities of Lodi, Ripon, and Tracy; San Joaquin RTD; Regional Rail Commission; and RTPA).
- Tulare County Association of Governments (cities of Dinuba, Exeter, Porterville, Tulare, Visalia, and Woodlake; County of Tulare; and TCAG).
- Ventura County Transportation Commission (cities of Camarillo, Moorpark, Ojai, Simi Valley, and Thousand Oaks; County of Ventura; Gold Coast Transit District; Valley Express; and RTPA).

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## References

### Stanislaus Council of Governments

#### *Triennial Performance Audits*

Karen (Kincy) Dunger, Manager of Financial Services  
1111 I Street, Modesto, CA 95354  
209.525.4640



In 2019, Moore & Associates was selected by the Stanislaus Council of Governments to conduct the FY 2015/16 – FY 2017/18 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county’s transit operators: the cities of Ceres, Modesto, and Turlock and the County of Stanislaus. Moore & Associates developed recommendations to assist StanCOG and the transit operators by improving progress toward their respective transportation goals. The audits fulfilled the requirements of the TDA with respect to StanCOG as the RTPA while also recommending productivity improvements for the operators. County-wide, two compliance findings pertained to the late submittal of TDA fiscal audits, and two pertained to compliance with StanCOG’s Transit Cost-Sharing Procedures. Functional findings focused on accurate data reporting and the need to include a farebox compliance element in TDA fiscal audits. Audits were completed on schedule and within the stipulated budget. Based on the success of its prior audit efforts, Moore & Associates was again selected to conduct StanCOG’s audits in 2021.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*

### San Joaquin Council of Governments

#### *Triennial Performance Audits*

Gracie Orosco, Chief Accountant  
555 E. Weber Ave., Stockton, CA 95202  
209.235.0454



In 2018, Moore & Associates was selected by the San Joaquin Council of Governments to conduct the FY16-FY18 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county’s transit operators: City of Escalon, City of Lodi, City of Manteca, City of Ripon, City of Tracy, San Joaquin Regional Rail Commission, and San Joaquin Regional Transit District. Tasks of the audit included determining compliance with statutory and regulatory requirements, status of prior performance audit recommendations, verification of performance indicators, and a review of operator functions. The audits not only fulfilled the requirements of the TDA with respect to SJCOG as the RTPA, but also provided a continuing assessment of productivity and TDA compliance for the operators. Based on the success of its prior TDA audit efforts, Moore & Associates was again selected to conduct SJCOG’s audits in 2021.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*

### **Modoc County Transportation Commission**

*Triennial Performance Audits*  
Niki Lemke, Chief Fiscal Officer  
108 S. Main St., Alturas, CA 96101  
530.233.6410



In 2021, Moore & Associates was selected by the Modoc County Transportation Commission to conduct the FY18-FY21 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county's transit operator, Modoc Transportation Agency. Tasks of the audit included determining compliance with statutory and regulatory requirements, status of prior performance audit recommendations, verification of performance indicators, and a review of operator functions. The audits not only fulfill the requirements of the TDA with respect to MCTC as the RTPA, but also provide a continuing assessment of productivity and TDA compliance for the operator.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*

### **Kern Council of Governments**

*Triennial Performance Audits*  
Bob Snoddy, Regional Planner III  
1401 19<sup>th</sup> Street, Suite 300, Bakersfield, CA 93301  
661.861.2191



Moore & Associates conducted Triennial Performance Audits of the Kern Council of Governments, Kern Transit, Golden Empire Transit, and ten community-based public transit programs for five audit cycles (most recently in 2019). Moore & Associates developed recommendations to assist Kern COG and the transit operators by improving progress toward their respective transportation goals. Matters of funding compliance, farebox recovery, and segregation of transit-related funds were also addressed. Audits were completed on schedule and within the stipulated budget. Following completion of the audits, the COG selected Moore & Associates to assist several transit operators in Kern County with implementation of the audit recommendations.

*KEY STAFF: Kathy Chambers.*

### Fresno Council of Governments

#### *Triennial Performance Audits*

Jennifer Soliz, Associate Regional Planner  
2035 Tulare Street, Suite 201, Fresno, CA 93721  
559.233.4148



In 2019, Moore & Associates was selected by the Fresno Council of Governments to conduct the FY 2015/16 – FY 2017/18 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county’s transit operators: the cities of Clovis and Fresno; Fresno County Rural Transit Agency, and Fresno Economic Opportunities Commission. The audits fulfilled the requirements of the TDA with respect to Fresno COG as the RTPA while also providing for future productivity improvements and TDA compliance improvements for the operators. Based on the success of its prior audit efforts, Moore & Associates was recently selected to prepare Fresno COG’s 2021 Triennial Performance Audits.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*

### Madera County Transportation Commission

#### *Triennial Performance Audits*

Troy McNeil, Fiscal Supervisor  
2001 Howard Road, Suite 201, Madera, CA 93637  
559.675.0721 ext. 12



In 2017 and again in 2020, Moore & Associates was selected by the Madera County Transportation Commission to conduct Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county’s transit operators: Chowchilla Area Transit Express, Madera Area Express, Madera County Connection, City of Madera Dial-A-Ride, and Eastern Madera County Escort/Senior Bus. While MCTC undergoes regular Triennial Performance Audits at the RTPA, 2017 represented the first audit for Madera County transit operators, who receive Article 8 funding and are not statutorily required to undergo an audit. Conducting triennial performance audits of the operators was included as a recommendation in MCTC’s prior audit. The audits fulfilled the requirements of the TDA with respect to MCTC as the RTPA while also providing a baseline for future productivity improvements and TDA compliance for the operators.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*

### Imperial County Transportation Commission

#### *Triennial Performance Audits*

David Aguirre, Transit Programs Manager  
1503 N. Imperial Avenue, Suite 104, El Centro, CA 92243  
760.592.4494



In late 2019, Moore & Associates was selected by the Imperial County Transportation Commission to conduct the FY 2016/17 – FY2018/19 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county’s transit operators: Imperial Valley Transit, Imperial Valley Transit Blue and Green Lines, Imperial Valley Transit Gold Line, IVT Access, IVT MedTrans, West Shores Dial-A-Ride, City of Brawley, City of El Centro, and Imperial Dial-A-Ride. Tasks of the audit include determining compliance with statutory and regulatory requirements, status of prior performance audit recommendations, verification of performance indicators, and a review of operator functions. Upon completion, the audits will not only fulfill the requirements of the TDA with respect to ICTC as the RTPA, but will also provide a continuing assessment of productivity and TDA compliance for the operators.

*KEY STAFF: Kathy Chambers.*

### Ventura County Transportation Commission

#### *Triennial Performance Audits*

Martin Erickson, Public Transit Director  
751 E. Daily Dr., Ste 420, Camarillo, CA 93010  
805.642.1591 ext. 110



In 2016 and 2019, Moore & Associates was selected to conduct Triennial Performance Audits of the Ventura County Transportation Commission as well as the nine transit operators to which it provides oversight. Several of the operators were undergoing a Triennial Performance Audit for the first time. In addition, VCTC elected to conduct performance audits of all operators in the county, not just TDA Article 4 recipients. Data collection and site visits/interviews were combined to minimize the administrative impact of the audit on each transit operator. The audit served as an opportunity to create a baseline of transit program performance throughout the county. Recommendations were crafted to improve the accuracy of reporting, address farebox recovery concerns, and ensure the timely submission of fiscal audits.

*KEY STAFF: Kathy Chambers, Stephanie Roberts*

### Lake County/City Area Planning Council

*Triennial Performance Audits*

Lisa Davey-Bates, Executive Director

367 N. State Street, Ste. 204, Ukiah, CA 95482

707.234.3314



In 2013, 2016, and 2019, Moore & Associates conducted Triennial Performance Audits of both the Lake County/City Area Planning Council (APC) and Lake Transit Authority (LTA). Each cycle, the audits were completed on a very short timeframe. Tasks of the audit included determining compliance with statutory and regulatory requirements, status of prior performance audit recommendations, verification of performance indicators, and a review of operator functions. All audits were completed on schedule and within the stipulated budget.

*KEY STAFF: Kathy Chambers.*

### Nevada County Transportation Commission

*Triennial Performance Audits*

Dan Landon, Executive Advisor

101 Providence Mine Road, Suite 102, Nevada City, CA 95959

530.265.3202



In 2019, Moore & Associates was selected by the Nevada County Transportation Commission to conduct the FY 2015/16 – FY 2017/18 Triennial Performance Audits of itself, as the designated Regional Transportation Planning Agency, and of the county's transit operators: County of Nevada (Gold Country Stage and Gold Country Lift) and Town of Truckee. Moore & Associates developed recommendations to assist NCTC and the transit operators by improving progress toward their respective transportation goals. Audits were completed on schedule and within the stipulated budget. The audits fulfilled the requirements of the TDA with respect to NCTC as the RTPA while also recommending productivity improvements for the operators. Compliance findings tended to be administrative in nature and should be easily addressed prior to the next audit. Functional findings focused primarily on more effective program documentation.

*KEY STAFF: Kathy Chambers, Stephanie Roberts.*



## Section 3 | Project Budget

Labor Expenses			Part I: RTPA Audit						Part II: Operator Audit						Part III: Completion		Grand Total			
			Task 1		Task 2		Task 3		Task 4		Task 5		Task 6		Task 7				Task 8	
Title	Name	Rate	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost	Hours	Cost
PROJECT MANAGER	Kathy Chambers	\$78.00	14	\$1,092.00	8	\$624.00	16	\$1,248.00	12	\$936.00	8	\$624.00	12	\$936.00	12	\$936.00	24	\$1,872.00	106	\$8,268.00
ASSOCIATE AUDITOR	Stephanie Roberts	\$56.00	12	\$672.00	4	\$224.00	12	\$672.00	8	\$448.00	4	\$224.00	8	\$448.00	12	\$672.00	16	\$896.00	76	\$4,256.00
ADMINISTRATIVE STAFF		\$20.00	4	\$80.00	0	\$0.00	4	\$80.00	0	\$0.00	0	\$0.00	0	\$0.00	4	\$80.00	8	\$160.00	20	\$400.00
<b>Subtotal, Direct Labor</b>			<b>30</b>	<b>\$1,844.00</b>	<b>12</b>	<b>\$848.00</b>	<b>32</b>	<b>\$2,000.00</b>	<b>20</b>	<b>\$1,384.00</b>	<b>12</b>	<b>\$848.00</b>	<b>20</b>	<b>\$1,384.00</b>	<b>28</b>	<b>\$1,688.00</b>	<b>48</b>	<b>\$2,928.00</b>	<b>202</b>	<b>\$12,924.00</b>
<b>Burden and Overhead</b>			<b>88%</b>	<b>\$1,622.72</b>	<b>\$746.24</b>	<b>\$1,760.00</b>	<b>\$1,217.92</b>	<b>\$746.24</b>	<b>\$1,217.92</b>	<b>\$1,485.44</b>	<b>\$2,576.64</b>	<b>\$11,373.12</b>								
<b>Total Labor</b>				<b>\$3,466.72</b>	<b>\$1,594.24</b>	<b>\$3,760.00</b>	<b>\$2,601.92</b>	<b>\$1,594.24</b>	<b>\$2,601.92</b>	<b>\$3,173.44</b>	<b>\$5,504.64</b>	<b>\$24,297.12</b>								
<b>Direct Costs</b>																				
PRINTING/PRODUCTION				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$500.00	\$500.00				
<b>Total Direct Costs</b>				<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$500.00</b>	<b>\$500.00</b>				
<b>TOTAL COST</b>				<b>\$3,466.72</b>	<b>\$1,594.24</b>	<b>\$3,760.00</b>	<b>\$2,601.92</b>	<b>\$1,594.24</b>	<b>\$2,601.92</b>	<b>\$3,173.44</b>	<b>\$6,004.64</b>	<b>\$24,797.12</b>								

### Task 9 Cost-Option:

Given the volatility of the COVID-19 pandemic, we have provided separate pricing for multiple options for presentations to the DNLTC and RCTA Board.

Option 1: Virtual presentations - \$600 per presentation.

Option 2: In-person presentations (requiring separate trips) - \$1,500 per presentation.

Option 3: In-person presentations (on same trip) - \$2,000 for both presentations.

**Review of Proposals for  
Triennial Performance Auditing Services**

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<b>Consultant</b>	<b>MBI</b>	<b>Moore</b>
<i>T. Leighton</i> Reviewer 1	1	2
<i>S. Ratnam</i> Reviewer 2	1	2
<i>J. Rye</i> Reviewer 3	1	2
<b>Average Rank</b>	1.00	2.00

***Directions:***

*Review team members score each proposal. Direct the ranking for all reviewers with a #1 as top score recommendation will be the firm with the most #1 there is a tie, this will be reported to DNLTC. All scores must be signed, provided to the Director and retain DNLTC Document Retention Policy.*

**Item C Staff Report**

**DATE:** OCTOBER 5, 2021  
**TO:** TECHNICAL ADVISORY COMMITTEE  
**FROM:** TAMERA LEIGHTON, EXECUTIVE DIRECTOR  
**SUBJECT:** OVERALL WORK PROGRAM AMENDMENT 1

---

**PROPOSED ACTION:** Recommend DNLTC adopt resolution 2021 15 approving the 2021-22 Overall Work Program Amendment 1.

**BACKGROUND:** The Overall Work Program (OWP) is the primary management tool for the Del Norte Local Transportation Commission, identifying the activities and a schedule of work for regional transportation planning in Del Norte County.

**DISCUSSION:** The following chart reflects the changes to the Overall Work Program, thus creating the necessity for Amendment 1. The resolution and detailed work elements impacted by Amendment 1 are also included.

RESOLUTION NO. 2021 15

DEL NORTE LOCAL TRANSPORTATION COMMISSION RESOLUTION APPROVING  
AMENDMENT #1 OF THE 2021-22 OVERALL WORK PROGRAM

WHEREAS, the Del Norte Local Transportation Commission in its official capacity as the designated Regional Transportation Planning Agency, hereafter referred to as the RTPA, is responsible for the planning, allocating and programming of funds; and

WHEREAS, the 2021-22 Overall Work Program (OWP) is the primary management tool for the Del Norte Local Transportation Commission, identifies the activities and a schedule of work for regional transportation planning in Del Norte County, and is a requirement of the Memorandum of Understanding between Del Norte Local Transportation Commission and the California Department of Transportation; and

WHEREAS, the Del Norte Local Transportation Commission adopted the 2021-22 OWP at the April 6, 2021 meeting; and

WHEREAS, the work element, expenditure detail and revenue summary are attached to this resolution; and

WHEREAS, Amendment #1 of the 2021-22 OWP makes the following changes:

<b>Work Element:</b>	<b>Purpose of change:</b>	<b>Action taken:</b>
A 1	Adds funding	Adds funding of \$8,000 accommodate the work year and to add Zero Emission Readiness Planning work scoping.
A 4	Adds funding	Adds funding of \$38,470 to accommodate more mapping topics.
B 1	Adds funding	Adds staff services funding of \$2,000 to accommodate work products needed for the 2021-22 year.
C 1	Adds funding	Adds staff services funding of \$2,000 to accommodate work products needed for the 2021-22 year.
C 2	Adds funding	Adds funding of \$17,000 to support planning for the City of Crescent City's Measure A transportation activities.
E 2	Adds funding	Adds \$25,000 for consultant auditor services to accommodate Triennial Performance Audit required for the 2021-22 year.
E 2	Reduces funding	Reduces funding for Auditor Office by \$400 to reflect expenditure history.
G 1	Reduces funding	Reduces funding and work applied to the Office of Emergency Services Transportation Annex.
H 1	Changes funding source	Changes the funding source to accommodate by planning (RPA) and preliminary engineering (PPM). Increases consultant services by \$4,000.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED, that the Del Norte Local Transportation Commission hereby approves Amendment #1 of the 2021-22 Overall Work Program.

PASSED AND ADOPTED by the Del Norte Local Transportation Commission, a Regional Transportation Planning Agency of the State of California on the 5th day of October 2021 by the following vote:

AYES:

NOES:

ABSTAIN:

ABSENT:

---

Jason Greenough, Chair  
Del Norte Local Transportation Commission

Attest:

---

Tamera Leighton, Executive Director  
Del Norte Local Transportation Commission

Del Norte Local Transportation Commission

Overall Work Program Expenditure Detail

2021-22 Overall Work Program Draft 1

Work Element	Description	Funding Sources	DNLTC	Consultant/ Other
<b>A</b>	Long Range Planning Coordination	RPA	\$ 46,000	\$ 104,370
		PPM	\$ -	\$ -
		TDA	\$ -	\$ -
		Other/RSTP	\$ -	\$ -
<b>Total A</b>	<b>\$150,370</b>		<b>\$46,000</b>	<b>\$104,370</b>
<b>B</b>	Overall Work Program Development	RPA	\$ 18,000	\$ 10,000
		PPM	\$ -	\$ -
		TDA	\$ -	\$ 10,000
		Other	\$ -	\$ -
<b>Total B</b>	<b>\$38,000</b>		<b>\$ 18,000</b>	<b>\$ 20,000</b>
<b>C</b>	Public Participation and Information Dissemination	RPA	\$ 35,000	\$ 35,000
		PPM	\$ -	\$ 2,500
		TDA	\$ -	\$ 10,000
		Other:	\$ -	\$ -
<b>Total C</b>	<b>\$82,500</b>		<b>\$ 35,000</b>	<b>\$ 47,500</b>
<b>D</b>	Regional Transportation Improvement Program (RTIP) Development	RPA	\$ -	\$ -
		PPM	\$ 8,000	\$ 70,000
		TDA	\$ -	\$ -
		Other	\$ -	\$ -
<b>Total D</b>	<b>\$78,000</b>		<b>\$ 8,000</b>	<b>\$ 70,000</b>
<b>E</b>	Transportation Development Act Administration and Fiscal Management	RPA	\$ -	\$ -
		PPM	\$ -	\$ -
		TDA	\$ 28,500	\$ 50,500
		Other	\$ -	\$ -
<b>Total E</b>	<b>\$79,000</b>		<b>\$ 28,500</b>	<b>\$ 50,500</b>
<b>F</b>	SAFE: Service Authority for Freeway Emergencies	RPA	\$ -	\$ -
		PPM	\$ -	\$ -
		TDA	\$ -	\$ -
		SAFE	\$ 6,000	\$ 20,000
<b>Total F</b>	<b>\$26,000</b>		<b>\$ 6,000</b>	<b>\$ 20,000</b>
<b>G</b>	Safety & Security Planning	RPA	\$ 2,000	\$ 12,000
		PPM	\$ -	\$ -
		TDA	\$ -	\$ -
		Other:	\$ -	\$ -
<b>Total G</b>	<b>\$14,000</b>		<b>\$ 2,000</b>	<b>\$ 12,000</b>
<b>H</b>	Transit Planning	RPA	\$ 2,000	\$ 10,000
		PPM	\$ -	\$ 20,000
		TDA	\$ -	\$ -
		Other:	\$ -	\$ -
<b>Total H</b>	<b>\$32,000</b>		<b>\$ 2,000</b>	<b>\$ 30,000</b>

**Del Norte Local Transportation Commission**

**Overall Work Program Revenue Summary**

2021-22 Overall Work Program Draft 1

Work Element	Description	RPA	TDA	STIP PPM	SAFE/RSTP/ RPA Grant	Work Element Total
<b>A</b>	<b>Long Range Planning Coordination</b>					
Product 1	Regional Transportation Plan Development	\$ 34,000.00	\$ -	\$ -	\$ -	
Product 2	Last Chance Grade Update	\$ 5,000.00		\$ -	\$ -	
Product 3	2022 Economic and Demographic Profile	\$ 8,900.00	\$ -			
Product 4	Regional Mapping	\$ 102,469.50				
	<b>Total Work Element A</b>	<b>\$ 150,369.50</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 150,369.50</b>
<b>B</b>	<b>Overall Work Program Development</b>					
Product 1	Overall Work Program	\$ 28,000.00	\$ 10,000.00	\$ -	\$ -	
	<b>Total Work Element B</b>	<b>\$ 28,000.00</b>	<b>\$ 10,000.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 38,000.00</b>
<b>C</b>	<b>Information Dissemination</b>					
Product 1	Commission	\$ 28,000.00	\$ -	\$ -	\$ -	
Product 2	Partnerships and Planning Agreements	\$ 25,000.00	\$ 10,000.00	\$ 2,500.00	\$ -	
Product 3	Website & Crowdsourcing Information	\$ 17,000.00				
	<b>Total Work Element C</b>	<b>\$ 70,000.00</b>	<b>\$ 10,000.00</b>	<b>\$ 2,500.00</b>	<b>\$ -</b>	<b>\$ 82,500.00</b>
<b>D</b>	<b>Regional Transportation Improvement Program (RTIP) Development</b>					
Product 1	Develop and Maintain TIP	\$ -	\$ -	\$ 28,000.00	\$ -	
Product 2	Project Representation	\$ -	\$ -	\$ 50,000.00	\$ -	
	<b>Total Work Element D</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 78,000.00</b>	<b>\$ -</b>	<b>\$ 78,000.00</b>
<b>E</b>	<b>Transportation Development Act Administration and Fiscal Management</b>					
Product 1	Office Operations	\$ -	\$ 20,500.00	\$ -	\$ -	
Product 2	Fiscal Management	\$ -	\$ 56,000.00	\$ -	\$ -	
Product 3	SSTAC Support	\$ -	\$ 2,500.00	\$ -	\$ -	
	<b>Total Work Element E</b>	<b>\$ -</b>	<b>\$ 79,000.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 79,000.00</b>
<b>F</b>	<b>SAFE: Service Authority for Freeway Emergencies</b>					
Product 1	Call Box System Maintenance & Reporting	\$ -	\$ -	\$ -	\$ 26,000.00	
	<b>Total Work Element F</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 26,000.00</b>	<b>\$ 26,000.00</b>

<b>G</b>	<b>Safety &amp; Security Planning</b>					
Product 1	Local Roadway Safety Plan Match	\$ 14,000.00				
	<b>Total Work Element G</b>	<b>\$ 14,000.00</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 14,000.00</b>

<b>H</b>	<b>Transit Planning</b>					
Product 1	Transit Hub Planning & Development	\$ 12,000.00		\$ 20,000.00		
	<b>Total Work Element H</b>	<b>\$ 12,000.00</b>		<b>\$ 20,000.00</b>		<b>\$ 32,000.00</b>

<b>TOTAL LABOR AND EXPENSES</b>		<b>\$ 274,369.50</b>	<b>\$ 99,000.00</b>	<b>\$ 100,500.00</b>	<b>\$ 26,000.00</b>	<b>\$ 499,869.50</b>
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**WORK ELEMENT A Long Range Planning Coordination**

**2021-22 Overall Work Program Draft 1**

Expenditures		Revenue by Fund Source			
Staff Allocations and Funding Requirements					
DNLTC	Amount	RPA	STIP/PPM	RSTP	Other
DNLTC Staff Services	\$ 46,000.00	46,000.00		\$ -	\$ -
Consultant	\$ 104,369.50	\$ 104,369.50	\$ -	\$ -	\$ -
<b>TOTAL</b>	<b>\$ 150,369.50</b>	<b>\$ 150,369.50</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

**Objective**

To collaborate with various agencies such as local, regional, state agencies and Tribal governments to discuss and coordinate issues related to transportation planning. Carry forward the DNLTC regional planning process that is cooperative, comprehensive, and promotes a shared regional vision. Provide information to the region to help inform decision-making that impacts transportation-

**Discussion**

This work element provides the resources for staff and Commission members to participate in the efforts and activities to develop plans and programs that represent the transportation needs of the region as established in the 2020 Regional Transportation Plan. This work represents ongoing efforts for Del Norte's representation and participation in developing planning documents that impact the region. Responsible party: DNLTC staff services.

**Previous Accomplishments**

- Regular Participation in the US Highway 197/199 Project Delivery Team
- Commented on STIP and SHOPP projects for Caltrans and California Transportation Commission
- Participated in Last Chance Grade Project Initiation Delivery and Economic Impact of Closure studies
- Support the Demographic and Economic Profile for Del Norte County
- 2020 Regional Transportation Plan and Environmental Documents
- Advocated for the US Highway 101 urban area pedestrian improvement projects.
- Participated in California Active Transportation Plan
- Partnering with Elk Valley Rancheria to fund the Humboldt Road/Sandmine Roundabout
- Participating in Dr. Fine Bridge replacement project delivery team meetings.
- Participating in Regional Transportation Planning Agency meetings that establish programs impacting the Del Norte region.

Product 1: Regional Transportation Plan Development			
Task/Activity		Product	Schedule
1	Assess regional priorities and participate in the system planning process on an ongoing basis as initiated by Caltrans. Comment on Caltrans policies, procedures and mandates under development.	Meeting notes, agendas, reports, comment letters	As needed
2	Prepare for and attend Regional Transportation Planning Agency executive director meetings as requested by Caltrans District 1 to comment on issues of significance to the District 1 region and to coordinate with colleagues in District 1.	Meeting notes, agendas, and comment letters	Quarterly or as scheduled by Caltrans D1
3	Participate in implementing federal legislation and funding that supports rural transportation and meets the needs of the DNLTC 2020 Regional Transportation Plan by whatever method of participation becomes available such as state meetings, webinars and conference calls.	Meeting notes, agendas, and comment letters	As needed and relevant to the Del Norte region
4	Coordinate and consult with Tribal governments as requested, including but not limited to Tribal long range planning. This work supports common goals including the Smith River Rancheria for the US Highway 101 corridor, the Elk Valley Rancheria on US Highway 101 trail crossing, and Yurok Tribe projects.	Meeting notes, agendas, and comment letters	As needed, approximately six times per year.
5	Engage and coordinate the goods movement industry (Lily bulb growers, dairy/cheese, solid waste management, wood products, etc.) in regional transportation planning. Track efforts to improve goods movement on the interregional US Highway 101 and 199 corridors. Support policies, programs and actions that provide goods movement throughout the Northcoast region.	Meeting notes, agendas, and comment letters	As needed, approximately quarterly.

- |   |  |   |                      |
|---|--|---|----------------------|
| 6 | Participate in transportation safety and security planning activities to support the RTP, including attending local and regional meetings as requested by the Del Norte Office of Emergency Services.  | Meeting notes                               | As needed            |
| 7 | Participate in working group activities, review State policies, and review the work to date in the State to assess the need for Zero Emissions Vehicle readiness planning.   | Meeting notes, agendas, and work scoping.   | Monthly or as needed |
| 8 | Support Border Coast Regional Airport Authority activities that increase transportation options with a focus on access to the airport including multi-modal access. Attend Boarder Coast Regional Airport Authority meetings as topics of relevance arise. | Meeting notes, agendas, and comment letters | As needed            |
| 9 | Post transportation articles and documents to the website that inform the public regarding planning activities that support the Regional Transportation Plan.  | Up-to-date website                          | Monthly or as needed |

Product 1 Estimate	Amount	RPA	STIP/PPM	RSTP
DNLTC Staff Services	\$ 34,000	\$ 34,000	\$ -	\$ -
Consultant	\$ -	\$ -	\$ -	\$ -
<b>Total</b>	<b>\$ 34,000</b>	<b>\$ 34,000</b>	<b>\$ -</b>	<b>\$ -</b>

### Product 2: Last Chance Grade Update

Advocate for long term solutions to the instability of Last Chance Grade on US Highway 101, including reviewing and commenting on Caltrans documents and disseminating community information.

Task/Activity	Products	Schedule
1 Public information available on website.	Updated website	July - June
2 Advocate for long term solutions to the instability of Last Chance Grade on US Highway 101 by participating in regional and State meetings to support the project. This work supports Caltrans' efforts and informs the Regional Transportation Plan.	Meeting comments as appropriate.	July - June

Product 2 Estimate	Amount	RPA	STIP/PPM	RSTP
DNLTC Staff Services	\$ 5,000	\$ 5,000	\$-	\$-
Consultant and Printing	\$ -	\$ -		\$ -
<b>Total</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ -</b>	<b>\$ -</b>

### Product 3: 2022 Economic and Demographic Profile

With the assistance of the Center of Economic Development, CSU Chico, provide the 2022 Economic and Demographic Profile to inform the Regional Transportation Plan and other planning documents.

Task/Activity	Products	Schedule
1 Contract management for 2021 Economic and Demographic Profile	Executed contract	July - November
2 Develop the 2021 Databook, including chapter development, document review, final approval and post to website.	2021 Databook	February - May

Product 2 Estimate	Amount	RPA	STIP/PPM	RSTP
DNLTC Staff Services	\$ 3,000	\$ 3,000	\$ -	\$ -
Consultant	\$ -	\$ 5,900	\$ -	\$ -
<b>Total</b>	<b>\$ 3,000</b>	<b>\$ 8,900</b>	<b>\$ -</b>	<b>\$ -</b>

### Product 4 Regional Mapping

The scope of work begins with County and City maintained mileage mapping, which is a requirement, and it can be expanded into many areas to more accurately and efficiently inform planning processes. The shapefile mapping will inform many regional planning documents, including the Regional Transportation Plan. This work will extend into the 2021-22 year based on the consultant proposal and funding availability. Priority areas include:

County maintained mileage: Completed in 2020-21  
 City maintained mileage: Completed in 2020-21  
 Bus Routes, stops and shelters: Completed in 2020-21

1. Elk Valley Rancheria Indian Reservation Roads.
2. Resighini Rancheria Indian Reservation Roads.
3. Tolowa Dee-ni Nation Indian Reservation Roads.
4. Yurok Tribe Indian Reservation Roads.
5. Right-of-way references for Minor Arterials roads.
6. Right-of-way references for Major Collectors roads.
7. Right-of-way reference for Minor Collectors roads.
8. Right-of-way reference for Local roads.
9. Bike routes and lanes.
10. Local trails (no state or federal).
11. Call box system mapping.
12. Transit service area analysis and basemap.
13. Transit ADA service area.
14. Cartographic products to show routes/stops.
15. Sidewalks.
16. Off Highway Vehicle (OHV) use areas.
17. Drainage facilities within right-of-way.
18. Driveways.
19. Curb ramps.
20. Centralized clearing house for regional transportation related GIS information.
21. Pavement Condition Index.
22. Road maintenance areas.
23. Vehicle Miles Traveled (SB 743) encumbrances

Task/Activity	Products	Schedule
1 Continue GIS data sets based on the priorities established by partner agencies: Local bridges, Tribal reservation roads, bike routes and lanes, Rights-of-Way along frontage parcels, local trails, call box system.	Downloadable files to partner agencies	July - October
2 Contract administration and closeout.	Invoice processing, closeout.	July - December

Product 1 Estimate	Amount	RPA	STIP/PPM	RSTP
Staff	\$ 4,000	\$ 4,000	\$ -	
Consultant	\$ 98,470	\$ 98,470	\$ -	\$ -
Total	\$ 102,470	\$ 102,470	\$ -	\$ -

**WORK ELEMENT B**

**Overall Work Program Development**

2021-22 Overall Work Program Draft 1

Expenditures		Revenue by Fund Source			
Staff Allocations and Funding Requirements					
DNLTC	Amount	RPA	STIP/PPM	TDA	
DNLTC Staff Services	\$ 18,000.00	\$ 18,000.00	-		
Consultant	\$ 20,000.00	\$ 10,000.00	\$ -	\$ 10,000.00	
<b>TOTAL</b>	<b>\$ 38,000.00</b>	<b>\$ 28,000.00</b>	<b>\$ -</b>	<b>\$ 10,000.00</b>	

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

**Objective**

To provide administration of the Overall Work Program, to conduct day-to-day operations of DNLTC, provide support to the Commission and its committees, develop and adopt a budget, goals, policies and objectives for the regional transportation planning

**Discussion**

The Overall Work Program describes proposed transportation planning activities for a fiscal year and is a contracting mechanism. The OWP is a public document that identifies the DNLTC's planning activities and products, who is performing the work, when the activity and products will be completed, and the funding source for the work.

**Previous Accomplishments**

- Develop an Overall Work Program and budget on an annual basis
- Prepare and submit required reports, including summaries of work performed and corresponding budget expenditures on a monthly, quarterly or annual basis as required
- Consult and coordinate with state partners and regional agencies regarding the content of the Overall Work Program
- Develop and maintain a cost accounting system for fiscal management.

Product 1: Overall Work Program		Products	Schedule
Task/Activity			
1	Compile daily and monthly reports as necessary to provide quarterly progress reports and year-end packages for the current year Overall Work Program.	Meeting notes, quarterly progress reports, year-end packages, requests for reimbursement, correspondence and documentation.	Daily
2	With the assistance of an accounting firm, maintain an accounting system that directly reflects all consultant services in a timely manner and meets reporting requirements, including time tracking systems and contract oversight.	Quarterly requests for reimbursement.	Monthly
3	Amend current year Overall Work Program as necessary.	Overall Work Program amendments.	As needed
4	Develop and submit draft Overall Work Program for 2021-22 and present to DNLTC for adoption prior to June 30, 2021.	2021-22 Overall Work Program development and adoption	Annually

Product B1 Estimate	Amount	RPA	STIP/PPM	TDA
DNLTC Staff Services	\$ 18,000	\$ 18,000	\$ -	\$ -
Consultant	\$ 20,000	\$ 10,000	\$ -	\$ 10,000
<b>Total</b>	<b>\$ 38,000</b>	<b>\$ 28,000</b>		<b>\$ 10,000</b>

**WORK ELEMENT C Public Participation and Information Dissemination**

2021-22 Overall Work Program Draft 1

Expenditures		Revenue by Fund Source			
Allocations and Funding Requirements					
	Amount	RPA	STIP/PPM	TDA	RSTP
DNLTC Staff Services	\$ 35,000.00	\$ 35,000.00	-	\$ -	\$ -
Consultant   Dues	\$ 37,500.00	\$ 35,000.00	\$ 2,500.00	\$ -	\$ -
Travel Reimbursement (staff/commission)	\$ 10,000.00	\$ -	\$ -	\$ 10,000.00	\$ -
<b>TOTAL</b>	<b>82,500.00</b>	<b>\$ 70,000.00</b>	<b>2,500.00</b>	<b>\$ 10,000.00</b>	<b>\$ -</b>

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract. Note: DNLTC does not fund any lobbying activities.

**Objective**

To create and strengthen partnerships to facilitate and conduct regional planning activities, and to provide information to partner agencies and the general public on transportation issues and planning activities within the Del Norte region.

**Discussion**

Del Norte Local Transportation Commission provides an overall coordination role in planning and programming funds for transportation projects and operations. As the regional transportation planning agency (RTPA), it is responsible for actively seeking participation of all relevant agencies and stakeholders in the planning process. This element coordinates regional priorities among diverse stakeholders. Public participation and public meetings are mandatory work for all regional transportation planning agencies in California. DNLTC has initiated and maintained its own web-based feedback and data collection platform for comprehensive community feedback on regional planning efforts.

**Previous Accomplishments**

- Participated in statewide and regional meetings including Rural Counties Task Force, North State Super Region, California Regional Transportation Planning Agency and California Transportation Commission
- Participated in the Elk Valley Rancheria, Resighini Rancheria, Smith River Rancheria and the Yurok Tribe transportation planning partnerships to advance joint regional priorities.
- Provided agendas and minutes to DNLTC and its Technical Advisory Committee monthly or as needed and posted agendas in compliance with the Brown Act.
- Developed and maintained DNLTC’s website as a tool for providing access to transportation planning documents and information.
- Development of a web-based feedback and data collection platform using Commonplace.

**Product 1: Informed Local Transportation Commission**

Task/Activity	Products	Schedule
1 Sponsor or attend various meetings to advance agency policies and programs such as Caltrans District 1 meetings, California Transportation Commission meetings (as necessary) and Redwood Coast Transit Authority	Agendas, minutes, notes	As needed
2 Monitor and respond to key state and federal legislative and policy changes. Prepare informational updates and action items for presentation to the public and Del Norte Local Transportation Commission and its committees. Note: DNLTC does not fund any lobbying activities.	Agendas, minutes, notes	Monthly or as needed
3 Hold Technical Advisory Committee and Del Norte Local Transportation Commission meetings for decision making, priority setting and sharing and receiving public information. This work includes consultant assistance for posting agendas and drafting minutes.	Agendas, minutes, notes	Monthly or as needed
4 Receive board direction on transportation policies, strategies, programs and actions to enhance the regional transportation planning process.	Minutes	Monthly or as needed

5 Post transportation articles and documents to the website that inform the public regarding regional planning meetings and activities. Up-to-date website As needed

Product C1 Estimate	Amount	RPA	STIP/PPM	TDA	RSTP
DNLTC Staff Services	\$ 22,000	\$ 22,000	\$ -	\$ -	\$ -
Consultant	\$ 6,000	\$ 6,000	\$ -	\$ -	\$ -
<b>Total</b>	<b>\$ 28,000</b>	<b>\$ 28,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Product 2: Partnerships and Planning Agreements

Task/Activity	Products	Schedule
1 The North State Super Region, an alliance of 16 RTPAs, supports and promotes transportation policies and programs in north state counties. DNLTC contributes information and participates in the evaluation of state and federal policies that impact the NSSR area, such as the implementation of FAST Act and interregional transportation projects that	Agendas, minutes, notes and letters	Fall and Spring, and as needed
2 In order to provide a direct opportunity for the small counties to remain informed, have a voice, and become involved with changing statewide transportation policies and programs, a task force was formed in 1988 as a joint effort between the California Transportation Commission (CTC) and the rural counties. DNLTC is one of 26 rural county Local Transportation Commissions represented on the Rural Counties Task Force (RCTF). DNLTC representative attends these meetings to discuss and influence changing statewide transportation issues of concern to the rural counties	Agendas, minutes, notes and letters	January, March, May, July, September, November
3 Consultant assistance to support the City of Crescent City's Measure S transportation planning is needed to develop an asset management product for the City's roadway system. By planning, the City will more effectively develop a strategy and local support for local roadway	Reimbursement payment to City of Crescent City	June
4 Participate in the development of transportation programming guidelines, including STIP, ATP, Regional Transportation Plan, LCTOP, PTMISEA, CalOES, Cap and Trade Programs, etc.	Record of meetings.	As needed
5 Attend California Regional Transportation Planning Agency (RTPA), California Transportation Commission meetings and workshops.	Record of meetings.	As needed
6 Provide travel reimbursement to meetings and necessary software to hold and access meetings.	Record of meetings.	As needed

Product C2 Estimate	Amount	RPA	STIP/PPM	TDA	RSTP
DNLTC Staff Services	\$ 8,000	\$ 8,000	\$ -	\$ -	\$ -
Consultant   Dues	\$ 19,500	\$ 17,000	\$ 2,500	\$ -	\$ -
Meeting Access & Travel	\$ 10,000	\$ -	\$ -	\$ 10,000	\$ -
<b>Total</b>	<b>\$ 37,500</b>	<b>\$ 25,000</b>	<b>\$ 2,500</b>	<b>\$ 10,000</b>	<b>\$ -</b>

### Product 3: Website & Crowdsourcing Information

Task/Activity	Products	Schedule
1 With Consultant assistance, review website and update throughout the year to provide public information about the progress toward meeting the goals of the 2020 Regional Transportation Plan.	Website that is current and relevant	July - June

2 Project initiation meeting with Technical Advisory Committee to identify key outputs and reports for electronic platform development for use on smartphones, tablets, and computers. Meeting minutes July - August

3 Provide a web based feedback and data collection platform to enable public input by computer or smart phone. Data collection tool and year-end data July - June

Product 3 Estimate	Amount	RPA	STIP/PPM	TDA	RSTP
DNLTC Staff Services	\$ 5,000	\$ 5,000	\$ -	\$-	\$-
Consultant / Software	\$ 12,000	\$ 12,000	\$ -	\$-	\$-
<b>Total</b>	<b>\$ 17,000</b>	<b>\$ 17,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$-</b>

**WORK ELEMENT E Transportation Development Act Administration and Fiscal Management**

**2021-22 Overall Work Program Draft 1**

Expenditures		Revenue by Fund Source			
Staff Allocations and Funding Requirements					
	Amount	RPA	STIP/PPM	TDA	
DNLTC Staff Services	\$ 28,500.00	\$ -	-	\$ 28,500.00	
Consultant/Auditor	\$ 50,500.00	\$ -	\$ -	\$ 50,500.00	
<b>TOTAL</b>	<b>\$ 79,000.00</b>	<b>-</b>	<b>-</b>	<b>79,000.00</b>	

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

**Previous Accomplishments:**

State Controller Report, TDA annual fiscal audits and triennial performance audits, Unmet needs process, Social Service Transportation Advisory Counsel support, Transit grant review and support, 2020 Coordinated Transportation Plan

**Discussion**

Public participation is a key component of the TDA. Public meetings are held to discuss transportation needs and hear concerns. DNLTC is required to establish a Social Service Transportation Advisory Council (SSTAC), comprised of people who are transit-dependent. SSTAC members work with local agencies in developing transit unmet needs criteria, which are used in making project approval decisions. To ensure program compliance, fiscal and performance audits are conducted. Fiscal audits are conducted annually, and include transit operator's expense-to-revenue ratio, known as farebox recovery. Performance audits are conducted every three years and include performance measures that verify the efficiency and effectiveness of planning agencies and transit operators. Fiscal and performance audits are mandatory work for all regional transportation planning agencies in California

**Product 1: Office Operations**

Recurring office activities such as maintenance of records, data transcription and legal counsel. Provide staff support in compliance with Transportation Development Act (TDA) statutes and regulations, most often on a daily basis. Office operations are necessary to meet the requirements of the TDA. Products include a well-maintained filing system and contracts reviewed and signed by counsel. Contracting expenses include costs associated with legal notices and mandatory media posting such as requests for proposal in local newspaper.

Task/Activity	Products	Schedule
1 Prepare state and federal documents as required by the Transportation Development Act. This activity is on-going throughout the fiscal year.	Document production and submission	As needed
2 Maintain records and archival of correspondence and documents as required by the Del Norte Local Transportation Commission document retention policy.	Document retention and filing system	Daily
3 Professional services contracts for Attorney services, to advise and assist DNLTC as necessary and for contract review.	Approved contracts	As needed

E1 Estimate	Amount	RPA	STIP/PPM	TDA
DNLTC Staff Services	\$ 12,000	\$ -	\$ -	\$ 12,000
Contracting Expense	\$ 500	\$ -	\$ -	\$ 500
Consultant	\$ 8,000	\$ -	\$ -	\$ 8,000
<b>Total</b>	<b>\$ 20,500</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 20,500</b>

**Product 2: Fiscal Management**



Transportation Development Act (TDA) annual fiscal and triennial performance audits and annual state controller report, TDA findings and allocations. This work is mandatory per the Transportation Development Act. Products include State Controllers Report and audited financial statements for DNLTC.

<b>Task/Activity</b>	<b>Products</b>	<b>Schedule</b>
1 Apportion TDA funds, approve claims, allocate funds, prepare and submit State Controllers Report, including services of the Auditors Office.	TDA resolutions; State Controllers	July-June
2 Conduct TDA fiscal audits, including services of independent auditor, and certified public accountant.	Fiscal Audit	August-December

E2 Estimate	Amount	RPA	STIP/PPM	TDA
DNLTC Staff Services	\$ 14,000	\$ -	\$ -	\$ 14,000
Auditors Office	\$ 4,600		\$ -	\$ 4,600
Consultant	\$ 37,400	\$ -	\$ -	\$ 37,400
<b>Total</b>	<b>\$ 56,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 56,000</b>

**Product 3: Social Services Transportation Advisory Council support**

Coordinate the annual unmet transit needs process by providing staff support to the Social Services Transportation Advisory Council (SSTAC). DNLTC is responsible for administering the annual unmet transit needs process concurrent with transit planning activities. This task is accomplished with the assistance of the SSTAC and is a mandatory activity per the Transportation Development Act. Products include Unmet Needs report and certification, agendas, minutes, and website postings.

<b>Task/Activity</b>	<b>Products</b>	<b>Schedule</b>
1 Prepare SSTAC meeting agendas, public notices, attend meetings, prepare meeting notes, post information to website.	Agendas, notices minutes, notes, website	As needed
2 Administrative tasks necessary to accomplish the Unmet Needs Process.	Unmet needs certification to State	Annually

E3 Estimate	Amount	RPA	STIP/PPM	TDA
DNLTC Staff Service	\$ 2,500	\$ -	\$ -	\$ 2,500
Consultant	\$ -	\$ -	\$ -	
<b>Total</b>	<b>\$ 2,500</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 2,500</b>

**WORK ELEMENT G Safety & Security Planning****2021-22 Overall Work Program Draft 1**

<b>Expenditures</b>		<b>Revenue by Fund Source</b>			
<b>Staff Allocations and Funding Requirements</b>					
	<b>Amount</b>	<b>RPA</b>	<b>STIP/PPM</b>	<b>TDA</b>	
DNLTC Staff Services	\$ 2,000	\$ 2,000	\$ -	\$ -	
Consultant	\$ 12,000	\$ 12,000	\$ -	\$ -	
<b>TOTAL</b>	<b>\$ 14,000.00</b>	<b>\$ 14,000.00</b>	<b>\$ -</b>	<b>\$ -</b>	

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

**Objective**

Provide match funding for Crescent City and County of Del Norte Local Roadway Safety Plans, which are a new requirement for Highway Safety Improvement Program funding. This is match funding only. Both the City and County have secured planning grants that require planning match funds.

**Previous Accomplishments**

2011 Pedestrian Evacuation Time Analysis, multiple years of Transportation Emergency Planning and Preparedness collaboration with transportation providers in the region, pedestrian evacuation modeling. Systemic Safety Analysis Support, Highway Safety Improvement Program grant application support.

## Old WORK ELEMENT H Transit Planning

### 2021-22 Overall Work Program Draft 1

Expenditures		Revenue by Fund Source			
Staff Allocations and Funding Requirements					
	Amount	RPA	STIP/PPM	TDA	
DNLTC Staff	\$ 2,000	\$ 2,000	\$ -	\$ -	
Consultant / Match	\$ 30,000	\$ 10,000	\$ 20,000	\$ -	
<b>TOTAL</b>	<b>\$ 32,000</b>	<b>\$ 12,000</b>	<b>\$ 20,000</b>	<b>\$ -</b>	

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

#### Objective

To develop the Transit Hub Location Plan for the Redwood Coast Transit Authority. This project will involve preliminary engineering and design concepts with a core project development team. A consultant and a local project development team will consider the recent Transit Development Plan, the needs of the community, and strengths and limitations of available locations.

#### Discussion

All four city transit routes currently meet to transfer passengers alongside the curb in front of the Cultural Center, a twenty-minute walk from the transit Operations and Maintenance Facility at 140 Williams Drive. There is no ability for purchasing tickets and passes at the Cultural Center hub, nor is there a driver rest area or amenities that promote biking/transit transfers. The project would use a consultant to harness community input and technical staff suggestions to improve the transit-friendliness of the system. The plan resulting should develop options, evaluate practicality and recommend a preferred site, with conceptual drawings and planning level (0-30%) preliminary engineering.

#### Previous Accomplishments

Short Range Transit Development Plan, Front Street planning and design, Beachfront Park Master Plan

### Product 1: Transit Hub Planning & Development

Task/Activity	Products	Schedule
1 Consultant procurement process. Prepare Request for Proposals, execute contract, pay invoices, provide quarterly information for RPA reporting. (Redwood Coast Transit Authority & Del Norte Local Transportation Commission)	Consultant procurement documents, contract.	July - June
2 Kickoff: Establish work development team, document plan and information needs, set project meeting schedule, ongoing	Meeting summary	July - September
3 Develop plan options, evaluate practicality, and select a preferred site. (Consultant)	Site selection.	September - November
4 Develop conceptual drawings and preliminary engineering. (Consultant)	Conceptual drawings.	October - February
5 Prepare Draft Plan and Final Plan. Present in public meeting. (Consultant)	Draft, Final.	March - June

Product 1 Estimate	Amount	RPA	STIP/PPM	TDA
DNLTC Staff Services	\$ 2,000	\$ 2,000	\$ -	\$ -
Consultant services	\$ 30,000	\$ 10,000	\$ 20,000	\$ -
<b>Total</b>	<b>\$ 32,000</b>	<b>\$ 12,000</b>	<b>\$ 20,000</b>	<b>\$ -</b>

Note: All accounting and reporting is at the product level and all consultant costs are limited by contract.

