

The County Connection

2477 Arnold Industrial Way

Concord, CA 94520-5326

(925) 676-7500

www.cccta.org

BOARD OF DIRECTORS MEETING AGENDA

**Thursday, February 16, 2012
9:00 a.m.**

**CCCTA Paratransit Facility Board Room
2477 Arnold Industrial Way
Concord, California**

The CCCTA Board of Directors may take action on each item on the agenda. The action may consist of the recommended action, a related action or no action. Staff recommendations are subject to action and/or change by the Board of Directors.

1. Call to Order/Pledge of Allegiance
2. Roll Call/Confirm Quorum
3. Public Communication
4. Consent Calendar
 - a. Approval of Minutes of Regular Meeting of January 19, 2012*
 - b. Adoption of a Revised Disadvantaged Business Enterprise Program* Resolutions No. 2012-018*
5. Report of Chair
6. Report of General Manager
 - a. Recognition of Departing Employee
 - b. Federal Transportation Reauthorization Status
(The General Manager will update the Board on the two draft bills in Congress to reauthorize the federal transportation bill.)

*Enclosure

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CENTRAL CONTRA COSTA TRANSIT AUTHORITY

6. Report of General Manager (Continued)

- c. Update on Clipper
(CCCTA will assist BART in its ongoing efforts to make the Clipper card available to various sub-transit markets, including seniors, disabled and youths.)

7. Report of Standing Committees

- a. Administration and Finance Committee
(Committee Chair: Director Dessayer)

- (1) Audit Engagement*

- (The A&F Committee would like the Board to discuss whether it wants staff to issue a request for proposal for audit services or to negotiate a renewal contract for audit services with Brown, Armstrong, CPAs.)

- b. Marketing, Planning and Legislative Committee
(Committee Chair: Director Weir)

- (1) Title VI Update*

- Resolution No. 22012-019*

- (The Resolution adopts the updated Title VI Report.)

8. Report from the Advisory Committee

- a. Appointment of Chris Learned to the Advisory Committee Representing the City of Pleasant Hill*

9. Board Communication

Under this item, Directors are limited to providing information, asking clarifying questions about matters not on the agenda, responding to public comment, referring matters to committee or staff for information, or requesting a report (on any matter) be made at another meeting.

10. Adjournment

*Enclosure

General Information

Public Comment: Each person wishing to address the CCCTA Board of Directors is requested to complete a Speakers Card for submittal to the Clerk of the Board before the meeting convenes or the applicable agenda item is discussed. Persons who address the Board are also asked to furnish a copy of any written statement to the Clerk.

Persons who wish to speak on matters set for Public Hearings will be heard when the Chair calls for comments from the public. After individuals have spoken, the Public Hearing is closed and the matter is subject to discussion and action by the Board.

A period of thirty (30) minutes has been allocated for public comments concerning items of interest within the subject matter jurisdiction of the Board. Each individual will be allotted three minutes, which may be extended at the discretion of the Board Chair.

Consent Items: All matters listed under the Consent Calendar are considered by the Board to be routine and will be enacted by one motion. There will be no separate discussion of these items unless requested by a Board Member or a member of the public prior to when the Board votes on the motion to adopt.

Availability of Public Records: All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body, will be available for public inspection at 2477 Arnold Industrial Way, Concord, California, at the same time that the public records are distributed or made available to the legislative body. The agenda and enclosures for this meeting are posted also on our website at www.CCCTA.org.

Accessible Public Meetings: Upon request, CCCTA will provide written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, including auxiliary aids or services, to enable individuals with disabilities to participate in public meetings. Please send a written request, including your name, mailing address, phone number and brief description of the requested materials and preferred alternative format or auxiliary aid or service so that it is received by CCCTA at least 48 hours before the meeting convenes. Requests should be sent to the Board Clerk, Janet Madrigal, at 2477 Arnold Industrial Way, Concord, CA 94520 or madrigal@cccta.org.

Shuttle Service: With 24-hour notice, a CCCTA LINK shuttle can be available at the North Concord BART station for individuals who want to attend the Board meetings. To arrange for the shuttle service, please call Robert Greenwood – 925/680 2072, no later than 24 hours prior to the start of the meeting.

Currently Scheduled Board and Committee Meetings

Board of Directors:	Thursday, March 15, 9:00 a.m., CCCTA Board Room
Administration & Finance:	Wednesday, March 7, 9:00 a.m., 1676 N. California Blvd., S620, Walnut Creek
Advisory Committee:	Friday, March 9, 9:30 a.m., CCCTA Board Room
Marketing, Planning & Legislative:	Wednesday, March 7, 3:00 p.m., CCCTA Conference Room
Operations & Scheduling:	Friday, March 2, 10:00 a.m., Supervisor Uilkema's Lamorinda Office

The above meeting schedules are subject to change. Please check the CCCTA Website (www.CCCTA.org) or contact CCCTA staff at 925/676-1976 to verify date, time and location prior to attending a meeting.

This agenda is posted on CCCTA's Website (www.CCCTA.org) and at the CCCTA Administrative Offices, 2477 Arnold Industrial Way, Concord, California

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Agenda Item No. 4.a.

CCCTA BOARD OF DIRECTORS

MINUTES OF THE REGULAR MEETING

January 19, 2012

CALL TO ORDER/ROLL CALL/CONFIRM QUORUM

Vice Chair Horn called the meeting to order at 9:00 a.m. Board Members present were Directors Dessayer, Hudson, Manning, Schroder, Simmons and Weir. Chair Worth and Directors Andersen, Hoffmeister and Uilkema were absent.

Staff: Ramacier, Chun, Bowron, Burdick, Casenave, Churchill, Hill, Madrigal, Mitchell, Muzzini, Rettig, Wright and Woody

Guest: Susan Miller (Contra Costa Transportation Authority)

PUBLIC COMMUNICATION: There was no communication from the public.

CONSENT CALENDAR

MOTION: Director Manning moved approval of the Consent Calendar, consisting of the following items: (a) Approval of Minutes of Regular Meeting of December 15, 2011; (b) CCCCTA Investment Policy—Quarterly Reporting Requirement; (c) Small Claims Representation and Resolutions No. 2012-016A, 2012-016B and 2012-016C; and (d) Fare Increase Timing. Director Schroder seconded the motion and it received a vote of approval.

Aye: Directors Dessayer, Horn, Hudson, Manning, Schroder, Simmons and Weir

No: None

Abstain: None

Absent: Directors Andersen, Hoffmeister, Uilkema and Worth

REPORT OF CHAIR: There was no report.

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R1EPORT OF GENERAL MANAGER

Recognition of Departing Employee

General Manager Rick Ramacier recognized Carolyn Wright, Transit Operator, for her twenty-five years of service. Vice Chair Horn thanks Ms. Wright for her service. Ms. Wright stated that she enjoyed working for CCCTA.

Norris Canyon Road HOV Fly-Over Project and CCCTA Support

Mr. Ramacier advised the Resolution would formally record the Board's support for the Norris Canyon Road On- and Off-Ramp Project. CCCTA has supported this project informally for many years with MTC and CCTA because it will allow CCCTA to improve the efficiency of service in the I-680 corridor. Director Hudson described the project and stated that it would benefit the community and the City of San Ramon. Vice Chair Horn asked that the Resolution be amended to read (addition underlined) "Whereas, this Project will increase public transit ridership in the I-680 corridor."

MOTION: Director Manning moved approval of Resolution No. 2012-017, as amended to add "public transit" to the fourth whereas. Director Simmons seconded the motion and it was approved.

Aye: Directors Dessayer, Horn, Hudson, Manning, Schroder, Simmons and Weir
No: None
Abstain: None
Absent: Directors Andersen, Hoffmeister, Uilkema and Worth

Report on State Budget

Mr. Ramacier advised the Governor released his January budget. There are no proposed cuts to transit funds in that budget and there appears to be sufficient funds to adequately fund 1B transit bonds.

REPORT OF STANDING COMMITTEES

Administration and Finance Committee

FY2011 Annual Audit

Director Dessayer introduced this item by stating that the FY2011 annual audit provides an unqualified opinion from the auditors. There are some recommendations and comments from the auditor that are reasonable and they are being implemented.

MOTION: Director Dessayer made a motion to accept the FY2011 annual audit, and the motion was seconded by Director Hudson. The motion received a vote of approval.

Aye: Directors Dessayer, Horn, Hudson, Manning, Schroder, Simmons and Weir
No: None
Abstain: None
Absent: Directors Andersen, Hoffmeister, Uilkema and Worth

Marketing, Planning and Legislative Committee

Draft 2012 CCCTA Legislative Program

Director Manning stated that the draft 2012 CCCTA Legislative Program describes CCCTA and its position on state and federal legislation.

MOTION: Director Manning made a motion to approve the draft 2012 CCCTA Legislative Program. Director Schroder seconded the motion and it passed by the following vote.

Aye: Directors Dessayer, Horn, Hudson, Manning, Schroder, Simmons and Weir
No: None
Abstain: None
Absent: Directors Andersen, Hoffmeister, Uilkema and Worth

Operations and Scheduling Committee

LINK Vehicle Size Analysis

Vice Chair Horn stated that the O&S Committee reviewed an analysis of all the LINK vehicles and their ridership patterns. Referring to the spreadsheets depicting ridership patterns, he advised the red line represents the capacity of a mini-van. Bill Churchill, Director of Transportation, described how passenger counts are based on seat utilization factors that were derived for the different types of vehicles. After compiling that data, he felt there were additional opportunities to use the smaller vans, and staff is working on methods for greater utilization of the mini-vans in the fleet. He pointed out that this analysis shows that the fleet composition of LINK vehicles is correct for our service needs today. The analysis is based on the existing service deployment model.

Responding to questions from Director Dessayer, Mr. Churchill stated that nonfoldable walkers require two seats on a vehicle, and CCCTA will accommodate individuals in oversized wheelchairs if the vehicle can accommodate the wheelchair. He advised approximately 81 percent of all LINK trips exceed the capacity of a mini-van. Vice Chair Horn pointed out that a mini-van could not accommodate two wheelchairs, making it necessary to use two vehicles or a larger vehicle to meet passenger needs. Director Hudson said another component that needs to be explored is using a different size vehicle available today that will work in certain situations. Because of this analysis, he felt the Board is better prepared to evaluate that possibility. Director Simmons commended Mr. Churchill for the quality and intensity of this analysis because it is helpful information. Mr. Ramacier advised this analysis is the first in a series of reports that will be provided to the Board prior to the next procurement of replacement LINK vehicles.

REPORT FROM THE ADVISORY COMMITTEE:

There was no report from the Advisory Committee. Director Weir inquired about the functions of the Advisory Committee and why the Board does not have reports from the Committee. If the Board does not receive reports, he asked why CCCTA has an Advisory Committee. Mr. Ramacier stated that CCCTA had two advisory committees and they were merged into one advisory committee to try to make them more efficient. Advisory Committee members have the opportunity to present monthly reports of their activities to the Board. In the past, Committee reports were presented on an annual or periodic basis depending on their activities.

Board Members commented that they receive the minutes of the Committee meetings that record their activities, and some Committee members attend Board committee meetings where they provide input on topics being considered. Anne Muzzini, Director of Planning and Marketing noted that the members of the Advisory Committee interact with other users and community-based organizations. They are very interested in the mobility management study. When major policy changes came to the Board, such as a service change or fare increase, Committee members have provided comments and suggestions; and it is anticipated they will want to continue to do that in the future.

BOARD COMMUNICATION

Director Dessayer described his experience in trying to purchase a Clipper card for seniors. Director Hudson stated that SB582 will be coming back, and it will allow business parks to elect to give passes to their employees or deduct pre-tax dollars for transit fares. He anticipates the new bill will pass and it would be an opportune time for CCCTA to increase fares as early as the beginning of next year to tie the increase to the new bill and implementation of the Clipper card on CCCTA vehicles. He asked staff to analyze the new bill and take steps to make sure everything is in place by the end of this year. Mr. Ramacier said he will take a report to the A&F Committee regarding how the new bill ties into modernizing our fares to include the Clipper card and a joint fare structure with the other suburban operators.

Director Simmons advised the Walnut Creek City Council reviewed a presentation regarding a planned development area in Walnut Creek using a sustainable community strategy. There are two alternative transportation models in this development area, one of which is similar to the present model and the other focuses resources of energy on the inner Bay Area. He felt it would be of value for the CCCTA Board to take a position on the transportation models. If the inner Bay Area model is chosen, it will have an adverse impact on CCCTA.

ADJOURNMENT

Vice Chair Horn adjourned the regular meeting at 9:55 a.m.

Minutes prepared by

Janet Madrigal, Clerk to the Board

Date

To: Board of Directors

Date: February 7, 2012

From: Janet Madrigal, Civil Rights Administrator

Reviewed by:

SUBJECT: Adoption of a Revised Disadvantaged Business Enterprise Program

Summary of Issues: The Board of Directors adopted the CCCTA *DBE Program* on October 20, 1983, pursuant to U.S. Department of Transportation (U.S. DOT) directives and guidelines. As a recipient of federal financial assistance from the Federal Transit Administration (FTA), CCCTA is now required to revise its *DBE Program* in accordance with the new rule issued on January 28, 2011 and to submit it by February 28, 2012 to FTA for approval.

The proposed changes in CCCTA's *DBE Program* conform to the U.S. DOT requirements for improved administration of its program. Specifically, these requirements reflect increased accountability, monitoring and post-award oversight, addition of a small business element, and implementation of updated certification requirements.

The small business element is one method of achieving race-neutral efforts for DBE participation. Its objective is to meet the maximum feasible portion of the overall goal by using race-neutral methods, including contract goals for small business enterprises (SBEs). An SBE is a small business concern that meets the same business size standard as a disadvantaged business enterprise (DBE). By definition, DBEs are also SBEs. SBE goals will be set on federally funded formal contracts with subcontracting opportunities when it is determined that CCCTA will not be able to achieve its overall goal for that fiscal year. The small business element includes outreach activities, verification of certified SBEs, monitoring SBE participation on contracts, and tracking payments made to SBEs.

Financial Implications: A revised *DBE Program*, approved by FTA, will enable CCCTA to continue to be eligible for federal financial assistance.

A&F Committee Recommendation: The A&F Committee recommends that the Board adopt the revised *DBE Program* without changes and authorize staff to forward it to FTA.

Options:

- 1) Approve the A&F Committee recommendation
- 2) Decline the A&F Committee recommendation
- 3) Other action as determined by the Board

Attachments: *CCCTA Plan for Utilization of Small Businesses Owned and Controlled by Disadvantaged Individuals (DBE Program) and Resolution No. 2012-018*

RESOLUTION NO. 2012-018

**CENTRAL CONTRA COSTA TRANSIT AUTHORITY
BOARD OF DIRECTORS**

*** * ***

ADOPTS A REVISED DISADVANTAGED BUSINESS ENTERPRISE PROGRAM

WHEREAS, the County of Contra Costa and the Cities of Clayton, Concord, the Town of Danville, Lafayette, Martinez, the Town of Moraga, Orinda, Pleasant Hill, San Ramon and Walnut Creek (hereinafter "Member Jurisdictions") have formed the Central Contra Costa Transit Authority ("CCCTA"), a joint exercise of powers agency created under California Government Code Section 6500 *et seq.*, for the joint exercise of certain powers to provide coordinated and integrated public transportation services within the area of its Member Jurisdictions; and

WHEREAS, CCCTA has filed applications for funding under the Safe, Accountable, Flexible and Efficient Transportation Equity Act—A Legacy for Users (SAFETEA--LU); and

WHEREAS, the U.S. Department of Transportation (DOT) issued a new rule on January 28, 2011, effective February 28, 2012, regarding the participation of Disadvantaged Business Enterprises (DBEs) in federally assisted contracts; and

WHEREAS, the General Manager has recommended the adoption of a revised DBE Program to conform with the new rule, which will replace the previously-adopted CCCTA DBE Program (revised September 16, 2004) in its entirety; and

WHEREAS, the Board of Directors finds the revised DBE Program to be appropriate and reasonable.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors hereby adopts the revised DBE Program; and

BE IT FURTHER RESOLVED that the Board of Directors directs the General Manager, or his designee, to submit the adopted DBE Program to the U.S. DOT through the Federal Transit Administration so as to assure continued eligibility for the receipt of federal financial assistance.

Regularly passed and adopted this 16th day of February 2012 by the following vote.

AYES:

NOES:

ABSTAIN:

ABSENT:

Amy R. Worth, Chair, Board of Directors

ATTEST:

Janet Madrigal, Clerk to the Board

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Central Contra Costa Transit Authority

Plan for Utilization Of Small Businesses Owned and Controlled By Disadvantaged Individuals (DBE Program)

Adopted *
By CCCTA Board of Directors**

Submitted to

**U.S. Department of Transportation
Federal Transit Administration
San Francisco, California**

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CENTRAL CONTRA COSTA TRANSIT AUTHORITY

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Plan for Utilization of Small Businesses Owned and Controlled by Disadvantaged Individuals (DBE Program)

I. POLICY

The Central Contra Costa Transit Authority (CCCTA) is committed to a *Plan for Utilization of Small Businesses Owned and Controlled by Disadvantaged Individuals (DBE Program)* for the participation of Disadvantaged Business Enterprises (DBEs) in CCCTA's contracting opportunities, in accordance with federal Regulations 49 CFR Part 26, effective March 4, 1999, as may be amended.

It is the policy of CCCTA to ensure nondiscrimination based on race, color, sex or national origin in the award and administration of contracts assisted by the U.S. Department of Transportation. It is the intention of CCCTA to create a level playing field on which DBEs can compete fairly and participate in the performance of contracts and subcontracts relating to CCCTA's construction, procurement and professional services activities.

The General Manager has primary responsibility for adherence to provisions of the *DBE Program*. Responsibility for developing, implementing, monitoring and evaluating CCCTA's *DBE Program* is assigned to the Civil Rights Administrator. Other CCCTA management staff responsible for making decisions relative to construction, procurement and professional service contracts share in this responsibility. It is the expectation of the CCCTA Board of Directors and the General Manager that the stipulations and provisions contained in the *DBE Program* are adhered to, in the spirit and the letter, by all CCCTA personnel.

Notices setting forth this policy are posted at CCCTA's offices and website and they are available to the public and to the DBE and nonDBE business communities that perform, or are interested in performing, work on CCCTA's contracts. Questions regarding CCCTA's *DBE Program* should be addressed to Janet Madrigal, Civil Rights Administrator, 2477 Arnold Industrial Way, Concord, California 94520, telephone 925/680-2044.

To formalize its commitment, the CCCTA Board of Directors hereby adopts the *DBE Program* applicable to CCCTA's contracting operations effective February 16, 2012.

Rick Ramacier
CCCTA General Manager

Amy R. Worth, Chair
CCCTA Board of Directors

A. Applicability

Pursuant to 49 CFR §§ 26.3 and 26.21, CCCTA, a recipient of federal financial assistance from the Federal Transit Administration (FTA) of the United States Department of Transportation (U.S. DOT), is required to implement a *DBE Program* in accordance with 49 CFR Part 26 (Regulations). The requirements of the Regulations are incorporated by reference. In the event of any conflicts or inconsistencies between the Regulations and the *DBE Program* with respect to U.S. DOT-assisted contracts, the Regulations shall prevail. The *DBE Program* outlined herein applies to all CCCTA contracts that are funded, in whole or in part, by U.S. DOT federal financial assistance. To the extent that the Program's policy, objectives and efforts involve race-neutral methods, the *DBE Program* will apply to all CCCTA contracts regardless of funding source.

B. Program Objectives

The objectives of the *DBE Program* are to:

- Ensure nondiscrimination in the award and administration of U.S. DOT-assisted contracts;
- Create a level playing field on which DBEs can compete fairly for U.S. DOT-assisted contracts;
- Ensure the *DBE Program* is narrowly tailored in accordance with 49 CFR Part 26 and applicable law;
- Ensure that only firms that fully meet the eligibility standards in 49 CFR Part 26 are permitted to participate as DBEs;
- Help remove barriers to DBE participation in the bidding, award and administration of U.S. DOT-assisted contracts;
- Identify business enterprises that are eligible as DBE to provide CCCTA with required materials, equipment, supplies and services;
- Develop communications programs and procedures that will acquaint prospective DBEs with CCCTA's contracting procedures, activities and requirements, and allow DBEs to provide CCCTA with feedback on existing barriers to participation and effective procedures to eliminate those barriers; and
- Assist the development of firms that can compete successfully in the marketplace outside the *DBE Program*.

C. Prohibited Discrimination

CCCTA shall not exclude persons from participation in, deny benefits to, or otherwise discriminate against any persons in connection with the award and performance of any contract governed by 49 CFR Part 26 on the basis of race, color, sex or national origin. CCCTA shall not directly, or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of this *DBE Program* with respect to individuals of a particular race, color, sex or national origin.

II. DEFINITIONS

Any terms used in this *DBE Program* that are defined in 49 CFR § 26.5 or elsewhere in the Regulations shall have the meaning set forth in the Regulations. Some of the most common terms are defined below.

Disadvantaged Business Enterprise (DBE) means a for-profit, small business concern

- (1) That is at least fifty-one percent (51%) owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which fifty-one percent (51%) of the stock is owned by one or more socially and economically disadvantaged individuals and
- (2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

Business Size Standard is defined by the U.S. Small Business Administration (SBA) found in 23 CFR Part 121 appropriate to the types of work the firm seeks to perform. In addition, for purposes of this *DBE Program*, even if the firm meets the SBA requirements, a firm is not an eligible DBE or SBE if the firm (including its affiliates) has had average annual gross receipts as defined in SBA regulations over the firm's previous three fiscal years in excess of \$22.41 million, as adjusted for inflation from time to time by U. S. DOT.

Good Faith Efforts means efforts to achieve a DBE or SBE goal or other requirements of this part that, by their scope, intensity and appropriateness to the objective can reasonably be expected to fulfill the program requirements.

Home State means the state in which a DBE firm or applicant for DBE certification maintains its principal place of business.

Personal Net Worth means the net value of the assets of an individual remaining after total liabilities are deducted. An individual's personal net worth does not include the individual's ownership interest in an applicant or participating DBE firm; or the individual's equity in his or her primary place of residence. An individual's personal net worth includes only his or her own share of assets held jointly or as community property with the individual's spouse.

Race-Conscious measure or program is one that is focused specifically on assisting only DBEs, including women-owned DBEs.

Race-Neutral measure or program is one that is, or can be, used to assist all small businesses. For the purposes of this *DBE Program*, race-neutral includes gender neutrality.

Small Business Concern means a small business seeking to participate as a DBE or SBE in U.S. DOT-assisted contracts, as defined by section 3 of the Small Business Act and the Small Business Administration regulations implementing it (13 CFR Part 121) whose average annual gross receipts for the previous three years do not exceed the SBA business size standard and the cap of \$22.41 million (as adjusted for inflation by the Secretary of U.S. DOT) pursuant to 49 CFR § 26.65(b).

Small Business Enterprise (SBE) means a for-profit Small Business Concern that does not exceed the Business Size Standard.

Socially and Economically Disadvantaged Individuals means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is

- (1) Any individual in the following groups, members of which are rebuttably presumed to be socially and economically disadvantaged:
 - Black Americans (including persons having origins in any of the Black racial groups of Africa);
 - Hispanic Americans (including persons of Central or South American, Cuban, Dominican, Mexican, Puerto Rican, or other Spanish or Portuguese culture or origin, regardless of race);
 - Native Americans (including persons who are Aleuts, American Indians, Eskimos, or Native Hawaiians);
 - Asian-Pacific Americans (including persons whose origins are from Brunei, Burma (Myanmar), Cambodia (Kampuchea), China, the Commonwealth of the Northern Marianas Islands, the Federated States of Micronesia, Fiji, Guam, Hong Kong, Indonesia, Japan, Juvalu, Kiribati, Korea, Laos, Macao, Malaysia, Nauru, the Philippines, Samoa, Taiwan, Thailand, Tonga, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), or Vietnam);
 - Subcontinent Asian Americans (including persons whose origins are from Bangladesh, Bhutan, India, the Maldives Islands, Nepal, Pakistan, or Sri Lanka);
 - Women.
- (2) Any additional groups whose members are designated as socially and economically disadvantaged by the U.S. Small Business Administration (SBA), at such time as the SBA designation becomes effective.
- (3) Any individual who a recipient finds to be a socially and economically disadvantaged individual on a case-by-case basis. To make this determination, CCCTA will follow the guidelines in 49 CFR Part 26, Appendix E. However, an individual cannot be presumed or determined on a case-by-case basis to be economically disadvantaged if s/he has a personal net worth exceeding \$1.32 million (excluding the individual's ownership interests in the small business concern and his or her primary, personal residence).

III. RESPONSIBILITY FOR DBE PROGRAM IMPLEMENTATION AND ADMINISTRATION

A. CCCTA Board of Directors

The Board of Directors ultimately is responsible for ensuring that the *DBE Program* has a high priority and is a reality at CCCTA.

B. General Manager

The General Manager has primary responsibility for ensuring that the Board's policies are implemented throughout CCCTA.

C. Senior Management Staff

Senior management staff (Directors, Managers and Assistant Managers), who are responsible for making contracting decisions, share in the responsibility of assuring the processes of contracting and procurement of goods and services are carried out in a nondiscriminatory manner. In coordination with the Civil Rights Administrator, senior management staff will assist in problem identification and resolution, monitor and audit contracts, and remove any contracting obstacles to ensure the *DBE Program* guidelines are being followed.

D. Civil Rights Administrator

The Civil Rights Administrator (CRA) is responsible for development, implementation, monitoring, and evaluation of the *DBE Program*. The CRA shall be appointed by and report directly to the General Manager. The CRA will work closely with Legal Counsel and management staff responsible for construction, procurement and professional service contracts. Specific responsibilities of the CRA include, but are not limited to:

1. Developing, recommending, monitoring, evaluating, and revising the *DBE Program*, DBE policies and procedures, and internal and external communications mechanisms. Issuing supplementary policies and procedures for implementation of the *DBE Program* by CCCTA staff, as necessary.
2. Gathering, analyzing and assessing available resources and evidence for the establishment and achievement of an overall DBE participation goal for three fiscal years. Adjusting an overall DBE goal during that three-year period, if required, due to changed circumstances. Preparing and submitting CCCTA's *DBE Overall Goal and Goal Setting Methodology (DBE Report)*.
3. Maintaining and updating the Bidders List in accordance with 49 CFR § 26.11.
4. Conducting race-neutral measures to facilitate participation of small business concerns, including DBEs, through outreach and other communication programs, training and business development programs, restructuring contracting opportunities, simplifying bonding, surety and insurance requirements, or other race-neutral means.

5. Identifying contracts and procurements where DBE or SBE goals can be included in solicitations (both race-neutral methods and contract-specific goals).
6. Participating in the contract solicitation and award process, including recommending specific contract goals, where appropriate, reviewing contract specifications, attending prebid and preproposal conferences, and evaluating bids and proposals for contractor responsiveness, responsibility and good faith efforts related to the DBE or SBE requirements of the contract.
7. Providing outreach to DBEs, SBEs and community organizations to advise them of contracting opportunities. Ensuring contracting information is available to identified DBEs and SBEs in a timely manner.
8. Providing DBEs and SBEs with information and assistance, as appropriate, in preparing bids/proposals and obtaining bonding and insurance.
9. Monitoring specific contract performance and actual DBE and SBE participation and contract payments.
10. Monitoring overall DBE participation, adjusting overall DBE goal and means of achievement, and assessing any areas of over-concentration of DBE participation.
11. Determining DBE certification actions, including initial certification, recertification, denial and removal of certification (decertification).
12. Participating as a member of the Business Outreach Committee (BOC). Representing CCCTA, as assigned, on other regional, state and national groups or organizations working in support of DBEs and SBEs.
13. Participating as a member of the California Unified Certification Program (CUCP) in accordance with 49 CFR § 26.81 and the CUCP Memorandum of Agreement (MOA).
14. Inputting and updating information in the CUCP DBE Database in accordance with 49 CFR § 26.31 and the CUCP MOA.
15. Maintaining all appropriate records and documentation of the *DBE Program*.
16. Advising the General Manager, Board of Directors and U.S. DOT officials, as required, on DBE matters and achievement. Preparing and submitting reports and documents, as required.

E. Reconsideration Official

In accordance with 49 CFR §§ 26.53(d)(2) and 26.87(e), all proceedings by CCCTA regarding the reconsideration of compliance with provisions of the DBE Regulations concerning a contract award or the DBE status of a firm shall be made by the General Manager or his/her designated representative who did not take part in the original determination. This official shall preside over CCCTA hearings that may be held pursuant to this *DBE Program*, including administrative reconsideration of the CRA's determination of a bidder's or proposer's compliance with good faith efforts or the CRA's proposal to remove certification from a DBE firm.

IV. ADMINISTRATIVE REQUIREMENTS

A. Dissemination of Policy Statement

Pursuant to 49 CFR § 26.23, the CRA shall distribute a signed and dated Policy Statement throughout CCCTA's offices, on the CCCTA website and to the business community, including DBEs and nonDBEs that perform work on U.S. DOT-assisted contracts for CCCTA. The entire *DBE Program* will be available to the public upon request.

B. Regional Coordination

The CRA is designated by the General Manager to represent CCCTA as a member of the Business Outreach Committee (BOC). The CRA will participate in BOC programs, activities and efforts to create a level playing field on which DBEs and SBEs can compete fairly; to enhance outreach and communication efforts with these firms; to provide appropriate assistance and information for participation in U.S. DOT-assisted contracts; and to develop joint resources among U.S. DOT-recipients. To this end, the CRA will attend scheduled meetings of the BOC and will contribute to the achievement of projects approved by CCCTA's General Manager.

CCCTA is a signatory to the California Unified Certification Program (CUCP) Memorandum of Agreement (MOA). As a certifying member of the CUCP, the CRA is designated by the General Manager to represent CCCTA as a member of the CUCP Executive Committee and CUCP Part 26 Cluster. The CRA will participate in CUCP activities to further the objectives of the *DBE Program*, consistent with the Regulations and the CUCP MOA, as approved by the U.S. Department of Transportation Secretary on March 13, 2002, and as may be amended from time to time.

As designated by the General Manager, the CRA will represent CCCTA on other regional, state and national groups or organizations working in support of DBEs and SBEs.

C. DBE Database

The DBE Database is a consolidated and automated directory that identifies firms that have been certified as DBEs pursuant to the CUCP and the certification standards listed in 49 CFR Part 26, Subpart D. The DBE Database is jointly maintained and updated by the CUCP certifying member agencies, in coordination with the California Department of Transportation (Caltrans) as the CUCP DBE Database Manager.

Pursuant to 49 CFR § 26.31 and the CUCP MOA, the CRA will maintain and update information in the CUCP DBE Database for CCCTA certification activities, as required, subject to certifying member agency status. CCCTA will defer all DBE Database maintenance activities to the other CUCP certifying member agencies if it elects to become a non-certifying member of the CUCP.

CCCTA will use the DBE Database as a resource when developing overall and contract-specific DBE participation goals and conducting outreach and other activities to promote DBE participation on U.S. DOT-assisted contracts. The CUCP DBE Database is available in printed form and electronically on the Internet at the Caltrans website, www.dot.ca.gov/hq/bep. It will be made available, on request, to contractors, DBE firms, other public agencies and the public.

Potential contractors will be apprised of the availability of the DBE Database as a means of identifying DBEs with capabilities relevant to general contracting requirements and particular solicitations, thereby facilitating contractors' efforts to meet DBE requirements. DBE firms that come to the attention of CCCTA, but are not included in the DBE Database, will be advised of its existence. The importance of taking advantage of this resource as a means of increasing the likely use of DBE firms will be emphasized, and the procedure by which their businesses can be included in the DBE Database will be explained.

The DBE Database shall include, at a minimum: name of firm, name of owner(s), business and mailing addresses, telephone and facsimile numbers, and types of work utilizing the CUCP Work Codes and North American Industry Classification System (NAICS) Codes for which the firm is certified as a DBE. Additionally, the Database may include, whenever possible: the date the firm was originally established, date of on-site review, legal structure of the firm, certification status, race/ethnicity, licenses, and email/website addresses. The DBE Database does not, in any way, prequalify the identified DBE firms with respect to licensing, bondability, competence or financial responsibility.

Pursuant to 49 CFR § 26.85, CCCTA will assist the CUCP to update an Ineligibility Determination Online Database developed by the U.S. DOT Office of Civil Rights. This Database will include companies where certifying members of the CUCP have denied a firm's application, rejected the application of a firm certified in another state, or decertified a firm in whole or in part. The following information will be entered into this Database: the name of the firm; the name(s) of the firm's owner(s), the type and date of the action, and the reason for the action.

The CUCP will establish mechanisms to check this Database at least once a month to determine whether any firm is listed that is applying for certification or is currently certified. For any such firms included on the list that CCCTA certified or is reviewing an application for certification, CCCTA will request a copy of the decision from the UCP that made it. CCCTA will consider the information in the decision to determine what action is necessary with respect to the certified firm or applicant. If CCCTA receives a request from another UCP for a firm that CCCTA denied, rejected or decertified, CCCTA will provide a copy of its decision to that UCP within seven (7) days of receiving its written request.

D. Bidders List

CCCTA will require all prime contractors bidding or proposing on U.S. DOT-assisted contracts to submit the following information about the prime contractor and all subcontractors who provided a bid, proposal or quote to the prime contractor: the firm's name, address, status as a DBE or nonDBE, age of the firm, annual gross receipts, description of work to be performed or type of materials/supplies to be furnished on the contract, and dollar amount of that prime or subcontract. CCCTA will use this information to maintain and update its

Bidders List. CCCTA will maintain the confidentiality of any proprietary information in accordance with applicable California laws and the Regulations.

E. Monitoring Actual DBE and SBE Participation and Payments

It is the prime contractor's responsibility to maintain records and documents for three (3) years following performance of the contract. This reporting requirement is extended also to any DBE or SBE subcontractors. Records maintained by prime contractors and DBE or SBE subcontractors will be made available for inspection, upon request of any authorized representative of CCCTA or U.S. DOT.

The CRA shall monitor and track actual DBE and SBE participation through contractor reports of payments and other appropriate monitoring mechanisms. The CRA will maintain a running tally of payments actually made to DBE and SBE firms and may require prime contractors and DBE or SBE subcontractors and suppliers to provide appropriate documentation to verify such payments.

The CRA shall ensure that DBE and SBE participation is counted toward contract goals and DBE participation is counted toward the overall DBE goal in accordance with the Regulations. Credit toward overall or contract goals will only be given upon satisfactory evidence that payments were actually made to DBEs or SBEs.

CCCTA may perform interim audits of contract payments to DBEs and SBEs. The audit will review payments to DBE and SBE subcontractors to ensure that the actual amount paid to them equals or exceeds the dollar amounts stated on the List of Prime Contractor and Subcontractors/Suppliers form and any contract amendments.

F. Monitoring the Performance of Program Participants

CCCTA will apply legal and contract remedies available under federal, state and local laws to ensure all program participants comply with the requirements. The CRA and project managers will monitor contractor performance to ensure that work committed to DBEs or SBEs at contract award, and subsequent contract amendments, is actually performed by the identified DBEs or SBEs and payments are made to those firms in accordance with the contract requirements.

G. This monitoring mechanism will include a written certification that the CRA and/or the project manager has reviewed contracting records and monitored work sites in the CCCTA service area of firms performing CCCTA contracts. This monitoring may be conducted in combination with monitoring of contract performance for other purposes (e.g., close-out review for a contract). Reporting to U.S. Department of Transportation

The CRA will continue to report DBE participation, overall goal setting methodology, revisions in the *DBE Program*, and other information and documentation to FTA as directed. Statistical data will be maintained as prescribed and the Uniform Report of DBE Awards or Commitments and Payments form will be submitted to FTA at the intervals stated on the form, reflecting the DBE participation on CCCTA's federally assisted procurement activities. These reports will provide DBE participation on CCCTA's race-neutral contracts, race-conscious contracts, and the combined DBE participation on all U.S. DOT-assisted procurement activities.

H. DBE Financial Institutions

It is the policy of CCCTA to investigate the full extent of services offered by financial institutions located in its service area that are owned and controlled by socially and economically disadvantaged individuals, to make reasonable efforts to use these institutions, and to encourage prime contractors on U.S. DOT-assisted contracts to use these institutions.

The CRA researched the website for the Federal Reserve Board at www.federalreserve.gov to identify minority-owned banks derived from the Consolidated Reports of Condition and Income filed quarterly by banks (FFIEC 031 and 041) and from other information on the Board's National Information Center database. As of June 30, 2011, the Federal Reserve Board listed no minority-owned financial institutions located in the CCCTA service area. The CRA will continue to use this source to identify and solicit minority-owned banks to participate in CCCTA's *DBE Program*.

I. Over-Concentration

Pursuant to 49 CFR § 26.33, if the CRA determines that DBE participation is so over-concentrated in certain types of work or contracting opportunities that it unduly burdens the participation of nonDBEs in that type of work, the CRA will develop appropriate measures to address the over-concentration. The CRA will seek approval of these corrective measures from FTA and, once approved, they will become part of this *DBE Program*. Currently, CCCTA is unaware of any types of work that have a burdensome over-concentration of DBE participation.

J. Small Business Element

One method of providing race-neutral efforts for DBE participation will be through CCCTA's small business element, which is incorporated into this *DBE Program*. The small business element is intended to facilitate compliance with the two objectives in 49 CFR 26.51: (1) To meet the maximum feasible portion of the overall goal by using race-neutral means of obtaining DBE participation and (2) to establish DBE contract goals to meet any portion of the overall goal CCCTA is unable to meet using race-neutral methods alone. CCCTA will implement the small business element within nine (9) months of receiving approval from FTA.

The small business element applies to sub-recipients in the same way as CCCTA's *DBE Program*. CCCTA will ensure that any sub-recipients implement CCCTA's approved small business element. If a sub-recipient has its own DBE Program separate from CCCTA's *DBE Program*, the sub-recipient is responsible for creating and implementing its own small business element.

An important part of CCCTA's small business element is its outreach activities. These outreach efforts include active, effective steps to increase small business participation, such as soliciting bids/proposals from DBEs and SBEs, responding to requests for information, participating at prebid and preproposal meetings, and participating at outreach and training events for DBEs and small businesses. CCCTA will collaborate with regional resources by pooling resources and/or creating joint programs for review and approval by FTA.

As time and resources allow, the CRA will help plan and/or participate in outreach and informational events for DBEs and small businesses that may be coordinated with other U.S. DOT recipients, federal agencies, or local organizations. Discussed during these outreach events will be procedures on how to do business with CCCTA, how to become certified as a DBE or SBE, CCCTA's *DBE Program* requirements, and other topics of interest to DBEs and small businesses.

Other strategies that CCCTA will consider as a part of its small business element include unbundling contracts and setting SBE contract-specific goals when subcontracting opportunities are available.

For purposes of this DBE Program, a small business enterprise (SBE) is defined as a Small Business Concern that does not exceed the Business Size Standard. CCCTA's small business element includes a verification process to ensure eligibility of small business firms to participate in its *DBE Program*. To avoid fraud, a firm's small business status will be verified when CCCTA utilizes SBE contract goals on a project. CCCTA will rely on the certification/verification process used by other agencies, providing their process is to confirm eligibility consistent with those of Part 26, including the requirement that the SBE firm may not exceed the Business Size Standard. CCCTA will not accept certifications/verifications by agencies that allow companies to self-certify as small businesses. A currently certified DBE is presumed eligible to participate in the small business element of CCCTA's *DBE Program*. CCCTA will require that all SBEs and any DBEs not certified by the CUCP provide documentation to verify their certification status. CCCTA may require SBEs to submit additional documents, as necessary, to verify their eligibility.

CCCTA will track and report any race-neutral participation by currently certified DBEs achieved through the small business element in the same way it reports race-neutral DBE participation obtained through other methods. To the extent feasible, data on small business participation will be collected and maintained in order to respond to any future questions regarding the results of CCCTA's *DBE Program*.

K. Business Development and Mentor/Protégé Program

CCCTA may establish a DBE business development program to assist firms in gaining the ability to compete successfully in the marketplace outside the *DBE Program*. As a part of the business development program or separately, CCCTA may establish a mentor/protégé program in which another DBE or nonDBE firm is the principal source of business development assistance. If CCCTA determines such a program is beneficial, a proposed program will be written and submitted to FTA's regional office for approval, after which it will become part of this *DBE Program*. Guidelines outlined in Appendices C and D of 49 CFR Part 26 will be utilized in setting up the formal agreements and programs. CCCTA may participate in a business development program and/or mentor/protégé program established by other U.S. DOT recipients.

L. Issuance of Supplementary Procedures

The General Manager, upon recommendation of the CRA and in consultation with Legal Counsel, may issue supplementary written procedures for the implementation of the *DBE Program*, consistent with the Regulations.

V. DETERMINING AND ACHIEVING OVERALL GOAL AND COUNTING DBE PARTICIPATION

Pursuant to 49 CFR § 26.45, the CCCTA Board of Directors shall establish overall DBE goals on a fiscal-year basis every three years for the participation of DBEs in all budgeted contracts utilizing U.S. DOT financial assistance. The overall DBE goal shall be expressed as a percentage of the total amount of U.S. DOT funds CCCTA anticipates expending during those three fiscal years.

CCCTA's overall DBE goal represents the amount of ready, willing and able DBEs that are available to participate in U.S. DOT-assisted contracting opportunities. The overall DBE goal is reflective of the amount of DBE participation CCCTA would expect absent the effects of discrimination. CCCTA intends to meet its goal to the maximum extent feasible through race-neutral measures. Where race-neutral measures are inadequate to meet the overall DBE goal, CCCTA will establish specific contract goals for particular projects with subcontracting opportunities.

A. Methodology for Setting Overall DBE Goal

1. Projecting U.S. DOT-Assisted Contract Expenditures

In conjunction with the preparation and adoption of the budget for each fiscal year, the CRA, in consultation with the appropriate CCCTA department managers responsible for contracting activities, will conduct an analysis of the projected numbers, types of work, and dollar amounts of contracting opportunities that will be funded, in whole or in part, by U.S. DOT financial assistance for each fiscal year during that three-year period. This analysis will exclude projected contract expenditures with transit vehicle manufacturers, which are exempt from the *DBE Program*.

If required by FTA, CCCTA will express its overall goal as a percentage of funds for a particular grant or project or group of grants and/or projects. A project goal may be adjusted to reflect changed circumstances with the concurrence of FTA. A project goal is an overall goal and meets all of the substantive and procedural requirements pertaining to overall goals. A project goal covers the entire length of the project to which it applies. A project goal includes a projection of the DBE participation anticipated to be obtained during each fiscal year covered by the project goal. The funds for the project to which the project goal pertains are separated from the base from which CCCTA's regular overall goal applicable to contracts not part of the project covered by a project goal is calculated.

2. Establishing a Base Figure

Pursuant to 49 CFR § 26.45(c), CCCTA will develop a base figure, based upon the projected fiscal year budgets for the three-year term of the goal to express the availability of DBEs as a percentage of all contractors, subcontractors, manufacturers and suppliers in the relevant contracting markets. CCCTA will follow one of the methodologies provided in the Regulations or develop an alternative methodology and provide the appropriate documentation in the *DBE Overall Goal and Goal Setting Methodology (DBE Report)*.

a. Analyzing Available Businesses in the Relevant Contracting Markets

The CRA will conduct an analysis of the relevant contracting markets in which CCCTA will solicit participation from contractors, subcontractors, manufacturers and suppliers for each fiscal year. This analysis will include a description of geographical boundaries of the solicitations, the applicable North American Industry Classification System (NAICS) Codes for the types of work to be contracted and any other indicators that CCCTA determines to be relevant to defining its contracting markets. The CRA will then determine the available businesses according to the relevant contracting markets. The CRA will consult a variety of sources including, but not limited to, the U.S. Census Bureau, CCCTA's Bidders List and any relevant disparity studies.

b. Analyzing Available DBEs in the Relevant Contracting Markets

The CRA will conduct a similar analysis to determine the number of ready, willing and able DBEs that are available to participate as contractors, subcontractors, manufacturers and suppliers in the projected contracts for each fiscal year. This analysis will include a description of the available DBEs relative to the geographical boundaries of the solicitations, the NAICS Codes for the types of work to be contracted, and any other pertinent factors. The CRA will consult a variety of sources including, but not limited to, CUCP DBE Database, U.S. Census Bureau, CCCTA's Bidders List and any relevant disparity studies.

c. Calculating the Base Figure

The CRA will compare the available DBEs to the available businesses in the relevant contracting markets for each fiscal year. The calculation will include a weighting factor according to the U.S. DOT-assisted contracting expenditure patterns.

d. Adjusting the Base Figure

Pursuant to 49 CFR § 26.45(d), the CRA will adjust the base figure based on demonstrable evidence indicating that the availability of DBEs for U.S. DOT-assisted contracts for each fiscal year may be higher or lower than the base figure indicates. At a minimum, the CRA will analyze:

- (1) The results of CCCTA's efforts to contract with DBEs for the current and recent years;
- (2) Any available and relevant disparity studies (to the extent that they are not accounted for in the base figure);
- (3) Any available and relevant results of other, similar U.S. DOT recipients' efforts to contract with DBEs;

- (4) Any relevant feedback or projections from DBE firms, minority and women professional and resource organizations, the U.S. Small Business Administration, general contractor organizations, community groups, or others; and
 - (5) Any other available evidence from related areas that affects the opportunities for DBEs to form, grow and compete.
- e. Projection of Percentage of Overall DBE Goal to be Achieved Through Race-Neutral and Race-Conscious Measures

Once the overall DBE goal is calculated, the CRA will analyze and project the maximum feasible portion of the goal that can be achieved by using race-neutral methods. Where the projected portion of the goal using race-neutral methods is less than the overall DBE goal, the remaining portion may be achieved by establishing contract goals for particular projects that have subcontracting opportunities.

The CRA shall monitor and adjust the use of contract-specific goals in accordance with 49 CFR 26.51(f). When projecting the percentage of the overall goal to be achieved through establishing contract-specific goals, the CRA shall analyze the actual achievement of the overall goal through race-neutral methods in the current and recent years. When establishing contract-specific goals during the current fiscal year, the CRA shall analyze the progress toward achieving the overall goal and increase, reduce or eliminate the use of contract-specific goals accordingly. Contract goals will provide for participation by certified DBEs or SBEs and will not be subdivided into group-specific goals.

B. Public Participation and Adoption of the Overall DBE Goal

1. Consultation with Various Groups, Organizations and Officials

In a joint effort, members of the CUCP and BOC will continue to hold public participation sessions to obtain input in the goal-setting process, specifically on the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and efforts to establish a level playing field for the participation of DBEs. Members from the public invited to attend the public participation sessions will include, but not be limited to, minority, women and general contractor groups, community organizations, and other U.S. DOT recipients.

2. DBE Report

Upon completion of the analysis described above and after consultation with various groups, organizations and officials, the CRA will prepare the *DBE Report* for a three-year period for review and approval by the General Manager. The report shall document the analysis and methodology as well as the proposed goal and estimated percentages to be achieved through race-neutral and race-conscious measures. Upon the General Manager's approval and recommendation, the Administration & Finance (A&F) Committee will consider authorizing publication of the proposed goal for public comment and adoption of the goal thereafter.

3. Publication of the Proposed Overall DBE Goal

Pursuant to 49 CFR § 26.45(g), CCCTA will publish the proposed overall goal in general circulation and DBE-oriented media. The notice shall include a statement that the methodology and proposed goal are available for inspection by the public for thirty (30) days from the date of publication. The notice shall also include a statement that CCCTA and U.S. DOT will accept public comments regarding the proposed goal and methodology for a period of forty-five (45) days from the date of publication, and it will provide instructions for the submission of comments.

Concurrently, the CRA shall notify DBE resource and community organizations of the availability of the *DBE Report* for review and comment. Upon receipt of any public comments, the CRA will prepare a summary report analyzing the public comments and recommending any modifications to the overall DBE goal or methodology and will furnish it to the General Manager for review and concurrence. If no comments are received that would change substantially the goal analysis, the results of the public comment period may be presented as an informational matter to the Board of Directors with no further action required.

4. Adoption of the Overall DBE Goal

The A&F Committee will consider making a recommendation to the Board of Directors to adopt the overall goal. The Board of Directors shall adopt the overall DBE goal for DBE participation in U.S. DOT-assisted contracts. Unless otherwise directed, the *DBE Report* will be submitted every three years by August 1st, to FTA for review and approval.

The overall goal applies to each fiscal year during that three-year period. CCCTA may adjust the overall goal during that three-year period to which it applies in order to reflect changed circumstances. Such an adjustment shall be submitted to FTA for review and approval.

C. **Transit Vehicle Manufacturers Participation and Certification**

CCCTA will require transit vehicle manufacturers to certify that they have established an overall DBE participation goal that has been approved by FTA (or the goal has been submitted but not disapproved) as a condition of being authorized to bid on any FTA-assisted transit vehicle procurements. Expenditures for FTA-assisted transit vehicle procurements are not included in establishing the CCCTA overall DBE goal for U.S. DOT-assisted contract expenditures.

D. **DBE Quotas or Set-Asides**

CCCTA will not use quotas for DBEs and will not set-aside contracts for DBEs on U.S. DOT-assisted contracts. CCCTA will make every effort to achieve its DBE goals by utilizing other means as outlined in the *DBE Program*.

E. Achieving the Overall DBE Goal

CCCTA shall achieve the overall DBE goal for DBE participation through a combination of race-neutral measures and contract goals for particular contracts with subcontracting opportunities.

If an overall DBE goal is not achieved by the end of its fiscal year, CCCTA will analyze the reason(s) for the shortfall and establish specific steps and milestones to correct the problems identified in the analysis that will enable CCCTA to meet its goal for the new fiscal year. This analysis and corrective action will be retained in the record for three years and made available to FTA, upon request, for its review.

1. Race-Neutral Methods

CCCTA will use race-neutral methods to the maximum extent feasible to achieve its overall DBE goal. Race-neutral DBE participation includes any time a DBE wins a prime contract through customary competitive procurement procedures, a DBE is awarded a subcontract on a prime contract that does not carry a DBE goal, or a DBE wins a subcontract, even if there is a DBE goal, from a prime contractor that did not consider its DBE status in making the award. In addition, CCCTA will use the following race-neutral measures, as appropriate, to facilitate DBE participation.

- a. Ensuring contracting barriers do not exist by using contracting arrangements (such as, arranging solicitations, times for the presentation of bids, quantities, specifications and delivery schedules) that facilitate participation by DBEs and other small businesses and make contracts more accessible to them.
- b. Configuring large contracts into smaller contracts to make contracts more accessible to small businesses, when feasible, providing it would not impose significant additional cost, delay or risk to CCCTA.
- c. Identifying components of the work that represent subcontracting opportunities and identifying the availability of DBE subcontractors. Contractors will be encouraged to consider DBE subcontractors for components of the work for which there is a known supply of ready, willing and able DBE subcontractors, as well as non-DBE subcontractors, in preparing their bids and proposals.
- d. Assisting in overcoming limitations in bonding and financing, when requested and as appropriate.
- e. Providing technical assistance and other business related services, as requested and as appropriate.
- f. Providing outreach and communications programs related to contracting opportunities and procedures to ensure the inclusion of DBEs and other small businesses on mailing lists soliciting bids and proposals.

- g. Requiring prime bidders on multi-year design-build contracts or other large contracts to specify elements of the contract or specific subcontracts that are of a size that small businesses, including DBEs, can reasonably perform.
- h. Requiring prime contractors on contracts not having a DBE goal to provide subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform rather than self-performing all the work involved.
- i. Ensuring that a reasonable number of prime contracts are of a size that small businesses, including DBEs, can reasonably perform them.
- j. Providing information about the availability of the CUCP DBE Database, through print and electronic means, to potential prime contractors, DBEs, public agencies and the general public. Encouraging prime contractors to use the DBE Database to solicit DBE firms. Encouraging eligible DBEs to become certified, and to remain certified, so they will be listed in the DBE Database.

2. Contract Goals

CCCTA shall establish contract-specific DBE or SBE participation goals on particular prime contracts with subcontracting opportunities to the extent that it cannot achieve its overall DBE goal with other race-neutral measures. Where a contract-specific DBE or SBE goal has been established, the bidder or proposer must meet the contract-specific goal or demonstrate that it made sufficient good faith efforts to do so. A bidder/proposer shall be ineligible for award if it does not meet the goal or demonstrate sufficient good faith efforts.

The General Manager shall establish the contract goal based on a recommendation from the CRA. The contract-specific goal shall apply to the percentage participation of DBEs or SBEs in the total contract work and shall be set forth in the contract specifications. CCCTA is not required to establish a contract-specific goal for every prime contract with subcontracting opportunities. For each U.S. DOT-assisted contract involving subcontracting opportunities, the factors outlined below will be considered to determine whether a contract-specific goal should be established for the particular contract and, if so, what the percentage goal shall be.

- a. The projected amount of the contract and the full range of activities in the proposed contract.
- b. CCCTA's progress toward achieving its overall DBE goal.
- c. The projected portion of the overall goal that will be met by establishing a contract-specific goal.
- d. The availability of DBEs or SBEs as prime contractors, subcontractors or suppliers in the types of work involved in the performance of the proposed contract.

- e. The unique conditions of the project that might affect the ability of the prime contractor to coordinate utilize or incorporate subcontractors or suppliers into the project.
- f. Any other relevant criteria.

3. **Awarding Contracts with Contract-Specific Goals**

CCCTA shall award contracts to the lowest responsible bidder for construction contracts and other procurements as required under applicable procurement law, U.S. DOT procurement guidelines, and CCCTA policies.

For such contracts, as well as for contracts awarded pursuant to a request for proposal procedure where the lowest responsible bidder standard does not apply, a bidder/proposer that fails to demonstrate that it achieved the contract-specific DBE or SBE participation goal, and fails to demonstrate that it made sufficient good faith efforts to do so, shall not be deemed “responsive” and, therefore, shall be ineligible for award of the contract.

a. **Evaluation of Bids and Proposals**

After the bid opening, or submission deadline for proposals, the CRA shall evaluate all bids/proposals with regard to the DBE or SBE requirements to determine whether the bidders/proposers submitted all the information required by 49 CFR § 26.53. Prior to making a recommendation to the CCCTA Board of Directors for award of contract, bidders/proposers will be required to meet the requirements of 49 CFR § 26.53.

The responsible bidder with the lowest apparent bid price, or the most highly ranked proposer, who also meets the contract-specific DBE or SBE goal or demonstrates sufficient good faith efforts, shall be recommended for award of contract. In the event that the bidder with the lowest monetary bid price (or the proposer ranked first), fails to meet the contract-specific goal or fails to demonstrate sufficient good faith efforts, or is otherwise nonresponsive or not responsible, the CRA shall evaluate the bidder with the next lowest bid price (or the proposer ranked second).

Bidders/proposers will be required to submit with their bids/proposals (or at a later date specified in the contract documents) the completed List of Prime Contractor and Subcontractors/Suppliers form. This form requests the following information about DBE and non-DBE firms that will participate in the contract: name and address of firm, phone number, owner’s name, DBE or SBE, age of firm, annual gross receipts, description of work and type of materials/supplies to be furnished for the contract, and dollar amount of the work or supplies. By submitting the List of Prime Contractor and Subcontractors/Suppliers form, a bidder/proposer certifies that it is committed to using the identified DBEs or SBEs in the performance of the contract.

CCCTA shall require written documentation from the DBEs and/or SBEs that they are participating in the contract as provided in the prime contractor's commitment. In addition, DBEs not currently certified by the CUCP and SBEs will be required to submit information verifying their current certification status. CCCTA may require that SBEs submit additional documentation, as necessary, to verify their eligibility.

If the CRA determines additional information is needed to evaluate a bidder's or proposer's submission regarding the DBE or SBE requirements, the CRA shall request the bidder/proposer to submit the required information. The CRA may contact, also, the listed DBEs and SBEs directly to obtain the information.

b. Evaluation of DBE and SBE Certification Status

CCCTA shall require that only firms currently certified as eligible DBEs and SBEs can participate and be counted as DBEs or SBEs on its contacts. Any DBEs or SBEs listed by bidders or proposers for participation in the contract must be certified as eligible DBEs or SBEs when the bids/proposals are due (or at a later date specified in the contract documents).

The CRA shall review the List of Prime Contractor and Subcontractors/Suppliers form and other pertinent information to confirm the certification status of each DBE or SBE. For DBE firms, CCCTA will accept current certifications by the CUCP, other UCPs and other U.S. DOT recipients acceptable to CCCTA in accordance with 49 CRF Part 26. For SBE firms, CCCTA will accept certifications and verifications by the California Department of General Services, the U.S. Small Business Administration, and other public agencies, providing the firm's Business Size Standard does not exceed the SBA size standard and the U.S. DOT cap of \$22.41 million, whichever is lower. CCCTA will not accept SBE certifications from agencies that allow firms to self-certify as small businesses.

If a change in DBE or SBE participation is proposed by the prime contractor after the contract is fully executed (such as a contract amendment or replacement of a defaulting DBE or SBE subcontractor), and the subcontractor is not currently certified as an eligible DBE or SBE, the firm's certification must be final before CCCTA approves the change in DBE or SBE participation on the contract.

c. Determination of Amount of DBE or SBE Participation

The CRA shall review for accuracy the total dollar value of the work to be performed and supplies to be furnished by DBEs or SBEs with the total contract amount reported on the List of Prime Contractor and Subcontractors/Suppliers form. The CRA shall then determine the percentage of total DBE or SBE participation and compare it to the contract-specific goal established for the contract.

d. Determination of Good Faith Efforts

If the amount of DBE or SBE participation does not meet the contract-specific goal, the CRA shall review the report of good faith efforts submitted by the bidder/proposer. The CRA shall determine whether the bidder/proposer performed the quality, quantity and intensity of efforts that demonstrates a reasonably active and aggressive attempt to meet the contract-specific goal in accordance with 49 CFR Part 26, Appendix A.

DBE and SBE bidders/proposers on prime contracts will be expected to make the same outreach efforts as other bidders/proposers and to document good faith efforts in situations where they do not fully meet the contract goals.

e. DBE or SBE Replacement

Prime contractors may not terminate a DBE or SBE subcontractor listed on the contractor's bid/proposal documents, or an approved substantives firm, without CCCTA's prior written consent. This includes, but is not limited to, instances in which a prime contractor seeks to perform work originally designated for a DBE or SBE subcontractor with its own workforce or those of an affiliate, a nonDBE firm or another DBE firm. CCCTA may provide such written consent if it determines that the prime contractor has good cause, as described in 49 CFR Part 26.53, to terminate the DBE or SBE subcontractor.

Before transmitting to CCCTA its request to terminate and/or substitute a DBE or SBE subcontractor, the prime contractor must give notice in writing to the DBE or SBE subcontractor, with a copy to CCCTA, of its intent to request to terminate and/or substitute and the reason for the request. The prime contractor must give the DBE or SBE five days to respond to the prime contractor's notice and advise CCCTA and the prime contractor of the reasons, if any, of why it objects to the proposed termination of the subcontract and why CCCTA should not approve the prime contractor's action.

In addition to post-award terminations, these provisions apply to preaward deletions of or substitutions for DBE or SBE firms put forward by offerers in negotiated procurements.

Prime contractors will be required to replace a defaulting DBE or SBE subcontractor (or to demonstrate that it made good faith efforts toward that end) only to the extent needed to ensure that the prime contractor is able to achieve the contract goal. A prime contractor may not terminate a DBE or SBE firm for convenience and then perform the work with its own workforce without CCCTA's prior written consent.

The prime contractor must immediately notify the project manager and the CRA of the inability of the DBE or SBE to perform the work and must provide reasonable documentation. The prime contractor must provide copies of new or amended subcontracts for each new DBE or SBE or any applicable good faith efforts. If replacement of the DBE or SBE is acceptable to CCCTA, it will issue written notification to the prime contractor. If the contractor fails or refuses to comply in the timeframe specified in the contract documents, CCCTA will pursue administrative remedies available under the contract or laws of California.

f. Right to Administrative Reconsideration

In the event the CRA determines that the apparent successful bidder/proposer has not met the contract-specific goal and has not demonstrated sufficient good faith efforts, the CRA will notify the bidder/proposer in writing. The notification shall include the reasons for the determination and advise that the bidder/proposer has the right to submit additional written documentation or appear at a hearing for reconsideration prior to the time that a recommendation for award of contract is presented to the Board of Directors.

Following a reconsideration hearing and/or review of any additional information received, the General Manager, or his/her designee, shall provide the bidder/proposer with a written decision on reconsideration, explaining the basis for the determination. In the event the reconsideration official finds a bidder/proposer did not meet the contract goal or demonstrate sufficient good faith efforts, the determination shall stand and such bidder/proposer will be deemed not responsive. The result of the reconsideration process cannot be appealed administratively to U.S. DOT.

g. Recommendation for Award

Following the determination of the responsiveness with a contract-specific DBE or SBE requirement, the CRA shall prepare a report on compliance with the DBE/SBE requirements of all bidders/proposers for review by the General Manager and project manager for presentation to the Board of Directors at the time the contract award is considered. If the Board disagrees with the staff recommendation for award of contract, it shall reject all bids/proposals or refer the matter back to the General Manager for further evaluation and recommendation. The decision of the CCCTA Board of Directors on the award of contract, if such a decision is made, shall be final and binding on all parties, subject to compliance with CCCTA's protest procedures.

F. Counting and Tracking DBE and SBE Participation

Following award of contract for all DOT-assisted contracts, the CRA will monitor and track the types of work and dollar amounts actually paid by the prime contractor to DBE or SBE subcontractors. For this purpose, the CRA will require the prime contractor to submit periodic reports of payments made to DBEs or SBEs. DBEs and SBEs will be required to verify the work they performed and the dollar amounts they received from the prime contractor.

The prime contractor will notify the project manager and CRA in writing of any proposed contract changes or amendments, and it will submit a statement regarding how that change may affect DBE or SBE subcontracting opportunities. Following CCCTA's approval of that contract change or amendment, the project manager and CRA will assure that work is actually done by the DBE or SBE firms, as verified through job site visits and other contract compliance mechanisms.

Only the work actually performed by a DBE or SBE will be counted toward the contract goal. The cost of supplies and materials obtained by the DBE or SBE or equipment leased may also be counted. However, the DBE or SBE subcontractor and its prime contractor may not count toward the goal items that the DBE or SBE purchases or leases from its own contractor.

DBE and SBE prime contractors may count toward goals the work they perform with their own workforce as well as the work performed by DBE or SBE subcontractors. Work that a DBE or SBE subcontracts to a nonDBE or nonSBE firm does not count toward contract goals.

The CRA will not count a DBE's participation toward DBE or SBE goals if the firm is not currently certified, in accordance with the eligibility standards in the Regulations. An SBE firm will be counted toward an SBE goal if the firm is currently certified and it does not exceed the Business Size Standard. Additionally, the CRA will not count toward the overall goal that portion of a DBE's participation achieved after the certification of the DBE has been removed during the performance of a contract. Participation of a DBE subcontractor will not be counted toward the prime contractor's DBE achievement or CCCTA's overall goal until the DBE has been paid. The CRA will track the participation of DBEs in contracts with goals separately from DBE participation considered to be race neutral.

Expenditures may only be counted if the DBE or SBE is performing a commercially useful function. According to the Regulations, a DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing and supervising the work involved. If a DBE or SBE does not perform or exercise responsibility for at least thirty percent (30%) of the total cost of its contract with its own workforce, or the DBE or SBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practices for the type of work involved, the firm is not performing a commercially useful function. CCCTA will use factors outlined in 49 CFR § 26.55(d) to determine if a DBE or SBE trucking company is performing a commercially useful purpose. Decisions on commercially useful function are subject to review by the FTA, but cannot be appealed administratively to U.S. DOT.

The CRA will count DBE and SBE participation on the contract in the following manner:

- Count at 100% the entire amount of that portion of a contract for construction, professional services, or other services that is performed by the firm's own workforce, including the cost of supplies and materials purchased or equipment leased by the DBE or SBE for the contract work (except supplies and equipment the DBE or SBE subcontractor purchased or leased from the prime contractor or its affiliate).

- Count the entire amount of fees or commissions charged by a DBE or SBE for providing a bona fide service, such as professional, technical, consultant or managerial services, or for providing bonds or insurance specifically required for the contract if the fees are reasonable and not excessive as compared with fees customarily allowed for similar services.
- Count one-hundred percent (100%) of the cost of materials or supplies obtained from a DBE or SBE manufacturer. Count sixty percent (60%) of the cost if the materials and supplies are purchased from a DBE or SBE regular dealer. Count the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, from a DBE or SBE that is neither a manufacturer nor a regular dealer, providing the fees/commissions are reasonable and not excessive as compared with those customarily allowed for similar services.
- When a DBE or SBE performs as a participant in a joint venture, count a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE or SBE performs with its own workforce.

VI. CONTRACT PROVISIONS

Each financial assistance agreement CCCTA signs with U.S. DOT will include a nondiscrimination assurance from CCCTA. U.S. DOT-assisted contracts that CCCTA solicits and awards will include, as appropriate, the model contract provisions that are set forth in the current edition of CCCTA's *Procurement Manual*, which is available from the CRA. The CRA shall have discretion to modify the contracting provisions for particular contracts as needed, in consultation with Legal Counsel. These required contract provisions consist of:

- CCCTA's *DBE Program* policy statement.
- A nondiscrimination assurance from the contractor (and each subcontract the prime contractor signs with a subcontractor).
- A clause requiring the prime bidder or proposer to submit the List of Prime Contractor and Subcontractors/Suppliers form.
- A clause that requires prime contractors to pay subcontractors for satisfactory performance of their contracts no later than thirty (30) days from receipt of each payment CCCTA makes to the prime contractor.
- A clause that requires the prompt return of retainage payments from the prime contractor to the subcontractor within thirty (30) days after the subcontractor's work is satisfactorily completed.
- The website address for the CUCP DBE Database identifying DBE firms eligible to participate in the *DBE Program*.
- Statements describing the amount of the DBE or SBE goal, if established, DBE or SBE certification standards, required documents for verification of certification status, how DBE or SBE participation is counted toward the goal, and required good faith efforts if the DBE or SBE goal is not achieved.
- A section on recordkeeping and reporting requirements, including a provision ensuring that DBE participation is credited toward the overall DBE goal and DBE or SBE participation is counted on contract goals only when payments are actually made to DBE or SBE firms.
- A section on administrative remedies to ensure compliance with the *DBE Program*.

VII. DBE CERTIFICATION STANDARDS

CCCTA is a participant of the CUCP, which follows U.S. DOT directives and guidance concerning certification matters. In conjunction with certifying members of the CUCP, CCCTA makes DBE certification decisions on behalf of all U.S. DOT recipients in California. CCCTA relies upon the CUCP for the certification of DBE firms and assurance that only firms certified as eligible DBEs participate in the *DBE Program*. The CUCP MOA provides U.S. DOT recipients the option to be either a certifying member or a non-certifying member. CCCTA has elected to be a certifying member. As such, CCCTA will apply the standards of Subpart D and Appendix E of the Regulations, which are briefly discussed in this Section, when making certification decisions. If CCCTA elects to be a non-certifying agency of the CUCP, it will accept those DBEs certified by the CUCP, pursuant to the CUCP MOA and its adherence to 49 CFR Part 26.

A. Burdens of Proof

The firm seeking certification has the burden of demonstrating, by a preponderance of the evidence, that it meets the requirements concerning group membership or individual disadvantage, business size, ownership and control. CCCTA will make certification decisions concerning whether individuals and firms have met these burdens by considering all the facts in the record viewed as a whole.

B. Group Membership Determinations

Individuals who are United States citizens (or lawfully admitted permanent residents) who are also members of the following designated groups will be presumed to be socially and economically disadvantaged: Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, women, and other groups found to be socially and economically disadvantaged by the U.S. Small Business Administration.

When reviewing applicant files, CCCTA will presume that members of the groups identified herein are socially and economically disadvantaged unless the presumption is rebutted. This means these individuals do not have the burden to prove they are socially and economically disadvantaged. However, all applicants have the obligation to provide information concerning their economic disadvantage.

If CCCTA has reason to question whether an individual is a member of a disadvantaged group, the individual will be required to produce appropriate documentation of group membership. When making a group membership determination, factors considered will be whether the person has held himself/herself out to be a member of the group over a long period of time prior to application for certification and whether the person is regarded as a member of the group by the relevant community. If an individual is determined not to be a member of a designated group, the individual must demonstrate social and economic disadvantage on an individual basis. The decision by CCCTA concerning membership in a designated group will be subject to the certification appeals procedure described in 49 CFR § 26.89.

C. Individual Determinations of Social and Economic Disadvantage

Firms owned and controlled by individuals who are not presumed to be socially and economically disadvantaged (including individuals whose presumed disadvantage has been rebutted) may apply for DBE certification.

Individual determinations will be made on a case-by-case basis of whether each individual whose ownership and control are relied upon for DBE certification is socially and economically disadvantaged.

In such a proceeding, the applicant firm has the burden of demonstrating, by a preponderance of the evidence, that the individuals who own and control it are socially and economically disadvantaged. However, an individual whose personal net worth exceeds \$1.32 million, or as adjusted for inflation by U.S. DOT, shall not be deemed economically disadvantaged. In making these determinations, guidance found in 49 CFR Part 26, Appendix E, will be used.

1. Social Disadvantage

Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias within American society because of their identities as members of groups and without regard to their individual qualities. Social disadvantage must stem from circumstances beyond their control. Evidence of individual social disadvantage must include at least one objective distinguishing feature that has contributed to social disadvantage, personal experiences of substantial and chronic social disadvantage in American society, and negative impact on entry into or advancement in the business world because of the disadvantage. CCCTA will consider any relevant evidence in assessing these elements, including education, employment and business history, to see if the totality of circumstances shows disadvantage in entering into or advancing in the business world.

2. Economic Disadvantage

Economically disadvantaged individuals are socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially disadvantaged. In considering diminished capital and credit opportunities, CCCTA will examine factors relating to personal financial condition, including personal income for the past two years, personal net worth, and the fair market value of all applicable assets. CCCTA will also consider the financial condition of the applicant firm compared to financial profiles of small businesses in the same primary industry classification(s) or similar lines of business.

D. Business Size Determinations

To be an eligible DBE, a firm (including its affiliates) must be an existing small business, as defined by the U.S. Small Business Administration (SBA) standards. CCCTA will apply current SBA business size standards found in 23 CFR Part 121 appropriate to the types of work the firm seeks to perform in U.S. DOT-assisted contracts. Even if the firm meets the SBA requirements, a firm is not an eligible DBE in any federal fiscal year if the firm (including its affiliates) has had average annual gross receipts as defined in SBA regulations over the firm's previous three fiscal years in excess of \$22.41 million, as adjusted for inflation from time to time by U. S. DOT.

E. Statement of Personal Net Worth

Each socially and economically disadvantaged individual owner, whose ownership and control are relied upon for DBE certification, must demonstrate that s/he does not have a personal net worth exceeding \$1.32 million (except owners of a firm applying to participate as a DBE airport concessionaire).

When determining net worth, CCCTA will exclude an individual's ownership interest in the applicant firm and the individual's equity in his/her personal, primary residence, will not use contingent liabilities to reduce an individual's net worth, and will include only the present value of assets held in vested pension plans or accounts less the tax and interest penalties that would accrue if the asset were distributed at the present time.

If the individual's personal net worth exceeds \$1.32 million, or as adjusted for inflation by U.S. DOT, the individual's presumption of economic disadvantage based on group membership or the individual's demonstration of economic disadvantage will be rebutted conclusively without any further formal proceedings.

When an individual's presumption of social and/or economic disadvantage has been rebutted, his/her ownership and control of the firm cannot be used for purposes of DBE eligibility unless and until s/he makes an individual showing of social and/or economic disadvantage in the future. If the basis for rebutting the presumption is a determination that the individual's personal net worth exceeds \$1.32 million, the individual is no longer eligible for participation in the *DBE Program* and cannot regain eligibility by making an individual showing of disadvantage.

Notwithstanding any provision of federal or state law, CCCTA will not release information regarding any individual's personal net worth statement nor any documentation supporting it to any third party without the written consent of the submitter. However, CCCTA will transmit this information to U.S. DOT in any certification appeal proceeding in which the disadvantaged status of the individual is in question or to any other state UCP to which the individual's firm has applied for certification.

F. Ownership Determinations

To be an eligible DBE, a firm must be at least fifty-one percent (51%) owned by socially and economically disadvantaged individuals. In the case of a corporation, such individuals must own at least fifty-one percent (51%) of each class of voting stock outstanding and fifty-one percent (51%) of the aggregate of all stock outstanding. In the case of a partnership, fifty-one percent (51%) of each class of partnership interest must be owned by socially and economically disadvantaged individuals and must be reflected in the firm's partnership agreement. In the case of a limited liability company, at least fifty-one percent (51%) of each class of membership interest must be owned by socially and economically disadvantaged individuals.

The firm's ownership by socially and economically disadvantaged individuals must be real, substantial and continuing, going beyond pro forma ownership of the firm, as reflected in the ownership documents. The disadvantaged owners must enjoy the customary incidence of ownership and share in the risks and profits commensurate with their ownership interests, as demonstrated by the substance, not merely the form, of the arrangements.

Factors that will be considered are how the ownership securities are held and how they were acquired and whether the disadvantaged individual made contributions of capital and/or expertise that were real and substantial to acquire their ownership interest.

When an individual's expertise is relied upon as part of a disadvantaged owner's contribution to acquire ownership, the owner's expertise must be in a specialized field, of outstanding quality, in areas critical to the firm's operations, indispensable to the firm's potential success, specific to the type of work the firm performs, and documented in the firm's records that clearly show the contribution of expertise and its value to the firm.

The specific considerations for determining ownership by socially and economically disadvantaged individuals are outlined in the Regulations, as may be supplemented by written interpretations, guidance and/or procedures issued by U.S. DOT or the CUCP from time to time.

G. Control Determinations

In determining whether socially and economically disadvantaged owners control a firm, the CRA will consider all the facts in the record, viewed as a whole. Only an independent business may be certified as a DBE. An independent business is one the viability of which does not depend on its relationship with another firm or firms. In determining whether a potential DBE is an independent business, CCCTA will scrutinize relationships with nonDBE firms in such areas as personnel, facilities, equipment, financial and/or bonding support, and other resources. Present or recent employer/employee relationships will be considered, as well as the firm's relationships with prime contractors and factors related to the independence of a potential DBE firm. Further, CCCTA will consider the consistency of relationships between the potential DBE and nonDBE firms with normal industry practice.

A DBE firm must not be subject to any formal or informal restrictions which limit the customary discretion of the socially and economically disadvantaged owners. The socially and economically disadvantaged owners must possess the power to direct or cause the direction of the management and policies of the firm and to make day-to-day as well as long-term decisions on matters of management, policy and operations.

To determine a socially and economically disadvantaged individual's control of a firm, CCCTA will consider factors such as the owner's position, managerial role and control, technical and managerial competence and experience in the firm's operations, remuneration compared to what is received by other participants in the firm, delegation of authority to non-disadvantaged individuals, licensing and professional credentials, and time commitments in the firm. Also considered will be factors such as the ownership, control and participation of other individuals in the firm, whether the firm owns or leases equipment, any franchise or license agreement, and use of an employee leasing company.

CCCTA will grant certification to a firm only for specific types of work in which the socially and economically disadvantaged owners have the ability to control the firm. To become certified in another type of work, the firm must demonstrate that its socially and economically disadvantaged owners are able to control the firm with respect to that type of work. The types of work that firms can perform must be expressed in the most specific NAICS codes, and multiple NAICS codes may be assigned where appropriate. In addition to the NAICS codes, the CUCP DBE Database includes work codes that provide equivalent detail and specificity. The firm has the burden of providing detailed company information needed by the CRA to make an appropriate NAICS code designation. The specific considerations for determining control by socially and economically disadvantaged individuals are outlined in the Regulations, as may be supplemented by written interpretations, guidance and/or procedures issued by U.S. DOT or the CUCP from time to time.

H. Other Considerations

1. Commercially Useful Function

Commercially useful function issues will not be considered in any way in making decisions about whether to certify a firm as a DBE. Consideration of whether a firm performs a commercially useful function or is a regular dealer pertains solely to counting toward DBE goals the participation of firms that have already been certified as DBEs.

2. Pattern of Conduct

In making certification decisions, CCCTA will consider whether a firm has exhibited a pattern of conduct indicating its involvement in attempts to evade or subvert the intent or requirements of the *DBE Program*.

3. Present Circumstances

CCCTA will evaluate the eligibility of a firm on the basis of present circumstances and will not refuse to certify a firm based solely on historical information indicating lack of ownership or control by socially and economically disadvantaged individuals. If the firm currently meets ownership and control standards, CCCTA will not refuse to certify a firm solely on the basis that it is a newly formed business, has not completed projects or contracts at the time of its application, has not yet realized profits from its activities, or has not demonstrated a potential for success.

4. DBE Cooperation

CCCTA expects DBE firms and firms seeking DBE certification to cooperate fully with requests for information relevant to the certification process. Failure or refusal to provide such information is a ground for denial or removal of certification.

5. For-Profit Firms

Only firms organized for profit may be eligible DBEs. Not-for-profit organizations, even though controlled by socially and economically disadvantaged individuals, are not eligible to be certified as DBEs.

6. Subsidiaries and Affiliates

An eligible DBE firm must be owned by individuals who are socially and economically disadvantaged. Except as provided in the Regulations, a firm that is not owned by such individuals, but instead is owned by another firm (even a DBE firm), cannot be an eligible DBE.

7. Prequalification

CCCTA will not require a DBE firm to be prequalified as a condition for certification unless it requires all firms that participate in its contracts and subcontracts to be prequalified.

8. Native American Tribal Organizations

CCCTA recognizes that a firm owned by an American Indian tribe or Native Hawaiian organization as an entity, rather than by American Indians or Native Hawaiians as individuals, may be eligible for certification as long as such firm meets the size standards and is controlled by socially and economically disadvantaged individuals. Likewise, an Alaska Native corporation may be certified as a DBE providing it meets the criteria outlined in 49 CFR § 26.73(i).

9. Interstate Certification

When a firm currently certified in its home state applies to CCCTA for certification, or a firm currently certified by CCCTA applies to another state UCP for certification, the firm will provide information required by that UCP. The CUCP adopted an Out-of-State Certification Declaration form for completion by applicant firms certified in their home state. In addition to this form, the firm must provide CCCTA with the information outlined in 49 CFR Part 26.85 and any other information required by CCCTA to make a decision.

Upon receipt of all required information from the applicant firm, CCCTA will contact the firm's home state within seven days requesting a copy of the site review report and relevant updates and/or analysis of this information. If CCCTA receives a request from another UCP for a site review report, it will forward the report to that UCP within seven days of receipt of the request

CCCTA will evaluate information submitted by the applicant firm and the firm's home state UCP to determine if the firm is eligible for certification in California or if there is good cause to believe that the decision made by the home state is erroneous. Eligible firms will be certified and placed in the CUCP DBE Database. If CCCTA determines there is good cause to believe the applicant firm is not eligible for certification in California, it will notify the firm of the reasons for that decision. In both cases a notice will be sent to the firm within sixty (60) days of the date when all required certification information was received.

The firm may elect to reply in writing or request an in-person hearing with the CCCTA's reconsideration official to discuss the CRA's objections to the firm's eligibility. If an in-person hearing is requested by the firm, it will be scheduled within thirty (30) days of receiving the firm's request. CCCTA will issue a written decision within thirty (30) days of receipt of the written response or the date of the in-person hearing, whichever is later.

The firm's application for certification is stayed pending the outcome of this process. The final decision by CCCTA may be appealed to the U.S. DOT Departmental Office of Civil Rights.

Specific considerations for determining these other considerations are outlined in the Regulations, as may be supplemented by written interpretations, guidance and/or procedures issued by U.S. DOT or the CUCP from time to time.

VIII. DBE CERTIFICATION PROCEDURES

A. Unified Certification Program

CCCTA is a participant in the California Unified Certification Program (CUCP), which is a reciprocal statewide DBE certification program. It is the intent of CCCTA to cooperate and participate fully in the facilitation and implementation of the CUCP.

B. Initial Certification

CCCTA will ensure that only firms certified as eligible DBEs participate as DBEs in its *DBE Program*. CCCTA will determine the eligibility of firms as DBEs consistent with standards in the Regulations. CCCTA will take the following steps in determining whether a DBE firm meets the certification standards of the Regulations.

1. Application

CCCTA will require potential DBEs to complete and submit the DBE Uniform Certification Application form approved by U.S. DOT as well as all supporting documents, including, but not limited to, the personal financial statement. CCCTA will ensure that the owner(s) of the applicant firm attests to the accuracy and truthfulness of the information on the application form. This shall be done either in the form of an affidavit sworn to by the owner(s) before a person authorized by state law to administer oaths or in the form of an unsworn declaration executed under penalty of perjury of the laws of the United States. CCCTA will review all information on the application form and supporting documentation, as well as information gleaned during the on-site review, before making a decision about the DBE eligibility of the firm.

CCCTA will safeguard from disclosure to unauthorized persons all information gathered as part of the certification process that may be regarded as proprietary or other confidential business information, consistent with the Regulations and applicable federal, state and local laws.

CCCTA will not impose an application fee for firms to participate in the DBE certification process.

2. Review of Eligibility

The CRA will take information and eligibility circumstances of the applicant firm:

- a. Determine if at least fifty-one percent (51%) of the owners are socially and economically disadvantaged.

- b. Analyze ownership and control aspects of the firm, including owner's contributions to acquire stock or ownership percentage, structure of the firm including corporate documents and partnership agreements, working relationships, delegation of major functions, bonding and financial capacity, business size standard, third-party agreements, contract and work history, preferred types of work and locations, equipment owned or available for the firm's use, licenses/permits of the firm and key personnel, and independence.
- c. Conduct an on-site visit at the firm's principal place of business, interview the principal(s) of the firm, and review their resumes and work histories. The CRA also may visit job sites in CCCTA's service area, if any, at the time of the eligibility investigation. CCCTA may rely upon the site visit reports of other U.S. DOT recipients with respect to a firm applying for certification.

The CRA will notify the applicant firm within thirty (30) days of receipt of the application whether the application form and supporting documents are complete and suitable for evaluation. If not complete and suitable, the CRA will advise what further information or action is required. If the applicant firm withdraws its application before a decision is made, the firm may resubmit the application at any time.

The CRA will make a decision on each application for DBE certification within ninety (90) days of receiving all the information required of the applicant firm. The CRA may extend this period once, for no more than an additional sixty (60) days, upon written notice to the firm, explaining the reasons for the extension. If no decision is made by the deadline, the application is deemed to be constructively denied, and the applicant firm may appeal the denial to U.S. DOT.

C. Reciprocal Certifications

When a U.S. DOT recipient in California has certified a firm pursuant to the CUCP MOA and the Regulations, CCCTA will accept that firm as an eligible DBE on its contracts. When another U.S. DOT recipient or UCP outside of California has certified a DBE firm, CCCTA has the discretion to take any of the following actions.

1. Accept the DBE certification of another recipient or UCP on a reciprocal basis.
2. Make an independent certification analysis based on documentation provided by the other recipient or UCP, augmented by any additional information CCCTA requires the applicant firm to provide.
3. Require the applicant firm to go through the CUCP's certification process without regard to the action of the other recipient or UCP.

When another recipient or UCP, in connection with its consideration of the eligibility of a firm, makes a written request for certification information CCCTA has obtained about that firm, the CRA will make the information available promptly to the other recipient or UCP.

D. Certification Period

Once CCCTA certifies a firm as an eligible DBE, it shall remain certified unless and until its certification is removed. CCCTA will not require DBEs to reapply for certification as a condition of continuing to participate in its *DBE Program*, unless there is a material change in the factual basis on which the certification was made. DBEs will be required to reapply and be certified if their certification is removed. CCCTA may conduct a comprehensive review of a certified firm, including a new onsite review, five years from the date of the firm's most recent certification or sooner, if appropriate, due to changed circumstances.

1. Notification of Change in Circumstances

A DBE firm will be required to inform CCCTA in writing of any changes in circumstances affecting the firm's ability to meet disadvantaged status, business size, management responsibilities, ownership or control requirements, or any material change in the information provided in the certification application process. Further, the firm will be required to provide supporting documentation describing in detail the nature of such changes.

Such notice of change from the DBE firm must take the form of (a) an affidavit sworn to before a person authorized by state law to administer oaths or (b) an unsworn declaration executed under penalty of perjury of the laws of the United States. The written notification shall be provided by the DBE within thirty (30) days of occurrence of the change(s). If the DBE fails to make timely notification of such changes, it will be deemed to have failed to cooperate under the Regulations.

2. Annual Affidavit of Continuing Eligibility

Every DBE firm certified by CCCTA must provide to CCCTA every year on the anniversary date of its certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership or control requirements of the Regulations or any material changes to the information provided in its application form, or the last notification of a change in circumstances. The affidavit shall affirm that the DBE continues to meet SBA business size criteria and the U.S. DOT overall gross receipts cap, documenting this affirmation with supporting documentation of the DBE's size and gross receipts. If the DBE fails to provide this information in a timely manner, it will be deemed to have failed to cooperate with the requirements of the Regulations.

E. U.S. Small Business Administration Certifications

If a firm applying for certification has a current, valid certification from or is recognized by the SBA under its 8(a) program or small and disadvantaged business (SDB) program, CCCTA will make an eligibility decision based on the firm's SBA application package in lieu of requiring the firm to complete another application. To expedite the DBE certification process, the applicant firm may complete the DBE application form and submit it with the required supporting documentation.

The applicant firm must satisfy the U.S. DOT size standards and the socially and economically disadvantaged owners must demonstrate that their personal net worth does not exceed \$1.32 million. CCCTA may ask the applicant firm for additional, relevant information. CCCTA will conduct an on-site review or may rely on the SBA's report of its on-site review.

If a CCCTA-certified firm applies to SBA, CCCTA will forward the firm's application package to SBA within thirty (30) days of receipt of a signed, written request from the DBE firm. If additional information is requested by SBA, it will be transmitted within forty-five (45) days after receipt of a written request.

F. Denials and Reapplication Procedures

When CCCTA determines an applicant firm is not eligible for certification, the CRA will provide the firm a written explanation of the reason(s) for the denial, specifically referencing evidence in the record that supports each reason for the denial. All documents and other information on which the denial is based will be made available to the applicant firm upon request. When an SBA certified firm is denied DBE certification, CCCTA will notify SBA in writing of the reasons for denial.

When a firm is denied certification because it does not meet the eligibility standards, it is required to wait twelve (12) months before it may reapply for certification, or as provided by the CUCP MOA. An applicant firm denied certification due to failure to respond to request (lack of cooperation) may reapply for certification at any time. The time period for reapplication begins to run on the date the letter of explanation is received by the firm. A firm denied certification due to failure to meet eligibility requirements may appeal this decision to U.S. DOT.

G. Removal (Decertification) Procedures

A DBE firm that no longer meets the eligibility standards, or a firm that concealed or misrepresented information during the certification process, will have its certification removed. A firm shall remain certified during the removal process.

1. Initiating Removal of Certification

a. Ineligibility Complaints

Any person may file a written complaint that alleges a currently certified firm is ineligible for certification. A written complaint must specify reasons for the allegation and include any information or arguments supporting the allegation. A general allegation or anonymous complaint will not be accepted.

As deemed necessary, the CRA will (a) review the complaint, certification records and other available information, (b) request additional information from the complainant and/or the DBE firm and (c) conduct any other investigation in order to determine whether there is reasonable cause to believe the firm is ineligible. The CRA will ensure confidentiality of complainant's identity, as specified in the Regulations.

b. CCCTA-Initiated Proceedings

The CRA will review all notifications of changes in circumstances or other information that comes to CCCTA's attention, including notification of removal actions of other U.S. DOT recipients or UCPs, to determine whether there is reasonable cause to believe a currently certified DBE firm is ineligible.

c. U.S. DOT Directive to Initiate Proceeding

A U.S. DOT agency may direct CCCTA to initiate a proceeding to remove the firm's certification because it has determined that information in the certification records or other information available provides reasonable cause to believe that a firm is ineligible. The U.S. DOT agency will provide CCCTA and the firm a notice setting forth reasons for the directive, including relevant documentation or other information.

2. Reasonable Cause to Believe a Firm is Ineligible

If the CRA determines there is no reasonable cause to believe the firm is ineligible for certification, the CRA will provide written notice to the firm and the complainant (when a complaint was filed with CCCTA), stating the reasons and referencing the evidence in the record on which each reason is based. If the CRA determines that there is reasonable cause to believe the firm is ineligible, the following steps shall be taken to remove the firm's certification.

a. Written Notice

The CRA will provide written notice to the firm that it proposes to find the firm ineligible for further participation in the *DBE Program*.

The notice shall include the reasons for the proposed removal and reference evidence in the record that supports the determination. The notice shall also include notification that the firm has the right to an informal hearing.

b. Informal Hearing

The CRA will notify the firm of the opportunity for an informal hearing so the firm may respond in person to the reasons for the proposed removal of eligibility and provide any information and arguments concerning why it should remain certified. The firm also may provide written arguments and information in lieu of a hearing. During the removal procedure, the CRA's determination must demonstrate, by a preponderance of the evidence, that the firm does not meet the certification standards. CCCTA will maintain a complete record of the hearing. If the firm appeals the final determination to U.S. DOT, CCCTA will provide a transcript of the hearing to U.S. DOT and, on request, to the firm.

c. Removal Decision

After the hearing, the CCCTA reconsideration official will make a final determination to remove or maintain the firm's certification. The reconsideration official will not base any decision to remove eligibility on a reinterpretation or changed opinion regarding information available to CCCTA at the time of its certification of the firm. The reconsideration official will base removal decisions only on one or more of the following reasons: changes in the firm's circumstances since its certification; information or evidence not available to CCCTA at the time of certification; information that was concealed or misrepresented by the firm in previous certification actions; a change in certification standards or requirements of U.S. DOT since the firm was certified; or a documented finding that CCCTA's decision was factually erroneous. When an SBA firm is decertified, CCCTA also will notify the SBA in writing, stating the reasons for removing the firm's DBE certification.

d. Notice of Decision

The CCCTA reconsideration official will provide the firm written notice of the final decision and the reasons for it, including specific references to the evidence in the record that supports each reason for the decision. The notice will inform the firm of the consequences of this decision and of the availability of an appeal to U.S. DOT. CCCTA will send copies of the notice to the complainant in an ineligibility complaint or the U.S. DOT agency that directed CCCTA to initiate the proceeding.

e. Status of Firm During Proceeding

The firm remains an eligible DBE pending a final determination by CCCTA to remove its eligibility. The firm becomes ineligible when CCCTA issues its final notice of decision to remove the firm's DBE certification.

f. Effects of Removal of Eligibility

The CRA will take the following actions upon the removal of a firm's certification eligibility.

- (1) Notify the CUCP of the final determination and update the CUCP DBE Database.
- (2) Determine whether the decertified firm is currently participating in a CCCTA contract or was included in a recent bid or proposal.
- (3) When a CCCTA contract or subcontract has not been executed before issuance of the decertification notice, the ineligible firm does not count toward the contract goal or annual overall goal. CCCTA will direct the prime contractor to meet the CCCTA contract goal with another eligible DBE firm or demonstrate to CCCTA that it has made sufficient good faith effort to do so, except where substitution is prohibited under California Public Contracts Code Section 4107.

- (4) If CCCTA has executed a prime contract or a prime contractor has executed a subcontract with a firm before it is notified of its ineligibility, CCCTA or the prime contractor may continue to use the firm on the contract and may continue to count the firm's participation toward the contract goal. CCCTA will not count toward the overall annual goal that portion of the ineligible firm's performance on the contract or subcontract after the final notice of ineligibility is issued.
- (5) If the DBE's ineligibility is caused solely by its having exceeded the business size standard during the performance of the contract, CCCTA will continue to count its participation on that contract toward the contract and annual overall goals.

g. Certification Appeals to U.S. DOT

A firm that has been denied certification or whose eligibility is removed may make an administrative appeal to the U.S. DOT. A complainant in an ineligibility complaint to CCCTA may appeal to U.S. DOT if CCCTA does not find reasonable cause to propose removing the firm's eligibility. Pending the U.S. DOT appeal decision, CCCTA's decision shall remain in effect. All appeals shall be sent to U.S. DOT at the following address: External Civil Rights Program Division, Departmental Office of Civil Rights, U.S. Department of Transportation, Office of the Secretary of Transportation, 1200 New Jersey Avenue, SE, Washington, DC 20590.

All requests for an appeal must be sent, in writing, within ninety (90) days of the final decision. The appeal request shall include information and arguments regarding why the decision should be reversed. If the appellant is a firm denied certification or whose certification was removed, its written request should include information regarding applications it has filed with other U.S. DOT recipients and its current certification status with those recipients. If the appeal is from a third party, the party will be requested by U.S. DOT to provide the same type of information. Failure to provide specific information described in the Regulations may be deemed a failure to cooperate.

Within fifteen (15) days upon receipt of a request from U.S. DOT, the CRA shall provide a copy of the complete administrative record, including a hearing transcript. If CCCTA determines it is necessary to extend the time period for submission of the administrative record, it will request an extension from U.S. DOT.

U.S. DOT will make its decision based solely on the entire administrative record, and other relevant information, without conducting a hearing. The firm and complainant shall have access to any information reviewed by U.S. DOT, consistent with federal or applicable state laws concerning freedom of information and privacy.

The U.S. DOT will affirm the decision of CCCTA if it determines, based on the entire administrative record, that the decision is supported by substantial evidence or is consistent with the substantive or procedural provisions concerning certification. U.S. DOT will reverse the decision if it determines that it was unsupported by substantial evidence or was inconsistent with certification provisions. U.S. DOT shall send written notification of its decision, including the reasons therefore, to CCCTA, the firm and any complainant.

If the U.S. DOT affirms the decision of CCCTA, no further action will be taken. If the decision is reversed, the CRA will take all appropriate actions to conform to the U.S. DOT's decision immediately upon receiving the written notice. U.S. DOT decisions are administratively final and are not subject to petitions for reconsideration. The U.S. DOT decision is binding on CCCTA and the CUCP.

IX. PUBLIC PARTICIPATION AND OUTREACH EFFORTS

CCCTA's activities managing public participation and outreach efforts are directed at assisting CCCTA to solicit public input to set its overall annual DBE participation goals and to meet the established overall annual DBE goals. In establishing an overall annual DBE goal, CCCTA will provide for the following public participation.

- Prior to finalizing the annual *DBE Report*, the CRA will consult with other U.S. DOT recipients, minority, women, and general contractor groups, community organizations, and other individuals, officials or organizations that could be expected to have information concerning the availability of disadvantaged and nondisadvantaged businesses, the effects of discrimination on opportunities for DBEs, and CCCTA's own efforts to establish a level playing field for the participation of DBEs.
- CCCTA will publish a notice that (1) announces its proposed overall DBE goals for a three-year period, (2) informs the public that CCCTA's *DBE Report* is available for inspection during normal business hours at the Civil Rights Office for a period of thirty (30) days, and (3) advises comments will be accepted by CCCTA and the U.S. DOT on the proposed goals for forty-five (45) days from the date of the notice. The notice will be distributed in general circulation and local minority-focused media, posted on the CCCTA website and at CCCTA's office in Concord, and mailed to the DBE resource agencies.
- In conjunction with CCCTA's activities to meet its overall DBE goals, CCCTA will implement various public participation and outreach activities designed to broaden awareness of CCCTA's *DBE Program* for contracts. The measures described in 49 CFR Part 26.51, focusing on race-neutral means will be actively pursued, and CCCTA will encourage its contractors to make similar outreach efforts to include DBE participation in subcontracting opportunities. In conjunction with the BOC, CUCP and other U.S. DOT recipients, CCCTA will continue to organize and offer informational programs for meeting DBE certification eligibility requirements, familiarize potential contractors with CCCTA's procurement procedures and requirements, and develop effective programs to further the inclusion of DBEs in CCCTA's contracting activities.

To: BOARD OF DIRECTORS

Date: February 7, 2012

From: Kathy Casenave, Director of Finance

Reviewed by:

SUBJECT: AUDIT ENGAGEMENT

Summary of Issues:

The FY 2011 audit was the final year of the current engagement with Brown Armstrong, CPA's. The contract was for three years, with two one year options, which CCCTA exercised. The last three times that CCCTA has gone out to bid for audit services, Brown Armstrong has been the lowest bid. The firm has provided audit services for a total of 15 years.

At the February meeting, the A&F Committee members discussed whether or not CCCTA should issue a request for proposal for audit services or negotiate a contract with Brown Armstrong without going out to bid.

The A&F Committee and staff have been satisfied with the services provided. Brown Armstrong is experienced in auditing transit properties; other clients include Santa Cruz Transit, Riverside Transit, Golden Empire Transit and North County Transit. Furthermore they would be willing to rotate staff/partners so that there would be a fresh look at our operations.

The A&F Committee had mixed views on this subject and would like the full Board to discuss and give direction to staff.

Options:

- 1) Direct staff to issue a request for proposal for audit services
- 2) Direct staff to negotiate a contract for audit services with Brown Armstrong

To: Board of Directors

Date: February 8, 2012

From: Laramie Bowron, Manager of Planning

Reviewed by:

SUBJECT: Title VI Update

Summary of Issues:

Every three years transit operators receiving Federal funding are required to complete a Title VI analysis to ensure that low-income and minority populations are not discriminated against in terms of the quality and frequency of service they receive. The availability of 2010 Census data allowed CCCTA an updated snapshot of their service area. Staff broke the data down by Census tracts and aggregated the data based on the all of the tracts touched within CCCTA's service area. According to the analysis CCCTA is providing either equal or superior service to low-income and minority populations that reside in CCCTA's service area. CCCTA serves 101 census tracts with minority populations making up 37.1% of CCCTA's service area. Census tracts within CCCTA's service area with a minority population greater than 37.1% were categorized as minority tracts. CCCTA provides 48.5% of its revenue hours to minority census tracts. The FTA requires Board approval of Title VI updates. The report and exhibits are attached to this memo.

Notable differences between 2000 and 2010 Census data include:

- Population of Service Area: Decreased by 3.6%
- Percent Minority Population: Increased by 14%
- Population Living Below Poverty Line: Increase from 4.6% to 5.7%

Since this report was presented at the February MP&L Committee Meeting, some minor, non-substantive edits were completed at Madeline Chun's request.

Action Requested:

The MP&L Committee recommends the adoption of a resolution authorizing adopting the 2012 Title VI Report.

Financial Implications:

None

Attachments:

Title VI Update and Exhibits

Central Contra Costa Transit Authority

Concord, California

Title VI Update

Date: January, 2012

Prepared by: Laramie Bowron, Manager of Planning

Background: The Central Contra Costa Transit Authority receives Federal financial assistance to provide transit services. Federal funding is received as FTA Section 5307 formula assistance and FTA Section 5309 capital assistance. CCCTA has a service area population estimated at 520,000 and is required to submit 'General and Program Specific Reporting Requirements' for a Title VI update. Title VI refers to Prohibitions Against Discrimination in Federal Programs.

I. Procedures, Policies, and Background

1. CCCTA is involved in several efforts to that enhance outreach and involvement of the low income, and minority communities:
 - CCCTA has a Transit Ambassadors program which trains people who are transit riders to provide help to other CCCTA passengers through information dissemination and one-on-one assistance negotiating the bus system.
 - CCCTA has continued its policy of conducting public hearings for fare changes and significant service changes. Spanish speaking staff is made available at public hearings. Locations and times of public hearings are designed to accommodate the transit dependent. A table of public hearings held since the previous Title VI update is provided as attachment-1.
 - CCCTA has Spanish speaking customer service staff that provides schedule information and complaint resolution. Attachment-2 shows the number of customer service calls received in Spanish during the 2011 calendar year.
 - CCCTA has a language translation service for phone calls and for web users.
2. A copy of the CCCTA Limited English Proficiency Plan is provided as attachment-3.

3. A copy of the agency procedures for tracking and investigating Title VI complaints is provided as attachment-4.
4. Since the last Title VI Update CCCTA has received 1 complaint. The complaint was received on November 28, 2011 and indicated that CCCTA had denied eligibility for paratransit service under the ADA based on discrimination of a disability. This claim was denied because it did not fall under the parameters of Title VI of the Civil Rights Act of 1964. It was deemed as an ADA complaint rather than a Title VI complaint and the complainant was advised on the appropriate way to file a complaint of discrimination based on a disability under the provisions of the ADA.
5. CCCTA currently includes information about its compliance with Title VI in the full Short Range Transit Plan updates. CCCTA has a public notice regarding CCCTA's Title VI policy on the agency's web page, system map and onboard poster.

The text of the CCCTA Title VI notice to the public is shown below:

The Central Contra Costa Transit Authority (CCCTA) operates its services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act. Any person who believes she or he has been aggrieved by any unlawful discriminatory practice under Title VI may file a complaint with CCCTA. For more information on CCCTA's civil rights program, and the procedures to file a complaint, contact 925-676-1976; email madrigal@cccta.org; or visit our administrative office at 2477 Arnold Industrial Way, Concord, CA 94520. For more information, visit www.cccta.org. If information is needed in another language, contact 925-676-1976.

II. Demographic Data:

CCCTA demographic and Service Profile Maps and Charts:

1. CCCTA has included a census tract map that shows fixed route transit service. See attachment-5.
2. CCCTA has included census tract maps that show concentrations of minority populations in our service area. See attachment-6.
3. CCCTA has included a census tract map that shows concentrations of low-income populations as defined as the percentage below the poverty level in our service area. See attachment-7.

4. CCCTA has included a chart of census tracts that show the numbers and percentages for each minority group in the service area. CCCTA serves 101 census tracts with minority populations making up 37.1% of CCCTA's service area. Census tracts within CCCTA's service area with a minority population greater than 37.1% were categorized as minority tracts. CCCTA provides 48.5% of its revenue hours to minority census tracts. All of the tracts served by CCCTA along with those that are minority tracts are provided in attachment-8.

5. CCCTA has included a chart of census tracts that show the numbers and percentages low income populations in the service area. CCCTA serves 101 census tracts with 5.7% of the population within CCCTA's service area living below the poverty line. Census tracts within CCCTA's service area with a poverty population greater than 5.7% were categorized as low income tracts. All of the tracts served by CCCTA along with those that are low income tracts are provided in attachment-9.

Note: All population and demographic data is based on Census 2010 data.

III. Additional Demographic Data from Passenger Surveys:

Survey Information on Customer Demographics and Travel Patterns.

In addition to the data provided in the above section based on Census tract analysis CCCTA has also included the most recent Onboard Passenger Survey. A summary of demographic findings is provided below and the Final Report is attached in its entirety as Appendix A:

CCCTA Data from the 2007 Onboard Passenger Survey – Transit Marketing LLC

Race/Ethnicity	CCCTA
Total	1988
White	40%
Spanish/Hispanic/Latino	23%
Black/African American	13%
Asian	19%
American Indian or Alaska Native	2%
Other	3%

Income	
Total	1988
Under \$15,000	31%
\$15,000 to \$24,999	17%

\$25,000 to \$49,999	20%
\$50,000 to \$74,999	12%
\$75,000 to \$99,999	8%
\$100,000 or higher	12%

Survey Language	
Total	1988
English	85%
Spanish	15%

The Central Contra Costa Transit Authority will be conducting a detailed passenger demographic survey in 2012. Results of this survey will be provided in the next Title VI update.

IV. System-wide Service Standards:

This section outlines system-wide service standards adopted by CCCTA in order to comply with 49 CFR Section 21.5(b)(2) and (7).

Vehicle load and on-time performance attachments include both minority and non-minority routes. Minority routes are determined by the number of revenue miles within each census tract. A minority route has more than 33% of its revenue miles in minority tracts. CCCTA’s minority routes are documented in attachment-10.

(1) Vehicle load:

CCCTA has implemented a minimum vehicle load standard based on the level of ridership necessary to justify continued transit service on a route. The current load factor standard for CCCTA is 0.44 with a minimum of 0.38 during the AM peak period. Our most recent load factor data shows a system-wide average of 0.75. The average for routes designated as minority routes is 0.79, slightly higher than the 0.67 observed for non-minority routes. This indicates sufficient vehicle capacity on routes serving minority census tracts. The range in load factors is between 0.16 for Route 649 and 1.65 for Route 96X. These numbers are based on the max load experienced in the Winter 2011 period and the average number of seats on CCCTA’s fleet. This data is derived from an automatic passenger counting (APC) system that CCCTA has recently installed allowing for more accurate and consistent data reporting. CCCTA will adopt a vehicle load maximum standard of 1.25 for the peak period and 1.00 for the off peak as the current minimum load is used to justify current service levels. CCCTA will include this in the next update of goals, objectives and performance measures in the next Short Range Transit Plan update. The most recent load factor data using the new APC system is included as attachment-11.

(2) Vehicle headway:

Vehicle headway is the time interval between two vehicles traveling in the same direction on the same route. The current headways are a result of the budget and ridership. Headways were decreased on some routes to reflect budget cuts. The standards for vehicle headways had to be broken to balance the budget. The most frequent service is generally in areas with high concentrations of low income populations or minorities. Vehicle headways are directly related to the level of service and when CCCTA evaluated service distribution to minority tracts using ArcGIS software it exceeded the population share of minority tracts within CCCTA's service area (as seen in attachment 6). CCCTA will add vehicle headway standards in the next Short Range Transit Plan update. The proposed new standards (shown below) will be evaluated before adoption to make sure they do not result in redistribution of service that is detrimental to low income and minority communities.

Density	Service Type	Period	
		Peak	Off-Peak
Medium/High Density	Local	30-minute	60-minute
	Express	30-minute	
Low Density	Local	60-minute	
	Express	60-minute	

(3) On-time performance:

The CCCTA on-time performance standard is based on the departure time from timepoints, and is defined as on time to five minutes late. In the past data was collected by staff working in the field. The current service standard is 95% on time performance. CCCTA has recently installed an automatic passenger counting (APC) system in conjunction with Ridecheck software that can generate detailed on-time reports for all timepoints. The data quality of the new system is based on 100% sample of timepoints and stops and is being used for this Title VI report. The actual on-time performance observed during the Winter 2011 period is lower than the adopted standard and is more accurate as it is a much larger sample as it reflects data from all timepoints. Routes determined to be minority routes have a higher on-time performance than those routes not serving minority populations. A table showing on-time performance by route is included as attachment-11.

(4) Distribution of transit amenities:

Transit amenities often comfort and convenience to the general riding public. Most transit amenities in CCCTA's service area are installed and maintained by

an advertising company that contracts with the local municipalities and are not controlled by CCCTA. At this time there isn't a need for a CCCTA transit amenities standard as the local jurisdictions control shelters and benches. In FY12 CCCTA will be conducting a bus stop access improvement plan that will focus on upgrading CCCTA's bus stops in a manner that benefits the most riders. This plan will also look at existing bus stops that are in minority census tracts and will provide an evaluation of bus stop conditions and amenity projects that CCCTA will pursue in coordination with local jurisdictions.

(5) Service availability:

Service availability is a general measure of the distribution of routes within a transit district. CCCTA established service equity standards. The standard evaluates service levels measured as revenue hours of service provided in each community compared to each community's share of the population, employment, higher density housing, low income population, and senior, youth, and disabled population. The title of the policy is "Equity Methodology". The policy will be adopted by the board of directors as a part of an update of the Short Range Transit Plan in summer 2012. This evaluation found that current service levels (in revenue service hours) are in compliance with the policy. A copy of the policy is included with this report as attachment-12. In addition, CCCTA has evaluated service availability to minority census tracts using ArcGIS software to ensure service equity.

V System-Wide Service Policies:

This section outlines all system-wide service policies adopted by CCCTA since the last submission.

(1) Vehicle assignment:

Title VI defines vehicle assignment as the process by which transit vehicles are placed into service on routes throughout the recipient's system. All routes operate out of one garage and there is not an issue of measuring vehicle age and quality by home garage. Bus assignment by route is a function of ridership levels (bus capacity), signage and design issues (express buses and replica trolleys), and route geometrics (turning capability). The quality of the CCCTA fleet is good and the average age is 7.6 years. All of the buses in the CCCTA fleet were built by Gillig. Nine of CCCTA's 121 fixed-route buses are hybrid diesel-electric with the remaining fleet being diesel powered. All buses include two wheelchair tie-downs and automatic passenger counters. Over 80 percent of the fleet is designed with low floors and wheelchair ramps and the rest are designed with high floors and wheelchair lifts. Bus type assignments by route are created with the goal of

providing equitable distribution of buses to meet Title VI goals. Vehicle age data is included in the following table:

Fleet Age - January 2012						
Fixed Route						
#of Buses	Description	Series	Year in Service	Age of Fleet (Yrs)	Bus Years (Age multiplied by # of buses)	
10	Heavy Duty bus - 40'	2000-2009	2000	12	120	
7	Heavy Duty bus - 30'	100-106	2001	11	77	
14	Heavy Duty bus - 40'	200-213	2002	10	140	
18	Heavy Duty bus - 30'	300-317	2002	10	180	
13	Heavy Duty bus - 35'	400-412	2002	10	130	
19	Heavy Duty bus - 40'	500-518	2002	10	190	Average
40	Heavy Duty bus - 40'	900-940	2010	2	80	Age (Yrs)
121					917	7.6

(2) Transit security:

Transit security measures have been undertaken to protect employees and the public against any intentional act or threat of violence or personal harm, either from a criminal or terrorist act. All buses in the CCCTA fleet are equipped with radios, silent alarms, and security cameras. The transit hubs CCCTA uses are generally under the control of BART stations or on private property. CCCTA has utilized funding for security improvements including improved vehicle camera systems, vehicle radio systems, and operations facility security enhancements to protect all of CCCTA’s employees. At this time CCCTA doesn’t need route or area specific transit security standards.

VI. Evaluation of Service and Fare Changes:

No fare or major service changes have taken place since the previous CCCTA Title VI Report.

VII. Monitoring Procedures and Results:

Attached are copies of the results from service monitoring, quality of service monitoring, demographic analysis, customer surveys.

- CCCTA has purchased Ridecheck plus software that increases the volume of data from the APC’s and this enables better monitoring.

- CCCTA has integrated ridership and census data using ArcGIS that allows for census analysis of service equity. Reports on on-time performance, vehicle load, and service in census tracts are attached.

VIII. Analysis of CCCTA Construction Projects

CCCTA currently has no on-going construction projects. The bus transfer facility called the Pacheco Transit Hub has been passed on to the Contra Costa Transit Authority for completion.

Attachement 1 Public Hearing Log

CCCTA Public Hearing Log - 2011 -Present	
Hearing Description	Date
Rt. 622 Public Hearing	December 14, 2011

Attachment-2 2011 Spanish Calls

Calendar Year 2011

<u>Translated Calls</u>		<u>% that were Spanish</u>	<u>Total Calls Answered</u>
January	15	100	7372
February	11	100	6437
March	11	100	6631
April	35	97	7402
May	21	100	6428
June	13	85	6948
July	21	100	6440
August	18	100	8107
September	15	100	7301
October	12	100	6985
November	10	100	6750
December	18	100	6478
Total:	200	99%	83279

Overall Average of Translated Calls per Month

CCCTA Limited English Proficiency Plan January 2012

Task 1: Identifying LEP Individuals Who Need Language Assistance

CCCTA is using the 2010 U.S. Census to identify areas with high concentrations of limited English proficiency populations. CCCTA is also using data from the 2007 On-board passenger survey, the MTC regional onboard transit survey, and working relationships with nationhood and community organizations. In CCCTA's on-board survey conducted in the fall of 2007, 14% of the surveys were completed in Spanish. Language information from the Census is included as an attachment. The MTC 2006 Transit Passenger Demographic Survey indicated that 2.2% of the surveys were conducted in languages other than English or Spanish, with Mandarin being the second third most common language.

- 1. Data collected from the U.S. Census as well as state and local demographic data;*
- 2. Information gathered from community organizations that serve LEP persons;*
- 3. Information gathered from face-to-face meetings with LEP persons or from surveys of LEP persons;*
- 4. Information gathered from interviews with agency staff who typically come in contact with LEP persons;*
- 5. Information kept by the agency on past interactions with members of the public who are LEP.*

Task 2: Language Assistance Measures

CCCTA currently has the following language assistance measures in place:

- CCCTA produces major customer information documents in both English and Spanish.
- All of the CCCTA web pages may be translated using online tools.
- Customer service staff is trained on how to use the telephone language line for over the phone translation services. This service is used on average 17 **times** per month with all of the calls in Spanish.
- CCCTA provides bilingual (Spanish speaking) staff at public hearings and neighborhood meetings.
- The Customer Service staff for both telephone and in person assistance includes bilingual (Spanish speaking) staff.

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- All public timetables include a note in Spanish on how to use the language line to get transit information.
 - System maps and riders guides are printed in both English and Spanish.
1. *A list of what written and oral language assistance products and methods the agency has implemented and how agency staff can obtain those services;*
 2. *Instructions to customer service staff and other agency staff who regularly take phone calls from the general public on how to respond to an LEP caller. (Ideally, the call taker will be able to forward the caller to a language line or to an in-house interpreter who can provide assistance);*
 3. *Instructions to customer service staff and others who regularly respond to written communication from the public on how to respond to written communication from an LEP person. (Ideally, the agency staff person will be able to forward the correspondence to a translator who can translate the document into English and translate the agency's response into the native language);*
 4. *Instructions to vehicle operators, station managers, and others who regularly interact with the public on how to respond to an LEP customer;*
 5. *Policies on how the agency will ensure the competency of interpreters and translation services. Such policies could include the following provisions:*
 - *The agency will ask the interpreter or translator to demonstrate that he or she can communicate or translate information accurately in both English and the other language;*
 - *The agency will train the interpreter or translator in specialized terms and concepts associated with the agency's policies and activities;*
 - *The agency will instruct the interpreter or translator that he or she should not deviate into a role as counselor, legal advisor, or any other role aside from interpreting or translator;*
 - *The agency will ask the interpreter or translator to attest that he or she does not have a conflict of interest on the issues that they would be providing interpretation services.*

Task 3: Training Staff

CCCTA Customer Service Staff and bus operators receive training on how to work with LEP customers as a part of their basic training.

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In this part of the language assistance plan, agencies should describe the training that is conducted to ensure that appropriate staff members know about LEP policies and procedures and are ready to provide assistance.

Task 4: Providing Notice to LEP Persons

Task 4, Step 1: Inventory the existing public service announcements and community outreach the agency currently performs.

CCCTA currently has the following LEP public service announcements and community outreach activities:

- CCCTA produces major customer information documents in both English and Spanish.
- All of the CCCTA web pages may be translated using online tools.
- CCCTA provides bilingual (Spanish speaking) staff at public hearings and neighborhood meetings.
- All public timetables include a note in Spanish on how to use the language line to get transit information.
- System maps and riders guides are printed in both English and Spanish.

Transit agencies typically communicate to the public through one or more of the following methods:

- *Signs and handouts available in vehicles and at stations*
- *Announcements in vehicles and at stations*
- *Agency websites*
- *Customer service lines*
- *Press releases*
- *Newspaper, radio, and television advertisements*
- *Announcements and community meetings.*
- *Information tables at local events.*

Some of these communications tools are geared towards riders who are using the system, while other methods are intended to reach members of the public at large, who may or may not use the transit system. Both methods can be used to inform people of the availability of language assistance.

Task 4, Step 2: Incorporate notice of the availability of language assistance into existing outreach methods

CCCTA currently provides the riders guide and system map in both English and Spanish. All public timetables include a note in Spanish that explains how to use the language line service to get additional transit information.

Agencies should consider developing non-English outreach documents that notify people of the availability of language assistance and incorporating this outreach into the public relations materials routinely disseminated by the agency. Agencies should provide notice of the availability of language assistance on a regular basis, in order to reach the greatest number of potential riders.

Agencies might, for example, decide to specify in their plan that where documents are available in languages other than English, the English version will include a notice of such availability translated into other languages in which the document is available.

Task 4, Step 3: Conduct targeted community outreach to LEP populations.

CCCTA has developed good working relationships with community groups, neighborhood groups and advocacy groups who represent the Spanish speaking community in the CCCTA service area. Much of this work was done in conjunction with the development of lifeline transportation plans.

Targeted community outreach can consist of meeting with agencies that serve LEP populations and attending community meetings and events to inform people of the agency's service in general and that language assistance is available. Your agency may wish to partner with its existing community contacts and other agencies that are seen by your audience as credible and trusted to notify the LEP population of the availability of language services. Notification can also be distributed through programs used by LEP persons, such as English classes for speakers of other languages.

Task 5: Monitoring and Updating the LEP Plan

CCCTA is currently monitors and updates its LEP Plan by reviewing customer comments and complaints related to its language assistance activities. In addition, the CCCTA Advisory Committees and Transit Ambassadors review and comment on language assistance activities. Public hearings and community outreach meetings also provide an opportunity for riders and residents to give input on methods used to target LEP populations. The customer service staff provides feedback on the language translation service effectiveness and the frequency of its use. It has not been necessary to shift the emphasis of language effectiveness in response to shifts in the population, however when a change occurs CCCTA will respond.

How frequently an agency should consult with community organizations representing LEP persons as well as the staff that is responsible for providing language assistance

Attachment 3

will depend on the size and complexity of the agency's LEP program as well as the resources available to the transit provider. Agency staff can combine meetings to obtain feedback on its language assistance program with regularly scheduled community outreach events as well as regularly scheduled staff meetings.

Transit agencies should consider conducting follow-up meetings and focus groups or surveys with the community organizations and individuals they contacted in order to develop their needs assessment. This outreach would allow agency staff to determine if there have been any noticeable changes in the demographics of the LEP population in their service area, to receive input on whether their language assistance measures and efforts to inform the LEP community of the availability of language assistance are working, and to continue to inform the LEP community of new or updated language assistance.

Agencies should also meet with staff that are in contact with LEP persons to determine whether the written and oral assistance measures are effective. Agency staff may also be in a position to comment on whether the numbers of LEP persons they have encountered are increasing or decreasing and whether they are interacting more frequently with members of a particular language group.

Agencies can conduct internal monitoring of their system to determine whether language assistance measures and staff training programs are working. Such monitoring might be best accomplished if the monitors pose as riders and observe how agency staff respond to their requests. Agencies can work with multilingual staff or community members to determine if employees are responding appropriately to requests made with limited English or in a language other than English. Section 4 of Section IV provides an internal monitoring template.

Based on the feedback received from community members and agency employees, agencies will likely need to make incremental changes to the type of written and oral language assistance provided as well as to their staff training and community outreach programs. Agencies may take into account the cost of proposed changes and the resources available to them. Depending on their evaluation, agencies may choose to disseminate more widely those language assistance measures that are particularly effective or modify or eliminate those measures that have not been effective.

Transit agencies that are expanding service into areas with high concentrations of LEP persons should consider modifying their implementation plan to provide language assistance measures to areas not previously served by the agency.

Central Contra Costa Transit Authority

Concord, California

Title VI Complaint Procedure

The Central Contra Costa Transit Authority (CCCTA) has in place a Title VI Complaint Procedure, which outlines a process for local investigation of Title VI complaints and is consistent with the guidelines found in the Federal Transit Administration Circular 4702.1A, effective May 14, 2007. This complaint procedure will be evaluated as needed.

The complaint procedure has the following five steps:

1. **Submission of the Complaint:** Any person who feels that he or she, individually, or as a member of any class of persons, on the basis of race, color, national origin, age, sex, disability, religion, or low-income status has been excluded from or denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance through CCCTA may file a written complaint with the CCCTA Manager of Planning and Service Development. Such complaint must be filed within 60 calendar days after the date the person believes the discrimination occurred.
2. **Referral to the Review Officer:** Upon receipt of the Complaint the Manager of Planning and Service Development shall appoint one or more staff review officers, as appropriate, to evaluate and investigate the Complaint, in consultation with the CCCTA General Counsel. The staff review officer(s) shall complete their review no later than 45 calendar days after the date the CCCTA received the Complaint. If more time is required, the Manager of Planning and Service Development shall notify the Complainant of the estimated time frame for completing the review. Upon completion of the review, the staff review officer(s) shall make a recommendation regarding the merit of the Complaint and whether remedial actions are available to provide redress. Additionally, the staff review officer(s) may recommend improvements to the CCCTA's processes relative to Title VI and environmental justice, as appropriate. The staff review officer(s) shall forward their recommendations to the Manager of Planning and Service Development, for concurrence. If the Manager of Planning and Service Development concurs, he or she shall issue the CCCTA's written response to the Complainant.
3. **Request for Reconsideration:** If the Complainant disagrees with the Manager of Planning and Service Development's response, he or she may request reconsideration by submitting he request, in writing to the General Manager or the General Manager's Designee within 10 calendar days after receipt of the Manager of Planning and Service Development's response. The request for reconsideration shall be sufficiently detailed to contain any items the Complainant feels were not fully understood by the Manager of Planning and Service Development. The

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General Manager or General Manager's Designee will notify the Complainant of the decision either to accept or reject the request for reconsideration within 10 calendar days. In cases where the General Manager or General Manager's Designee agrees to reconsider, the matter shall be returned to the staff review officer(s) to re-evaluate in accordance with section 2, above.

4. Appeal: If the request for reconsideration is denied, the Complainant may also submit a complaint to the U.S. Department of Transportation for investigation at Federal Transit Administration (FTA) Region IX headquarters, to the following address:

Attn: Civil Rights Officer
201 Mission Street
Suite 1650
San Francisco, CA 94105

Telephone: (415) 744-3133
FAX: (415) 744-2726

In accordance with Chapter IX, Title VI Discrimination Complaints, of FTA Circular 4702.1A, such a complaint must be submitted within 180 calendar days after the date of the alleged discrimination. Chapter IX of the FTA Circular 4702.1A, which outlines the complaint process to the Department of Transportation may be obtained by requesting a copy from CCCTA at (925) 676-1976.

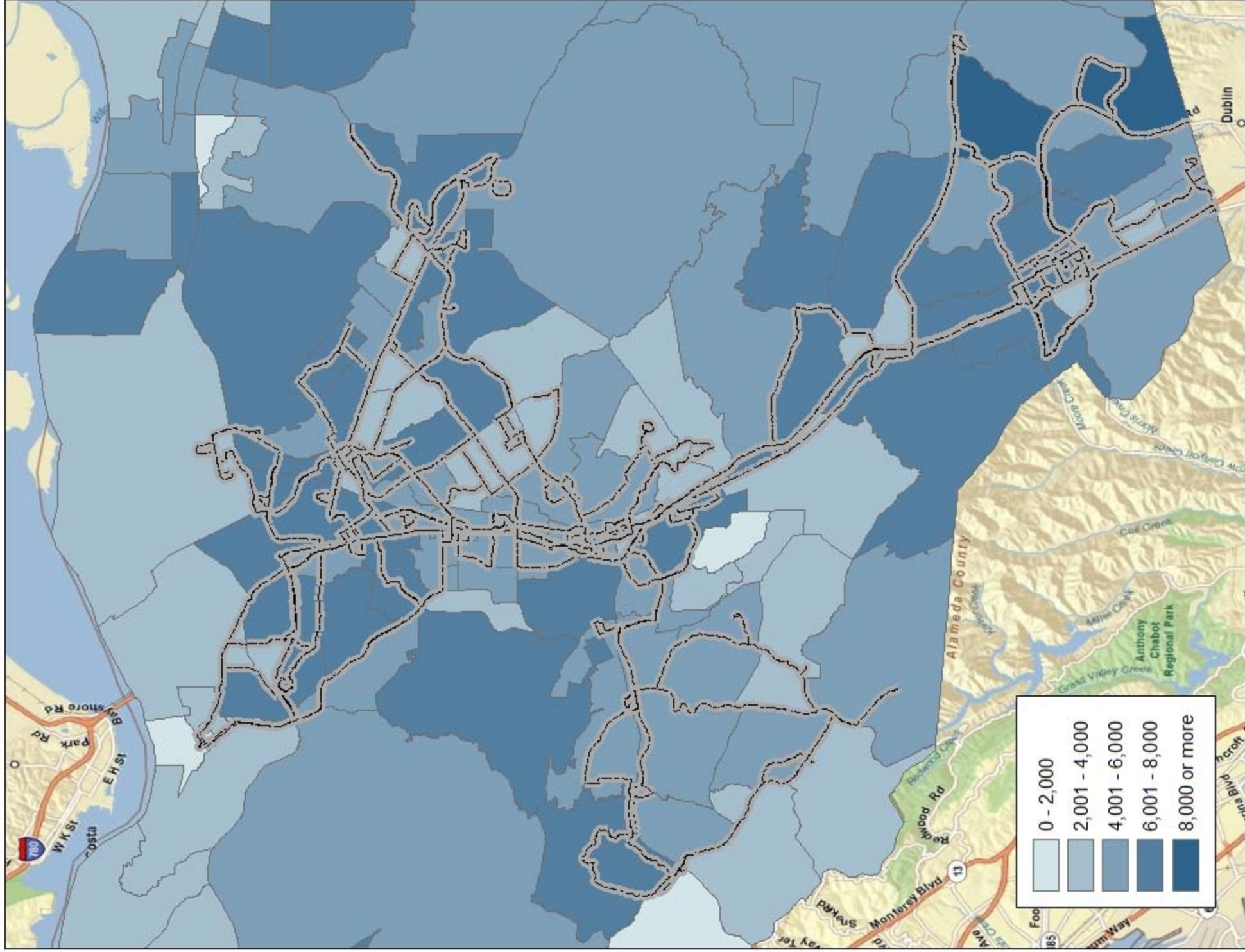
5. For more information via the internet go to:
www.fta.dot.gov/civilrights/civil_rights_5088.html.

Laramie Bowron
Manager of Planning
The County Connection (CCCTA)

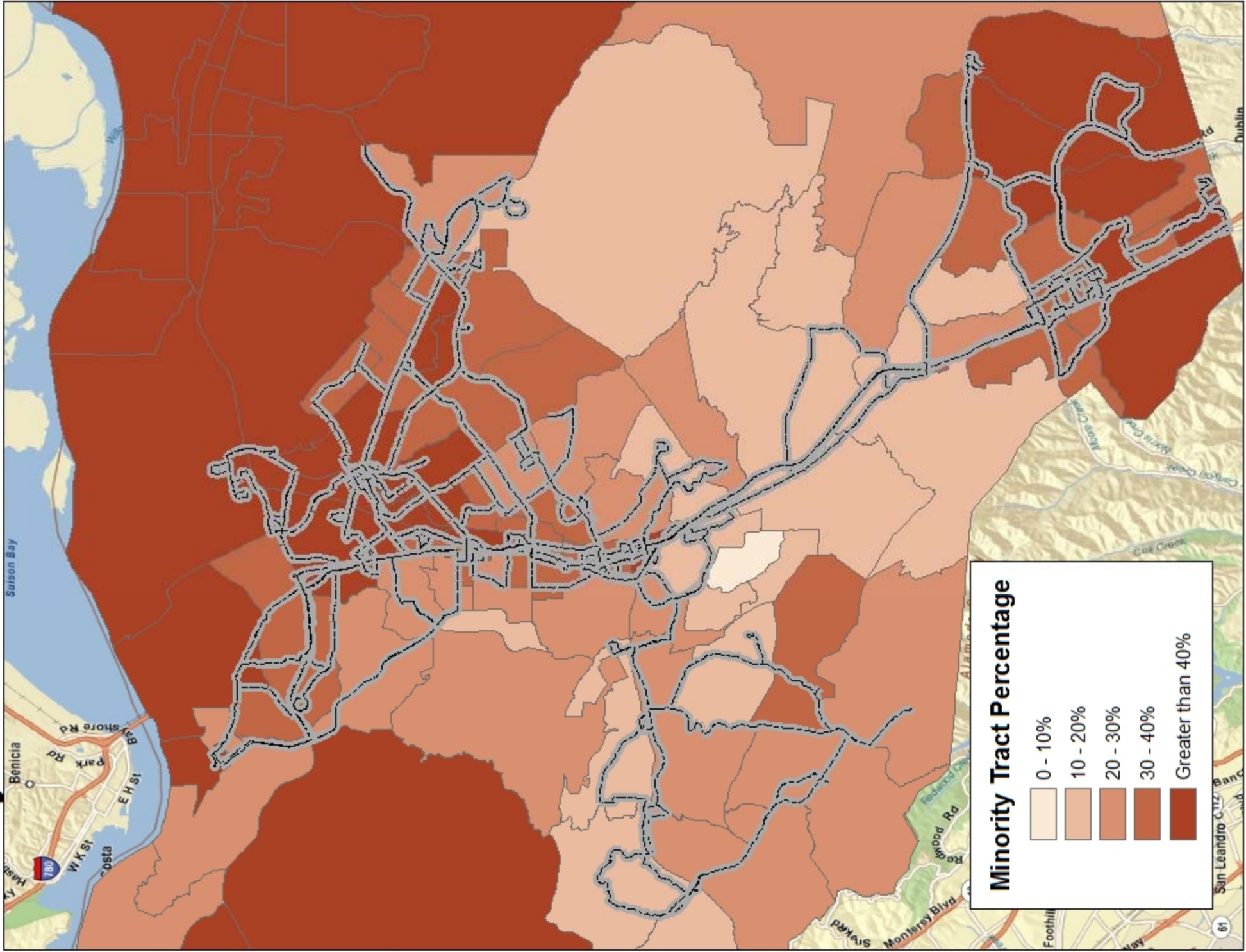
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Date

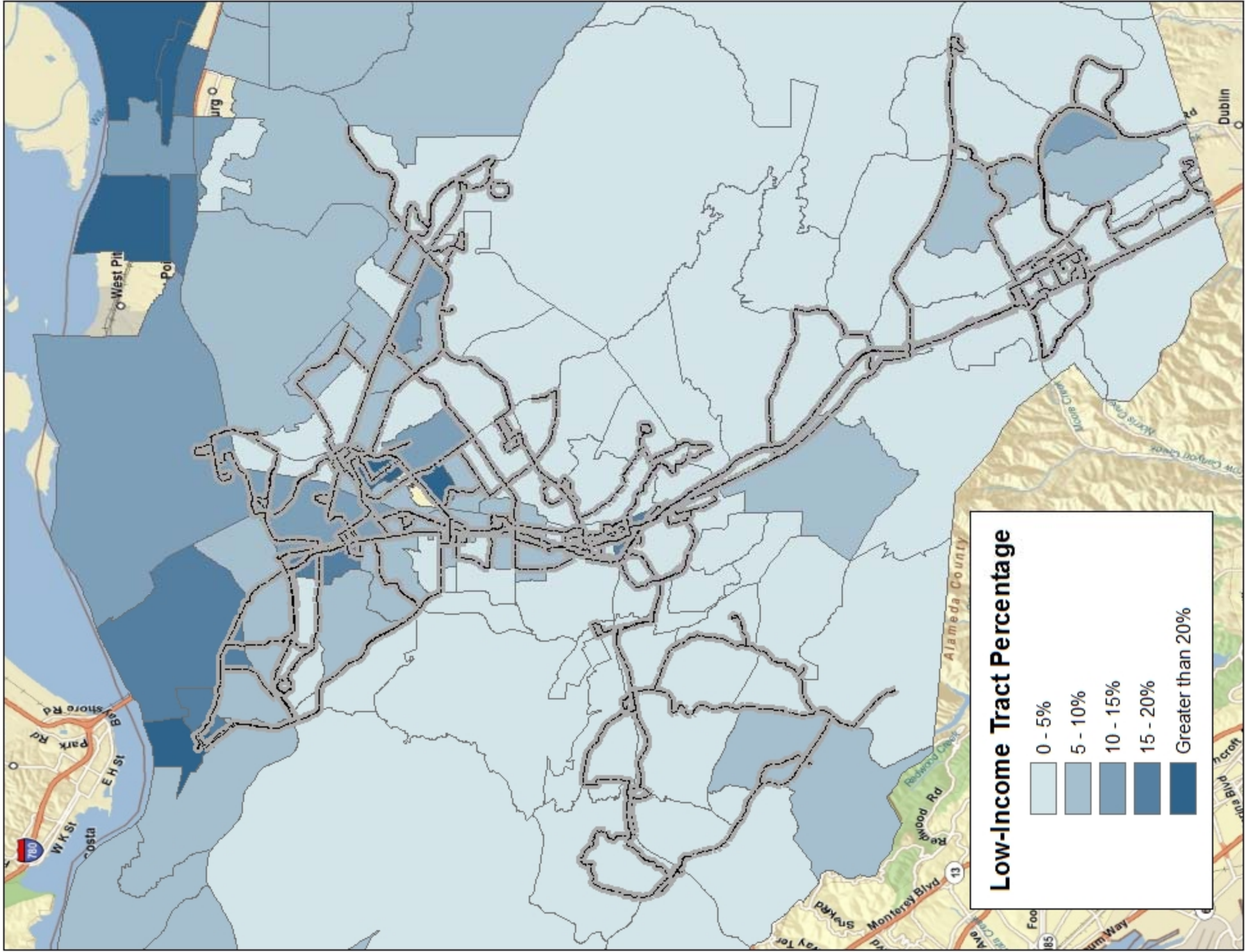
Total Population



Minority Census Tracts



Low-Income Census Tracts



Census Tracts within CCCTA's Service Area / Minority Census Tract Determination

	Total Population	White	Black or African American	American Indian and Alaska Native	Asian	Native Hawaiian and Other Pacific Islander	Hispanic or Latino	Minority Pop	Minority %
County Total	1,049,025	500,923	93,604	2,984	148,881	4,382	255,560	548,102	52.2%
CCCTA Share	519,575	326,728	13,338	1,157	78,750	1,601	77,042	192,847	37.1%

Census Tract	Total Population	White	Black or African American	American Indian and Alaska Native	Asian	Native Hawaiian and Other Pacific Islander	Hispanic or Latino	Minority Pop	Minority %	Minority Tract
3132.04	5,542	1,561	690	15	525	69	2,494	3,981	72%	Minority Tract
3150	3,281	1,450	245	19	624	23	755	1,831	56%	Minority Tract
3160	1,483	776	279	12	39	13	310	707	48%	Minority Tract
3170	2,144	1,597	50	8	69	7	326	547	26%	
3180	3,267	2,371	94	25	80	17	500	896	27%	
3190	7,412	5,105	192	46	364	38	1,354	2,307	31%	
3200.01	3,615	1,909	93	25	177	35	1,203	1,706	47%	Minority Tract
3200.03	2,805	1,844	63	19	369	3	327	961	34%	
3200.04	6,216	4,082	214	36	661	13	932	2,134	34%	
3211.01	6,549	4,418	318	10	527	11	992	2,131	33%	
3211.02	6,689	4,781	86	10	811	14	702	1,908	29%	
3211.03	4,518	3,467	59	15	321	5	466	1,051	23%	
3212	5,533	2,794	160	18	1,509	10	796	2,739	50%	Minority Tract
3220	6,085	4,269	85	12	788	4	690	1,816	30%	
3230	4,352	3,258	31	16	323	3	534	1,094	25%	
3240.01	4,615	2,650	175	11	899	19	622	1,965	43%	Minority Tract
3240.02	5,141	3,129	186	6	738	18	864	2,012	39%	Minority Tract
3250	5,514	4,204	98	12	352	7	601	1,310	24%	
3260	3,437	2,804	26	4	211	6	269	633	18%	
3270	6,695	3,507	272	25	452	44	2,137	3,188	48%	Minority Tract
3280	2,281	1,114	151	15	404	12	500	1,167	51%	Minority Tract
3290	6,309	3,140	171	21	487	68	2,158	3,169	50%	Minority Tract
3300	5,353	2,980	130	25	440	62	1,511	2,373	44%	Minority Tract
3310	7,013	4,047	198	22	779	43	1,659	2,966	42%	Minority Tract
3320	7,534	4,766	150	25	594	37	1,640	2,768	37%	
3331.01	4,091	2,504	100	22	449	15	818	1,587	39%	Minority Tract
3331.02	3,855	2,406	104	5	489	5	681	1,449	38%	Minority Tract
3332	5,926	3,771	141	13	595	22	1,166	2,155	36%	
3340.01	3,749	2,300	110	18	346	6	763	1,449	39%	Minority Tract
3340.04	7,367	3,963	305	20	1,106	27	1,563	3,404	46%	Minority Tract
3340.06	4,767	2,859	82	19	950	8	570	1,908	40%	Minority Tract
3342	6,794	5,489	88	5	540	16	421	1,305	19%	
3350	3,358	2,005	67	12	239	5	899	1,353	40%	Minority Tract
3361.01	4,802	629	329	9	342	29	3,347	4,173	87%	Minority Tract
3361.02	7,595	1,279	424	29	653	71	4,936	6,316	83%	Minority Tract
3362.01	4,032	1,187	102	5	398	46	2,205	2,845	71%	Minority Tract
3362.02	5,701	641	201	7	280	66	4,399	5,060	89%	Minority Tract
3371	3,200	1,981	64	5	407	47	560	1,219	38%	Minority Tract
3372	7,183	4,110	305	25	832	33	1,543	3,073	43%	Minority Tract
3373	6,098	4,148	98	9	1,006	8	565	1,950	32%	
3381.01	4,996	1,792	247	12	571	29	2,104	3,204	64%	Minority Tract
3381.02	3,601	2,348	54	11	411	15	572	1,253	35%	
3382.01	3,790	2,654	37	10	515	21	393	1,136	30%	
3382.03	4,564	2,960	134	11	789	25	435	1,604	35%	
3382.04	5,662	3,949	80	9	990	14	419	1,713	30%	
3383.01	2,922	2,199	15	7	463	1	162	723	25%	
3383.02	5,807	4,360	48	12	755	10	371	1,447	25%	
3390.01	3,362	1,907	155	1	569	8	570	1,455	43%	Minority Tract
3390.02	5,574	3,750	147	8	735	10	705	1,824	33%	
3400.01	5,857	3,860	127	18	717	6	884	1,997	34%	
3400.02	7,000	5,418	60	18	709	7	521	1,582	23%	
3410	4,864	3,688	56	10	450	10	436	1,176	24%	
3430.01	4,806	3,511	51	3	349	8	700	1,295	27%	
3430.02	4,380	3,381	84	8	453	7	302	999	23%	
3430.03	3,843	3,186	39	3	271	1	222	657	17%	
3451.01	5,730	3,384	142	7	1,150	6	787	2,346	41%	Minority Tract
3451.02	3,895	2,624	84	2	537	4	498	1,271	33%	
3451.03	5,062	3,356	73	16	927	18	489	1,706	34%	
3451.05	6,223	4,805	45	8	565	8	548	1,418	23%	
3451.08	7,353	4,494	154	15	1,800	14	578	2,859	39%	Minority Tract
3451.11	5,099	2,453	133	18	1,856	10	478	2,646	52%	Minority Tract
3451.12	6,513	3,186	219	11	2,264	5	520	3,327	51%	Minority Tract
3451.13	4,337	2,953	53	1	904	2	254	1,384	32%	
3451.14	6,307	5,233	50	5	507	15	342	1,074	17%	
3451.15	5,734	3,339	123	8	1,535	13	474	2,395	42%	Minority Tract
3451.16	2,859	1,858	32	5	480	25	318	1,001	35%	
3452.02	7,816	4,811	255	12	1,576	12	758	3,005	38%	Minority Tract
3452.03	6,472	5,338	39	12	340	17	523	1,134	18%	

Census Tracts within CCCTA's Service Area / Minority Census Tract Determination

3452.04	3,586	3,126	7	3	182	-	179	460	13%	
3461.01	3,433	2,717	30	2	416	1	180	716	21%	
3461.02	5,650	4,567	32	2	549	5	330	1,083	19%	
3462.01	7,181	6,129	36	5	436	4	357	1,052	15%	
3462.03	3,838	3,188	17	2	263	3	234	650	17%	
3462.04	7,278	5,525	51	16	903	9	435	1,753	24%	
3470	6,171	4,809	85	6	620	4	407	1,362	22%	
3480	4,587	3,803	20	6	384	2	201	784	17%	
3490	4,686	3,619	41	8	459	10	370	1,067	23%	
3500	5,512	4,107	74	9	659	5	395	1,405	25%	
3511.02	3,635	3,228	19	7	223	11	99	407	11%	
3511.03	1,846	1,680	8	-	119	3	22	166	9%	
3512	5,812	4,851	21	10	456	3	265	961	17%	
3521.01	3,141	2,118	113	7	408	10	321	1,023	33%	
3521.02	5,586	4,179	70	5	675	7	409	1,407	25%	
3522.01	5,750	4,076	70	5	986	12	369	1,674	29%	
3522.02	2,548	1,954	10	3	372	4	99	594	23%	
3530.01	3,521	2,673	37	3	476	10	185	848	24%	
3530.02	4,078	3,209	21	7	474	3	200	869	21%	
3540.01	1,859	1,514	21	2	154	-	69	345	19%	
3540.02	6,590	5,462	44	3	581	4	247	1,128	17%	
3551.12	5,563	4,273	115	14	642	2	345	1,290	23%	
3551.13	4,985	3,233	90	8	1,176	7	264	1,752	35%	
3551.14	11,035	5,228	221	6	4,293	14	779	5,807	53%	Minority Tract
3551.15	4,443	1,453	426	12	1,779	15	484	2,990	67%	Minority Tract
3551.16	5,664	1,323	101	4	3,708	3	246	4,341	77%	Minority Tract
3551.17	8,379	1,704	156	11	5,790	8	365	6,675	80%	Minority Tract
3552	7,444	1,438	811	12	2,995	69	1,752	6,006	81%	Minority Tract
3553.01	7,833	5,124	144	14	1,079	32	1,070	2,709	35%	
3553.02	3,484	2,410	40	5	651	-	220	1,074	31%	
3553.04	7,831	5,990	127	24	610	9	755	1,841	24%	
3553.06	4,922	3,999	50	13	207	8	487	923	19%	
3560.02	5,375	1,927	758	7	1,662	18	761	3,448	64%	Minority Tract

Census Tracts within CCCTA's Service Area / Low-Income Tract Determination

	Population for whom poverty status is determined total	Population for whom poverty status is determined below poverty level	Poverty %
County Total	1,013,854	91,142	9.0%
CCCTA Share	503,165	28,458	5.7%

Census Tract	Population for whom poverty status is determined total	Population for whom poverty status is determined below poverty level	Poverty	Low Income Tract
3132.04	5,438	523	9.6%	Low Income Tract
3150	3,535	498	14.1%	Low Income Tract
3160	552	129	23.4%	Low Income Tract
3170	1,970	326	16.5%	Low Income Tract
3180	3,098	292	9.4%	Low Income Tract
3190	7,154	710	9.9%	Low Income Tract
3200.01	3,499	617	17.6%	Low Income Tract
3200.03	2,590	184	7.1%	Low Income Tract
3200.04	5,861	379	6.5%	Low Income Tract
3211.01	6,073	271	4.5%	
3211.02	6,638	408	6.1%	Low Income Tract
3211.03	4,812	226	4.7%	
3212	5,415	999	18.4%	Low Income Tract
3220	6,181	339	5.5%	
3230	4,250	125	2.9%	
3240.01	4,431	301	6.8%	Low Income Tract
3240.02	5,283	344	6.5%	Low Income Tract
3250	5,511	231	4.2%	
3260	3,413	162	4.7%	
3270	6,557	901	13.7%	Low Income Tract
3280	2,361	180	7.6%	Low Income Tract
3290	6,045	174	2.9%	
3300	5,804	169	2.9%	
3310	7,008	326	4.7%	
3320	7,886	765	9.7%	Low Income Tract
3331.01	3,976	114	2.9%	
3331.02	4,460	368	8.3%	Low Income Tract
3332	5,965	414	6.9%	Low Income Tract
3340.01	3,637	184	5.1%	
3340.04	6,812	725	10.6%	Low Income Tract
3340.06	5,000	290	5.8%	Low Income Tract
3342	6,731	300	4.5%	
3350	3,693	239	6.5%	Low Income Tract
3361.01	4,161	865	20.8%	Low Income Tract
3361.02	7,297	1,553	21.3%	Low Income Tract
3362.01	3,662	208	5.7%	Low Income Tract
3362.02	5,367	1,477	27.5%	Low Income Tract
3371	2,999	68	2.3%	
3372	6,727	910	13.5%	Low Income Tract
3373	6,194	165	2.7%	
3381.01	4,052	825	20.4%	Low Income Tract
3381.02	3,959	224	5.7%	Low Income Tract
3382.01	3,661	148	4.0%	
3382.03	4,983	367	7.4%	Low Income Tract
3382.04	5,222	184	3.5%	
3383.01	2,805	139	5.0%	

Census Tracts within CCCTA's Service Area / Low-Income Tract Determination

3383.02	5,715	151	2.6%	
3390.01	3,754	683	18.2%	Low Income Tract
3390.02	5,203	241	4.6%	
3400.01	5,275	332	6.3%	Low Income Tract
3400.02	6,956	103	1.5%	
3410	4,858	57	1.2%	
3430.01	4,925	230	4.7%	
3430.02	4,873	167	3.4%	
3430.03	3,848	78	2.0%	
3451.01	5,545	159	2.9%	
3451.02	4,105	45	1.1%	
3451.03	5,521	84	1.5%	
3451.05	6,149	195	3.2%	
3451.08	6,978	265	3.8%	
3451.11	5,516	61	1.1%	
3451.12	5,425	328	6.0%	Low Income Tract
3451.13	4,203	282	6.7%	Low Income Tract
3451.14	6,118	163	2.7%	
3451.15	5,445	14	0.3%	
3451.16	3,080	15	0.5%	
3452.02	8,115	222	2.7%	
3452.03	6,174	304	4.9%	
3452.04	3,775	323	8.6%	Low Income Tract
3461.01	3,441	64	1.9%	
3461.02	5,673	171	3.0%	
3462.01	7,470	119	1.6%	
3462.03	3,864	170	4.4%	
3462.04	7,206	344	4.8%	
3470	5,893	88	1.5%	
3480	4,615	160	3.5%	
3490	4,618	169	3.7%	
3500	5,247	152	2.9%	
3511.02	3,572	127	3.6%	
3511.03	1,946	29	1.5%	
3512	5,901	105	1.8%	
3521.01	2,074	99	4.8%	
3521.02	4,806	16	0.3%	
3522.01	5,552	317	5.7%	Low Income Tract
3522.02	2,268	191	8.4%	Low Income Tract
3530.01	3,544	78	2.2%	
3530.02	3,990	41	1.0%	
3540.01	1,706	20	1.2%	
3540.02	6,426	147	2.3%	
3551.12	5,226	140	2.7%	
3551.13	5,027	15	0.3%	
3551.14	10,412	270	2.6%	
3551.15	3,016	325	10.8%	Low Income Tract
3551.16	3,709	44	1.2%	
3551.17	6,514	75	1.2%	
3552	5,851	334	5.7%	Low Income Tract
3553.01	7,804	251	3.2%	
3553.02	3,538	43	1.2%	
3553.04	7,722	173	2.2%	
3553.06	4,778	158	3.3%	
3560.02	5,472	175	3.2%	

Minority Route Determination						
Route	Miles			Route Determination	Hours	
	Total	Minority	Non-Minority		Minority	Non-Minority
1	13.19	0.03	13.17		0.27	137.31
2	7.36	1.17	6.19		8.18	43.41
4	2.90	0.75	2.14		59.42	168.65
5	5.52	2.59	2.94	Minority Route	25.56	29.02
6	15.48	0.00	15.48		0.00	189.67
7	15.14	0.81	14.33		9.85	174.82
9	14.21	6.71	7.50	Minority Route	105.94	118.31
10	16.43	9.44	6.99	Minority Route	114.65	84.85
11	10.91	6.82	4.09	Minority Route	61.45	36.89
14	8.17	4.81	3.37	Minority Route	119.34	83.57
15	19.28	7.44	11.84	Minority Route	59.87	95.22
16	19.81	8.40	11.41	Minority Route	115.15	156.35
17	8.11	8.11	0.00	Minority Route	98.42	0.00
18	19.80	10.32	9.48	Minority Route	87.01	79.91
19	14.12	11.90	2.22	Minority Route	61.11	11.39
20	6.58	5.57	1.02	Minority Route	222.70	40.64
21	17.47	5.64	11.83		87.69	183.98
25	10.09	0.31	9.78		1.86	58.97
28	23.43	14.48	8.94	Minority Route	95.94	59.23
35	19.67	19.04	0.63	Minority Route	196.85	6.48
36	17.13	14.20	2.93	Minority Route	127.79	26.37
91X	6.98	0.00	6.98		0.00	22.58
92X	6.36	4.52	1.84	Minority Route	53.43	21.82
93X	8.28	0.03	8.25		0.33	104.58
95X	9.98	8.81	1.17	Minority Route	65.93	8.74
96X	14.31	7.07	7.24	Minority Route	94.20	96.47
97X	10.93	9.30	1.63	Minority Route	70.28	12.31
98X	7.09	3.97	3.12	Minority Route	77.94	61.40
250	21.92	12.44	9.48	Minority Route	67.99	51.84
260	6.27	6.19	0.08	Minority Route		
301	19.53	7.82	11.71	Minority Route	7.73	11.57
310	10.13	0.03	10.11			
311	11.47	1.17	10.30		3.30	29.10
314	10.01	0.00	10.01		0.00	56.37
315	4.87	2.71	2.16	Minority Route	7.43	5.90
316	19.66	0.00	19.66		0.00	37.77
320	6.34	2.47	3.88	Minority Route	10.05	15.81
321	5.24	0.00	5.24		0.00	38.13
601	16.61	7.58	9.02	Minority Route	14.65	17.43
602	9.22	6.40	2.82	Minority Route	22.49	9.92
603	11.56	8.05	3.51	Minority Route	11.09	4.83
605	3.51	2.96	0.55	Minority Route	16.38	3.03
606	11.24	8.08	3.16	Minority Route	75.70	29.55
608	4.82	2.55	2.28	Minority Route	4.18	3.74
609	8.54	5.72	2.82	Minority Route	3.96	1.96
610	5.23	2.66	2.57	Minority Route	6.18	5.99
611	6.92	5.12	1.81	Minority Route	8.50	3.00
612	21.88	5.02	16.86		2.68	8.99
613	11.55	0.00	11.55		0.00	5.83
614	13.93	0.00	13.93		0.00	11.83
615	3.42	3.42	0.00	Minority Route	7.92	0.00
616	9.21	7.08	2.13	Minority Route	9.80	2.95
619	15.27	11.66	3.61	Minority Route	4.20	1.30
622	3.52	3.46	0.06	Minority Route	7.21	0.13
623	5.11	5.11	0.00	Minority Route	11.75	0.00
625	41.66	14.38	27.27	Minority Route	6.27	11.89
626	23.06	3.85	19.20		2.84	14.16
627	26.09	4.78	21.32		1.30	5.79
635	30.13	9.68	20.45		2.36	4.98
636	11.21	10.20	1.01	Minority Route	21.98	2.18
649	27.23	11.86	15.37	Minority Route	2.61	3.39

Miles		Hours	
Total Minority	Total Non-Minority	Total Minority	Total Non-Minority
43.9%	56.1%	48.5%	51.5%

Weekday Route					
Route	Load Factor	On-Time %	Route	Load Factor	On-Time %
Route #1	0.71	80.3%	Route #97X	0.49	72.8%
Route #2	0.36	58.7%	Route #98X	0.63	83.9%
Route #4	0.88	92.7%	Route #601	1.04	82.9%
Route #5	0.33	69.9%	Route #602	1.18	38.6%
Route #6	0.93	70.8%	Route #603	0.52	48.3%
Route #7	0.55	84.8%	Route #605	0.93	81.6%
Route #9	0.69	75.2%	Route #606	1.35	51.0%
Route #10	1.24	78.0%	Route #608	0.44	75.0%
Route #11	1.07	77.4%	Route #609	0.44	75.0%
Route #14	0.85	83.8%	Route #610	0.30	65.6%
Route #15	0.74	81.4%	Route #611	0.80	83.3%
Route #16	1.04	80.4%	Route #612	0.82	56.7%
Route #17	0.74	82.6%	Route #613	0.60	50.0%
Route #18	0.91	80.4%	Route #614	0.58	66.7%
Route #19	0.58	90.2%	Route #615	0.80	50.0%
Route #20	0.96	83.9%	Route #616	0.27	81.2%
Route #21	1.07	72.7%	Route #619	0.80	100.0%
Route #25	0.33	84.1%	Route #622	0.88	56.2%
Route #28	0.58	72.1%	Route #623	1.57	25.0%
Route #35	0.88	78.7%	Route #625	0.63	90.4%
Route #36	0.58	84.4%	Route #626	0.71	31.0%
Route #91X	0.27	88.9%	Route #627	0.85	91.7%
Route #92X	1.26	64.1%	Route #635	0.38	75.0%
Route #93X	0.99	52.8%	Route #636	1.26	62.1%
Route #95X	1.21	84.3%	Route #649	0.16	96.0%
Route #96X	1.65	70.1%			

Weekend Route		
Route	Load Factor	On-Time %
Route #4	0.70	94.4%
Route #6	0.49	88.1%
Route #301	0.27	74.0%
Route #310	0.70	81.4%
Route #311	0.54	67.6%
Route #314	0.89	76.3%
Route #315	0.29	60.7%
Route #316	0.62	73.0%
Route #320	0.55	83.5%
Route #321	0.70	61.9%

On-Time Performance	
Minority Routes	73.7%
Non-Minority Routes	72.7%
Total	73.3%

Load Factor	
Minority Routes	0.79
Non-Minority Routes	0.67
Total	0.75

Equity Methodology

Background:

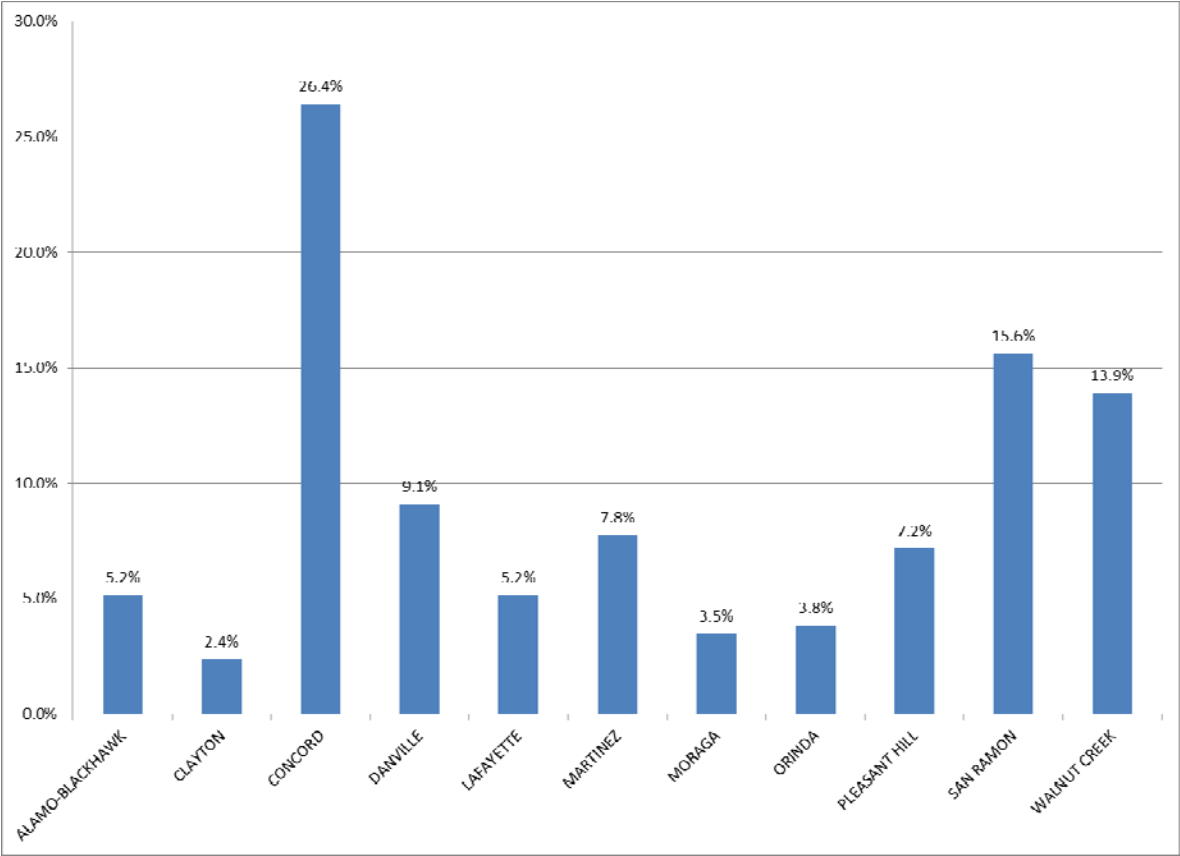
Service equity has been a major issue at the County Connection. The authority is comprised of ten incorporated communities and a significant unincorporated area. There is an interest in making sure that service is allocated fairly in the County Connection service area. There are conflicting goals to provide service based on TDA tax revenue or provide service based on existing demand or provide service based on demographic need. The initial study of this topic looked only at population to determine service equity which is how the Contra Costa County TDA revenue is allocated to transit agencies. The problem with just looking at population to guide transit service decisions is the issue that transit demand and need is not just an issue of total population. This discussion has included the concern that service be based on tax revenue but also be influenced by usage and need. After looking at a variety of methods for distributing service it was decided that population, employment, residential density and demographic factors should be used to evaluate the distribution of service.

Service Equity Factors:

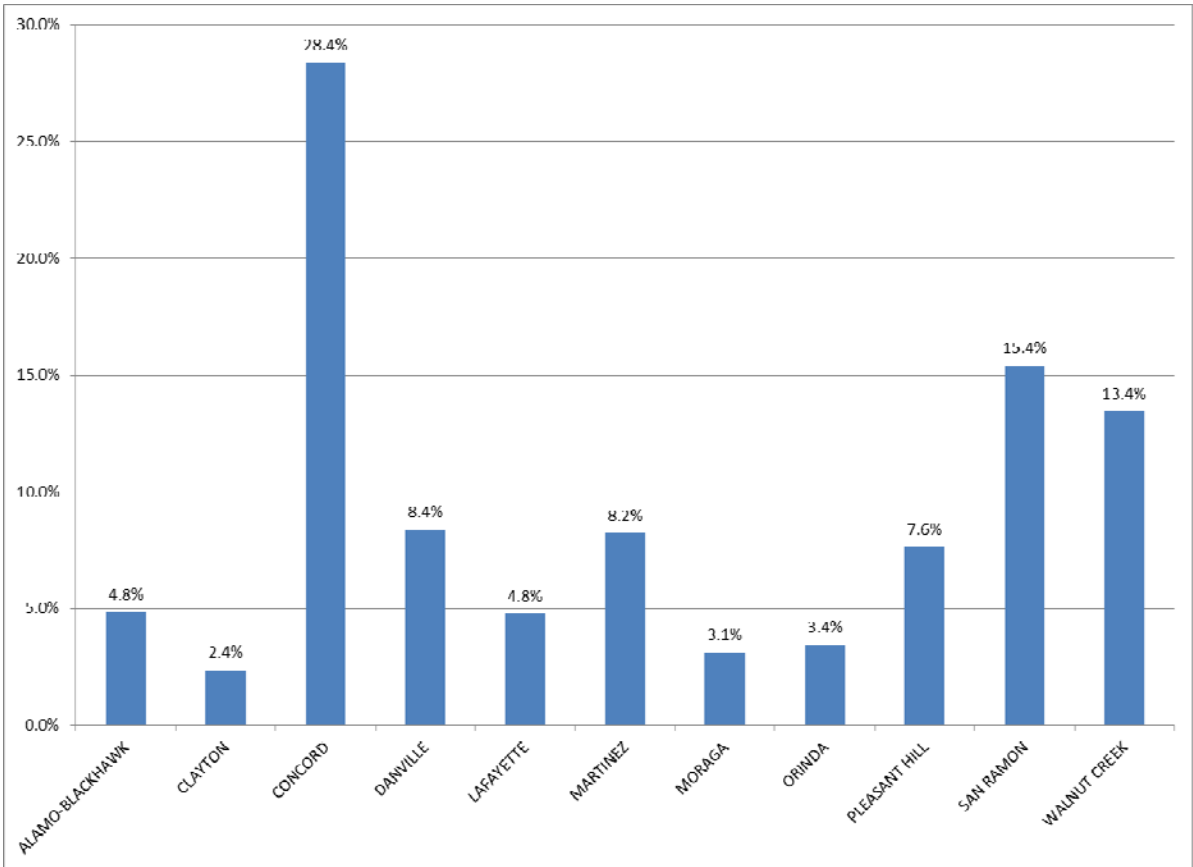
The following factors will be used in the equity analysis. Share of total population, share of total jobs, share of high density residential development, share of low income population, and share of combined youth, senior and disabled population. The data used is from 2000 and 2010 Census data. The data for the ten incorporated cities includes the surrounding unincorporated area, The Alamo/Blackhawk area is treated as an additional jurisdiction. The population of communities outside of the County Connection service area is not counted in this process. Revenue Hours of Service is the measurement of transit service provided. Revenue hours of service outside the County Connection service area were not included in this process. For example, service to Dublin/Pleasanton BART mainly benefits people living or working in San Ramon, and Danville but this service was not included in the revenue hours of service calculations. Due to the location of BART stations, some of the revenue service hours included in the Concord, Pleasant Hill and Walnut Creek totals were the result of sending buses from neighboring cities to the nearest BART station. Service to major traffic generators also influences the distribution of transit service hours. Examples of this include Diablo Valley College leading to higher service hours in Pleasant Hill, and Sun Valley Mall leading to higher service hours in Concord and Pleasant Hill. All of the factors uses in the equity study are based on the percent of the County Connection totals.

Population Share: This factor allocates transit service based on the population of the jurisdiction. To some degree the number of transit passengers is a function

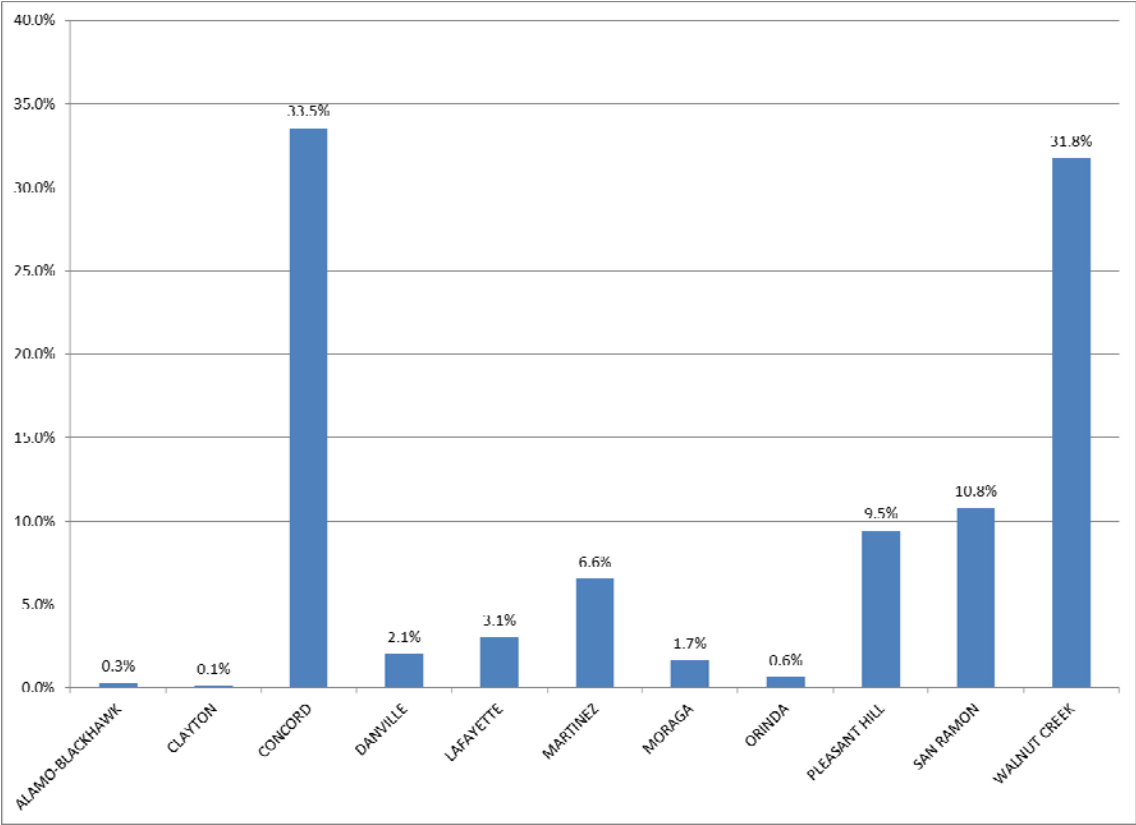
of total population. Concord (26.4%) has the largest population in the County Connection service area, followed by San Ramon (15.6%) and Walnut Creek (13.9%).



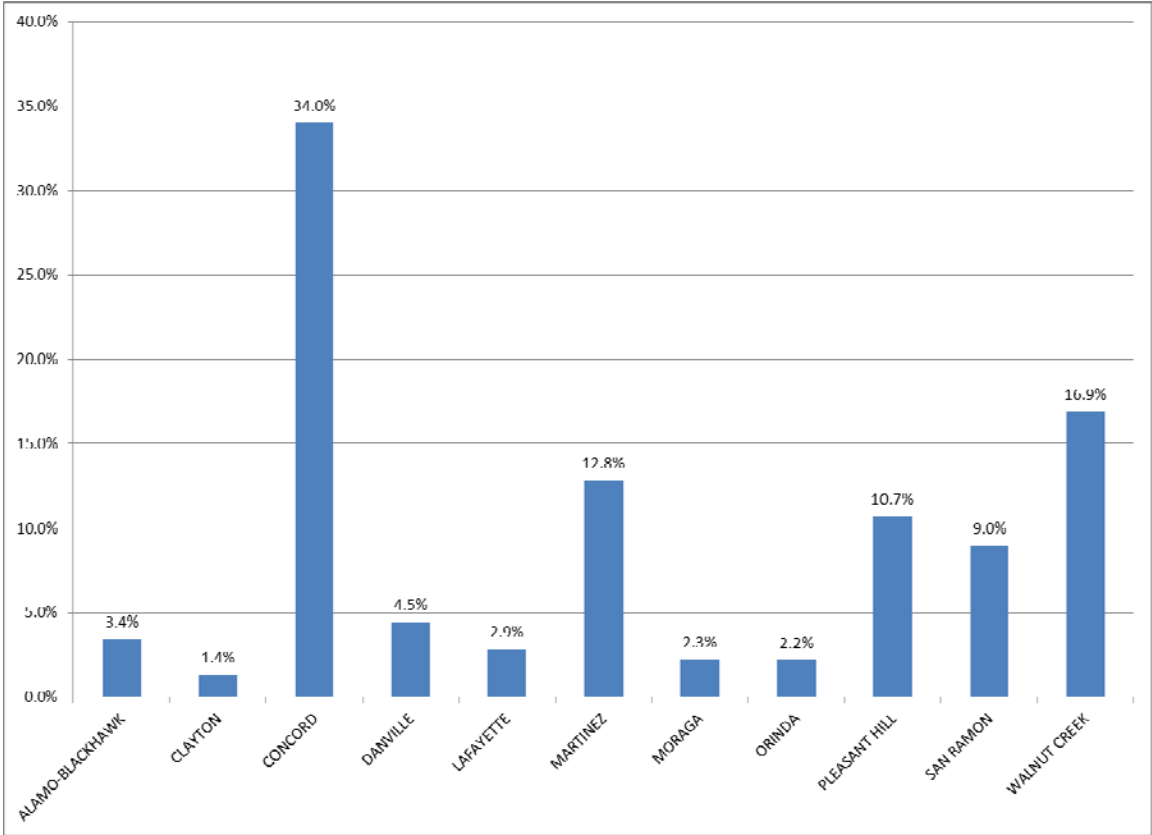
Employment Share: This factor considers the share of County Connection service area jobs in each jurisdiction. A community with a large number of jobs will generate more transit trips than a community with a small number of jobs. Jobs generate trips and a portion of these trips will be on transit. There is a benefit to a community if a large percentage of work trips are made on transit even if these transit trips are made by people living outside of the community. Part of this benefit is reduced traffic congestion in the community where the jobs are located. Concord (28.4%) has the largest share of jobs in the County Connection service area followed by San Ramon (15.4%) and Walnut Creek (13.4%).



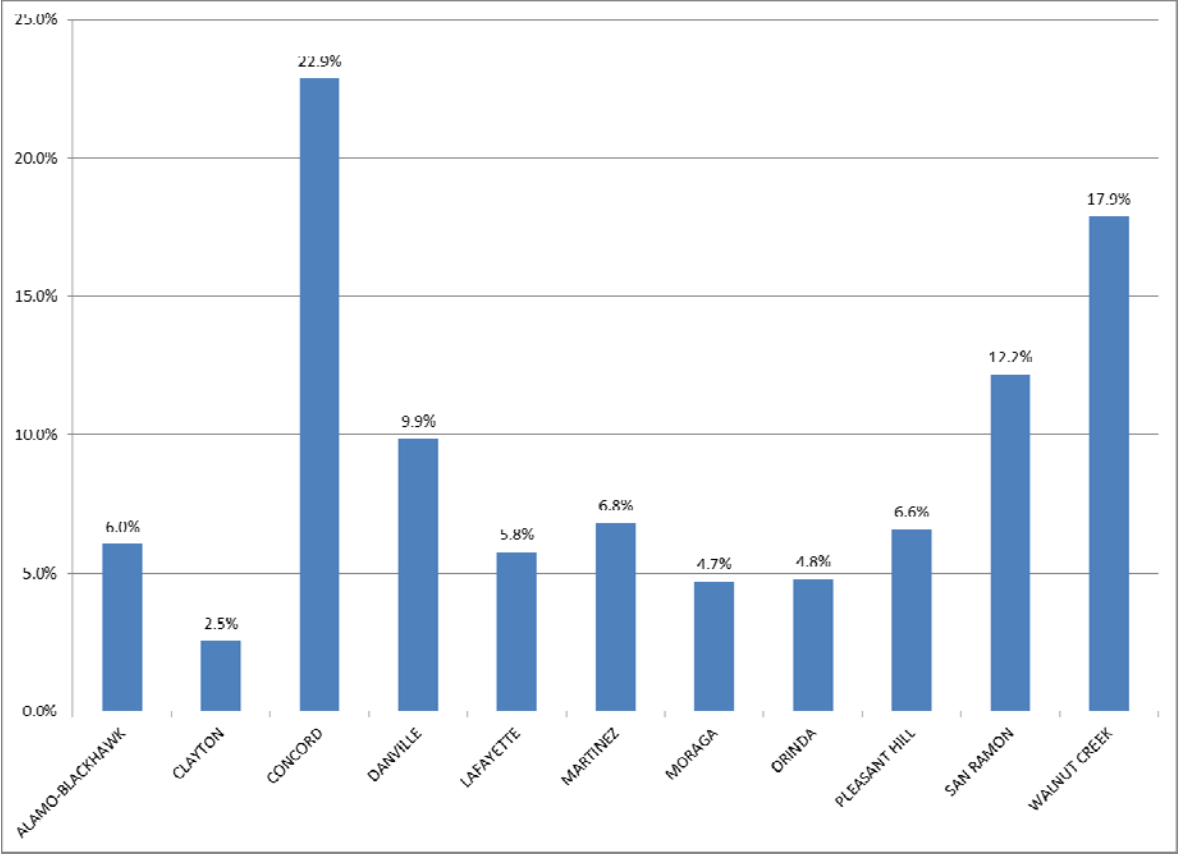
Residential Density Share: This factor considers the number of households that are in developments of three or more units or located in mobile homes. The result is a factor that considers the share of higher residential density development in each jurisdiction of the County Connection service area. Concord (33.5%) has the greatest share of higher density residential development followed by Walnut Creek (31.8%) and San Ramon (10.8%).



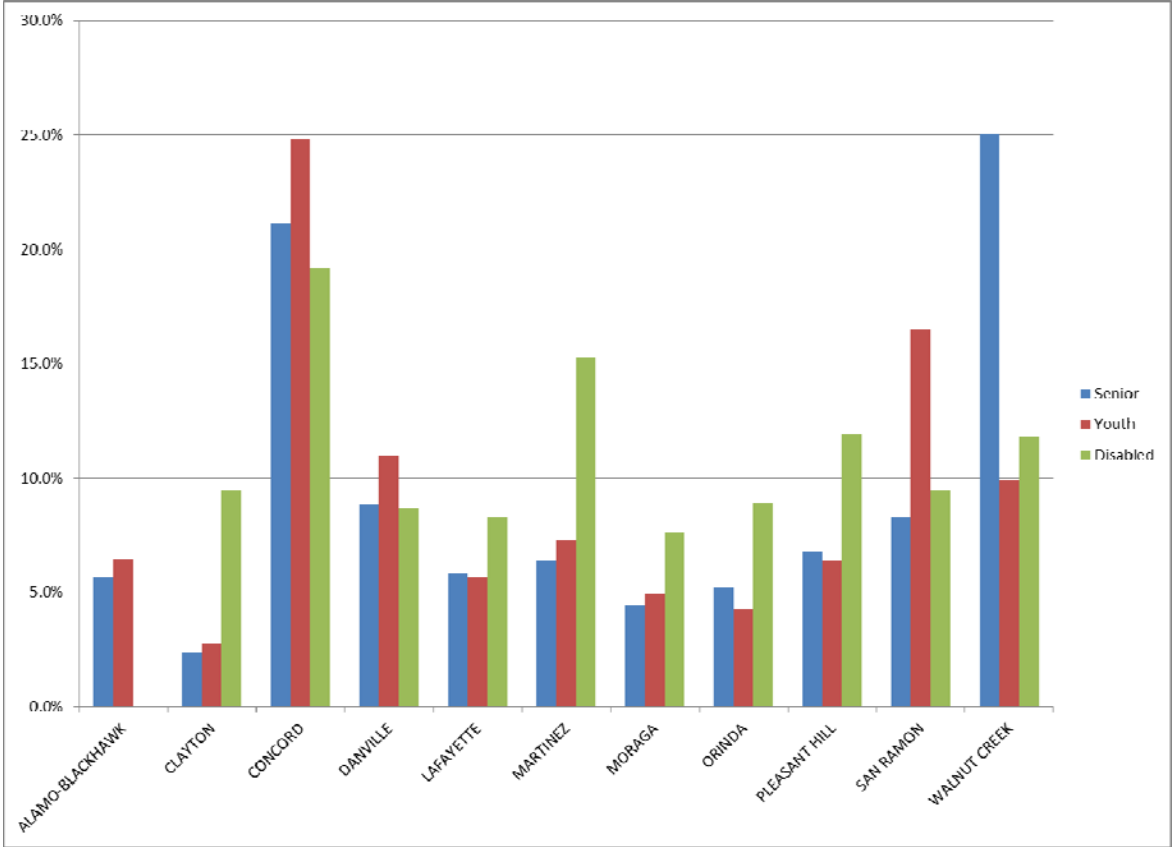
Low Income Population Share: People with lower incomes tend to be more dependent on public transportation. This factor is designed to provide more service to those with few other transportation options. For this indicator the percentage of households in the County Connection service area with an income of less than \$15,000 per year was allocated by jurisdiction. Concord (34.0%) has the greatest share of the households with an income under \$15,000, followed by Walnut Creek (16.9%) and Martinez (12.8%).



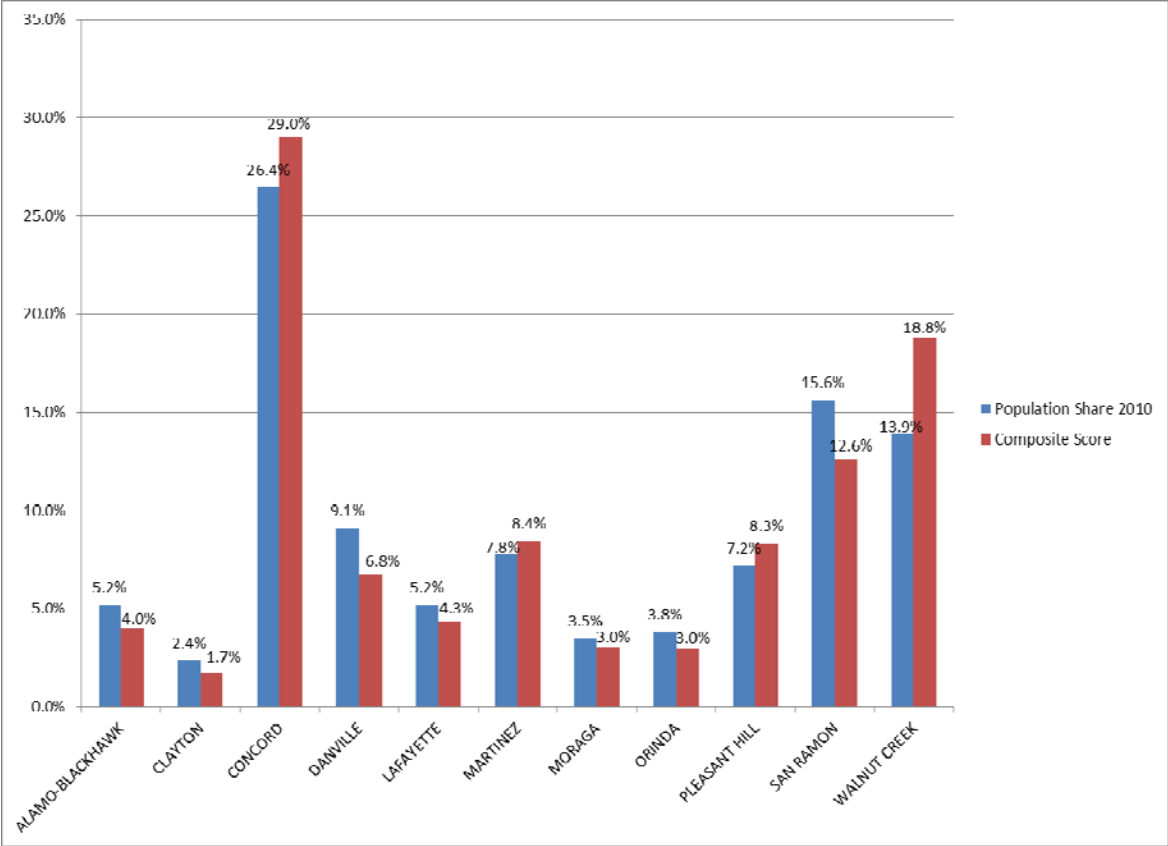
Senior, Youth, and Disabled Population Share: This factor combines the senior population (65 and over), youth population (10 to 19), and the disabled population (ages 21 to 64). These groups tend to be transit dependent. Concord (22.9%) has the largest share of this group followed by Walnut Creek (17.9%) and San Ramon (12.2%). The first graph shows the combined numbers for these three groups.

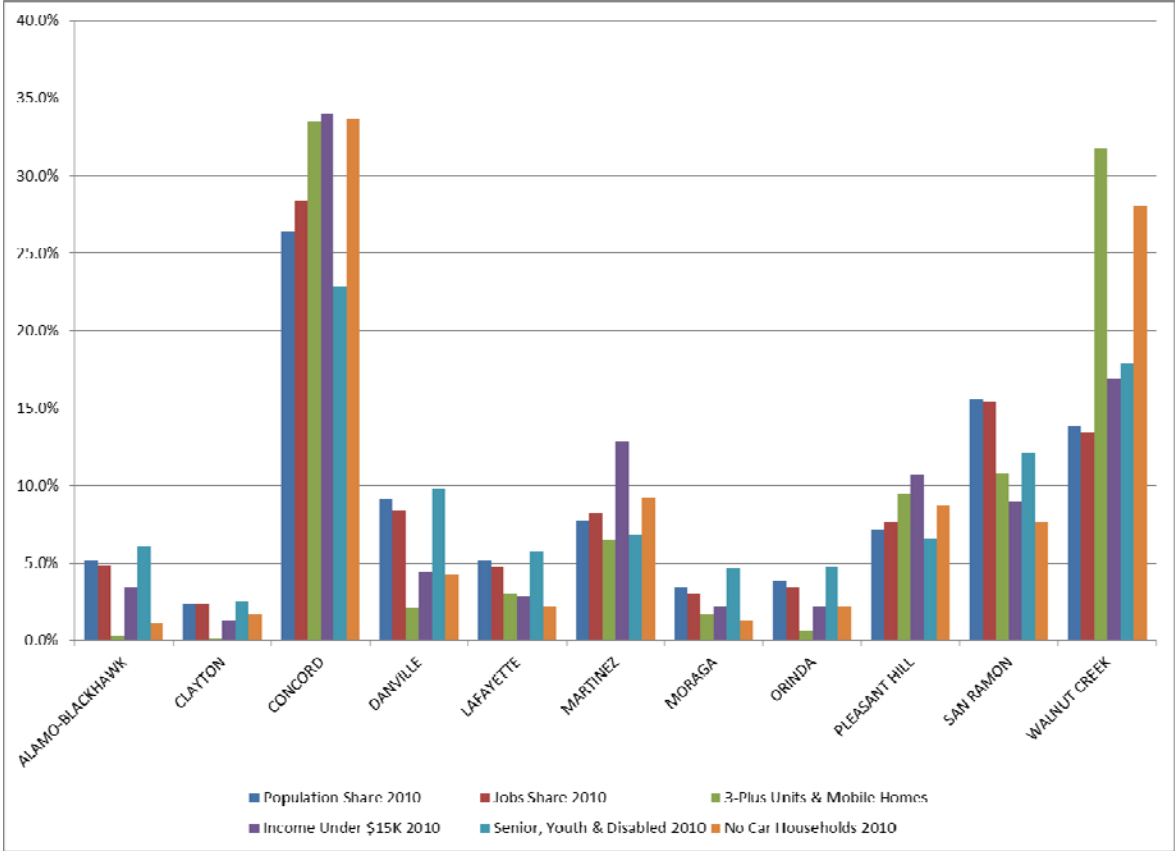


The second graph shows each group separately along with the general population share of each area. In the second graph note the impact of the large senior population of Walnut Creek and the large disabled and youth populations of Concord.



Un-weighted Combined Score: A combined score was developed by giving each of the equity factors equal weight. Compared to a method just using population Alamo/Blackhawk, Clayton, Danville, Lafayette, Moraga, Orinda, and San Ramon had their score reduced by the demographic, employment, and density factors. Concord, Pleasant Hill, Martinez, and Walnut Creek had their score increased by the demographic, employment, and density factors.



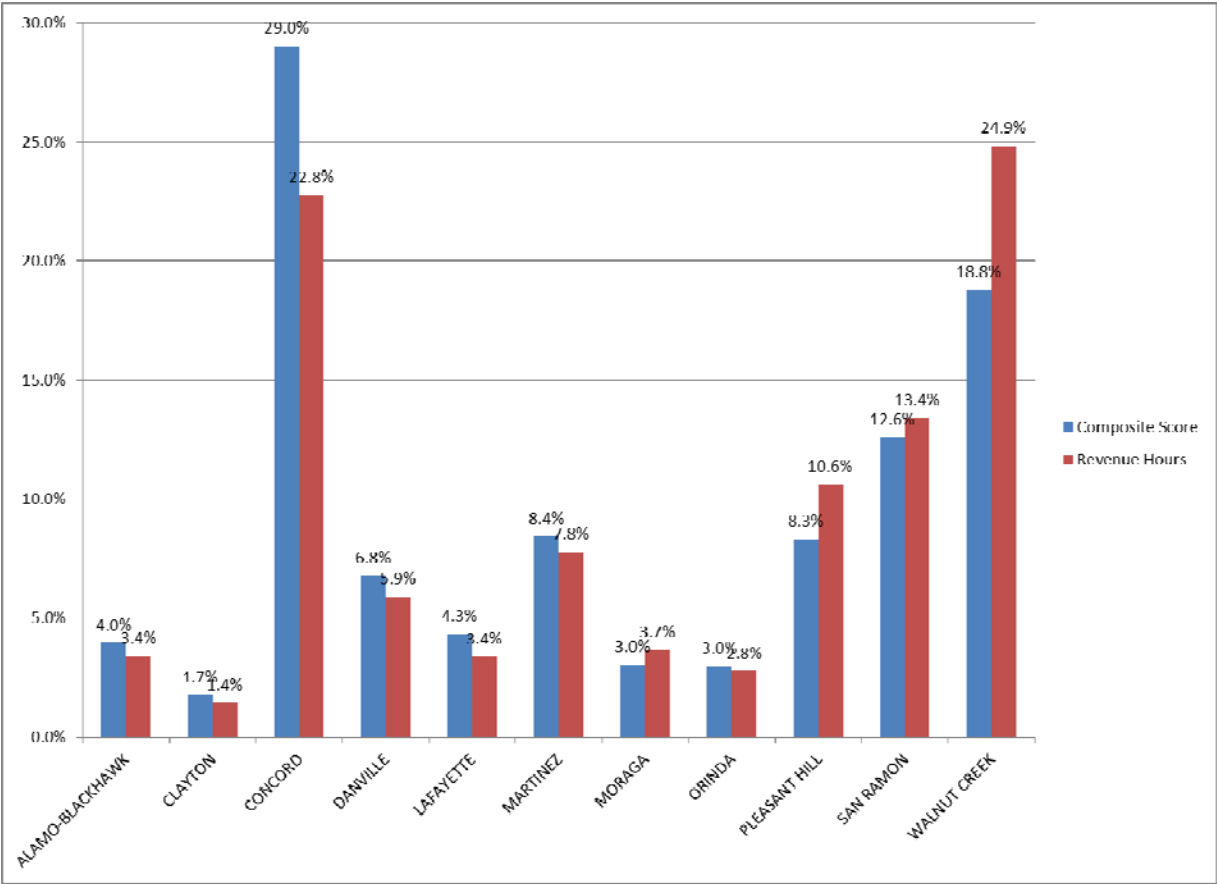


Evaluation of Equity Results:

The revenue hours of service for each jurisdiction were compared to the equity factor score. The revenue hours of service allocation was updated to separate out the Alamo/Blackhawk area and exclude service in unincorporated areas of the county. The allocation is based on percentage of local street miles each route is in each community. This percentage of local street miles is applied to the annual revenue service hours for each route. The result is an indicator of the revenue service hours operated in each community.

This analysis includes Route 4, the downtown Walnut Creek shuttle bus, even though it is heavily subsidized by the City of Walnut Creek. Other subsidized services including service to Bishop Ranch are allocated to the communities they serve.

The equity evaluation results are shown in the table below. Almost all of the communities are now served within 2% of their equity scores. All of the gaps between service levels and equity scores can be attributed to the location of major traffic generators (Broadway Plaza, Sun Valley Mall, Diablo Valley College) and transit centers at major BART stations (Concord, Pleasant Hill, and Walnut Creek).



Recommendations/ Next Steps:

Overall this evaluation shows that current County Connection service is allocated in an equitable manner. Past policies of maintaining service coverage while adjusting service levels based on productivity has resulted in a generally equitable distribution of service.

County Connection should continue to use the equity standards developed in this report to monitor service equity. This procedure combined with the County Connection Short Range Transit Plan updates, Federal Title VI reporting, and fixed route performance standards should continue to insure equitable service levels for the communities that comprise County Connection.

The goal of service equity must be kept in perspective. County Connection usage and demand is not a function of city limits or jurisdictional boundaries. There is a need for connectivity within the County Connection service area that is more important to our passengers and the public than an equity balance. As such, CCCTA's planning staff values this equity analysis but views it as one factor in system design.

RESOLUTION NO. 2012-019

**CENTRAL CONTRA COSTA TRANSIT AUTHORITY
BOARD OF DIRECTORS**

* * *

**AUTHORIZING ADOPTION OF AN UPDATED TITLE VI REPORT
FOR SUBMISSION TO THE FEDERAL TRANSIT ADMINISTRATION**

WHEREAS, the County of Contra Costa and the Cities of Clayton, Concord, the Town of Danville, Lafayette, Martinez, the Town of Moraga, Orinda, Pleasant Hill, San Ramon and Walnut Creek (hereinafter "Member Jurisdictions") have formed the Central Contra Costa Transit Authority ("CCCTA"), a joint exercise of powers agency created under California Government Code Section 6500 *et seq.*, for the joint exercise of certain powers to provide coordinated and integrated public transportation services within the area of its Member Jurisdictions; and

WHEREAS, CCCTA receives annual federal financial assistance, including funds from the U.S. Department of Transportation and its Federal Transit Administration (FTA); and

WHEREAS, every three years, FTA grantees must submit a report on their compliance with Title VI of the Civil Rights Act of 1964, specifically addressing equal access to agency benefits and services to all persons without regard to race, color or national origin;

WHEREAS, CCCTA's next Title VI report must be submitted to the FTA in March 2012 to assure continued eligibility for federal financial assistance; and

WHEREAS, the Marketing, Planning and Legislative Committee has reviewed the updated Title VI Report as developed by staff, and recommends its adoption for submission to the FTA..

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors hereby adopts the updated Title VI Report; and

BE IT FURTHER RESOLVED that the Board of Directors authorizes the General Manager, or his designee, to submit the updated Title VI Report to the Federal Transit Administration, and further authorizes the General Manager to make minor revisions in consultation with Legal Counsel as may be necessary to comply with Title VI regulations and FTA guidance, to assure continued eligibility for the receipt of federal financial assistance.

Regularly passed and adopted this 16th day of February 2012 by the following vote.

AYES:

NOES:

ABSTAIN:

ABSENT:

Amy R. Worth, Chair, Board of Directors

ATTEST:

Janet Madrigal, Clerk to the Board



Inter Office Memo

To: Board of Directors
From: Mary Burdick, Sr. Manager of Marketing

Date: February 1, 2012
Reviewed By:

SUBJECT: Appointment of Chris Learned to CAC Representing the City of Pleasant Hill

SUMMARY OF ISSUES: On December 22, 2011 the Pleasant Hill City Council approved the nomination of Chris Learned to serve as a representative on the County Connection Advisory Committee for a term ending in April 2013.

RECOMMENDATIONS: Approve the appointment of Chris Learned to serve as a representative for the City of Pleasant Hill on the County Connection Advisory Committee.

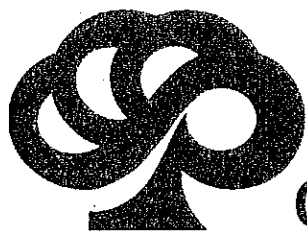
FINANCIAL IMPLICATIONS: None

OPTIONS:

1. Approve recommendation of the City of Pleasant Hill
2. Decline to approve the recommendation
3. Other action as determined by the Board

ACTION REQUESTED: Approve the appointment of Chris Learned to represent the City of Pleasant Hill on the County Connection Advisory Committee.

ATTACHMENT: Appointment letter and resume.



City of Pleasant Hill

December 22, 2011

Mr. Chris Learned
247 Twinview Drive
Pleasant Hill, CA 94523

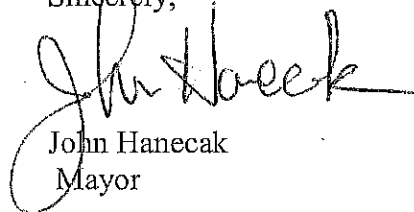
Dear Chris:

Congratulations! The Pleasant Hill City Council has recommended your appointment to the Citizens' Advisory Committee to the Central Contra Costa Transit Authority (CCCTA). Your appointment will expire in April 2013.

The CCCTA Board must ratify your appointment to the Committee. CCCTA staff will contact you directly regarding confirmation of your appointment.

We thank you for your willingness to serve in this important capacity and for your commitment to the City of Pleasant Hill.

Sincerely,



John Hanecak
Mayor

*Thank you Chris
for this new service!
(additional!)*

SUMMARY OF PERSONAL BACKGROUND

Name Learned Christopher

Address 247 Twinview Drive, Pleasant Hill, CA 94523

Home Telephone 925 296 0054 Business Telephone 925 280-3905

Occupation Manager Employer Academics Waiver High School District

Can you attend daytime meetings? Yes No Night meetings? Yes No

Are you a U.S. Citizen? Yes No

Educational Background:

High School Lyman English H.S. - OIA Graduate? Yes No

College Cal State Hayward Graduate? Yes No

Graduate School University of Phoenix

Trade School _____

Special Schooling _____

Do you live in Pleasant Hill? Yes No If yes, how many years? 12 (You must be a resident of Pleasant Hill for at least one year to qualify for appointment to the Planning Commission.)

If you are applying for the Redevelopment Advisory Commission, do you live, work or own property in Pleasant Hill's Redevelopment Area? Yes No (Preferably, 4 of the 9 members must meet this requirement)

Do you have any special skills or knowledge that you believe would be helpful in serving on the commission or committee in which you have expressed an interest? Explain.

I have seen a facilities plan for two school districts and have a very good understanding of General Plans, CEQA, and other planning. I was heavily involved with the Upper Dougherty Valley planning for school mitigation impacts.

Please indicate any further information or comments you wish to make that would be helpful in reviewing your application.

Signature [Signature] Date 5/21/10

Thank you. Return this form to: City of Pleasant Hill
Office of the City Clerk
100 Gregory Lane
Pleasant Hill, CA 94523-3323