



Northern Arizona Intergovernmental Public Transportation Authority

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NOTICE AND AGENDA OF PUBLIC MEETING AND POSSIBLE EXECUTIVE SESSION OF THE BOARD OF DIRECTORS (BOD) OF THE NORTHERN ARIZONA INTERGOVERNMENTAL PUBLIC TRANSPORTATION AUTHORITY

Pursuant to A.R.S. §38-431.02, notice is hereby given to the members of the Board of Directors of the Northern Arizona Intergovernmental Public Transportation Authority ("NAIPTA") and to the general public that the Board will hold a meeting on:

Thursday, July 16, 2015
10:00am
NAIPTA VERA Room
3773 N. Kaspar Dr.
Flagstaff, AZ 86004

Unless otherwise noted, meetings held in the Conference Room are open to the public. This is a WEB BASED meeting. Members of the Board of Directors may attend in person, by telephone or internet conferencing. Public may observe and participate in the meeting at the address above.

The Board of Directors may vote to hold an executive session for the purpose of obtaining legal advice from NAIPTA's attorney on any matter listed on the agenda pursuant to A.R.S. § 38-431.03(A)(3). The executive session may be held at any time during the meeting. Executive sessions are not open to the public, pursuant to Arizona Open Meeting Law.

Pursuant to the Americans with Disabilities Act, persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the Clerk of the Board of Directors at 928-679-8922 (TTY Service 800.367.8939). Requests should be made as early as possible to allow time to arrange the accommodation.

The agenda for the meeting is as follows:

-pages 1-4

1. CALL TO ORDER
2. ROLL CALL AND INTRODUCTIONS
3. APPROVAL OF MEETING MINUTES: 6/18/2015 and 6/22/15 -pages 5-15

4. CALL TO THE PUBLIC
The public is invited to speak on any item or any area of concern that is within the jurisdiction of the NAIPTA Board. The Board is prohibited by the Open Meeting law from discussing, considering or acting on items raised during the call to the public, but

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may direct the staff to place an item on a future agenda. Individuals are limited to a five-minute presentation.

CONSENT ITEMS:

All matters under Consent Agenda are considered by the Board of Directors to be routine and will be enacted by a single motion APPROVING THE CONSENT AGENDA. If discussion is desired on any particular consent item, that item will be removed from the consent agenda and will be considered separately. All items on the Consent Agenda with financial impact have been budgeted.

5. APPROVE RENEWAL OF LINE OF CREDIT FROM WELLS FARGO FOR \$500,000
-Heather Dalmolin, Administrative Director -pages16-17
Staff recommends the Board of Directors direct and authorize staff to renew the Wells Fargo credit line in the amount of \$500,000 to provide cash flow assistance as needed.

DISCUSSION / ACTION ITEMS:

6. SUMMER 2015 SERVICE ENHANCEMENTS PUBLIC HEARING AND CLOSE PUBLIC COMMENT PERIOD
-pages18-19
-Jacki Lenner, Marketing Manager
Staff recommends the Board of Directors: 1) conduct a public hearing to hear final comment on the proposed service enhancements and route expansion for Summer 2015 and 2) conclude the 90 day public comment period on the proposed service enhancements and route expansion for Summer 2015.
7. NAIPTA DISADVANTAGED BUSINESS ENTERPRISE PROGRAM AND GOALS
-Heather Dalmolin, Administrative Director -pages 20-48
Staff recommends the Board of Directors 1) conduct a public hearing to hear final comment on the Disadvantaged Business Enterprise Program and Goals and 2) approve the program with an overall goal of 1% and a race neutral goal of 1%.
8. APPROVE UPDATED PERSONNEL POLICY MANUAL -pages 49-65
-Heather Dalmolin, Administrative Director
Staff recommends the Board of Directors approve and adopt an updated Personnel Policy Manual to update various policies to most accurately reflect our practices and modify the vacation leave policy.
9. UPDATE THE AGENDA PACKET POLICY -pages 66-68
-Rhonda Cashman, Clerk of the Board
Staff recommends the Board of Directors review and provide direction regarding the updated agenda packet policy.



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10. KINNEY CONSTRUCTION SERVICES CONTRACT AMENDMENT – CHANGE ORDER #5 SOLAR CONSTRUCTION SERVICES -pages 69-73
-Anne Dunno, Capital Project Manager
Staff recommends the Board of Directors approve Change Order #5 to the existing Kinney Construction Services, Inc. contract in an amount not to exceed \$403,869 for solar construction.
11. KINNEY CONSTRUCTION SERVICES CHANGE ORDER #6 FOR PARKING AND DRAINAGE CONSTRUCTION -pages 74-78
-Anne Dunno, Capital Project Manager
Staff recommends the Board of Directors approve Change Order #6 to the existing Kinney Construction Services, Inc. contract in an amount not to exceed \$341,845.46 for construction of parking and drainage improvements.
12. APPROVE THIRD AMENDMENT TO TRANSITFARE AND SYSTEMS CONTRACT
-Jon Matthies, IT Manager -pages 79-82
Staff recommends the Board of Directors approve the Third Amendment to TransitFare and Systems Ltd contract for equipment upgrades to fare consoles, as well as additional contract capacity for system customization in FY2016, in the amount of \$27,900.
13. ADOPT NAIPTA PERFORMANCE MEASURES -pages 83-87
-Heather Dalmolin, Administrative Director
Staff recommends the Board of Directors adopt Performance Measures to be used by staff in development of a Strategic Plan.
14. RIDERSHIP DATA BY BUS STOP -pages 88-89
-Adam Langford, Transit Planner
Discussion only.

PROGRESS REPORTS:

15. GENERAL MANAGER'S PROGRESS REPORT
-Erika Mazza, Interim General Manager
 - NAIPTA and Flagstaff Metropolitan Planning Organization (FMPO) Coordination Update -page 90
 - Federal Funding Status Update
 - Update on Mr. Meilbeck's Return
 - Rider Encouragement Campaign Video
 - Ms. Mazza's trip to Baltimore and Washington, D.C. in late July
 - Mr. Meilbeck's Community Transportation Association of America (CTAA) – Small Urban Network (SUN) Meeting August 12-14 in Denver



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ITEMS FROM COMMITTEE AND STAFF:

16. SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS

The next Board meeting will be on Wednesday, September 16, 2015 and it will be a WebEx meeting based in Flagstaff in the NAIPTA VERA Conference room, 3773 N. Kaspar Dr., Flagstaff, AZ 86004 at 10am. The public is invited to attend. The September agenda items will include but not be limited to the NAIPTA Annual Report, Review 5 Year Plan, 5307 and 5339 Grant Applications, Driver Payback for CDL Training, Kaspar Intersection, BRT Status Update, Strategic Measures for Route Launch 8/2, Workforce Utilization Report and the Employee Satisfaction Survey. The September agenda will be available for review on NAIPTA's website and at NAIPTA's public posting places (listed on the NAIPTA website) at least 24 hours prior to the meeting, and should be consulted for a list of items that will come before the Board.

17. ADJOURNMENT



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Board of Directors Minutes for Thursday, June 18, 2015

NAIPTA
3773 N. Kaspar Dr.
Flagstaff, AZ 86004

NOTE: IN ACCORDANCE WITH PROVISIONS OF THE ARIZONA REVISED STATUTES THE SUMMARIZED MINUTES OF NAIPTA BOARD MEETINGS ARE NOT VERBATIM TRANSCRIPTS. ONLY THE ACTIONS TAKEN AND DISCUSSION APPEARING WITHIN QUOTATION MARKS ARE VERBATIM.

The Board of Directors met in Regular Session on Thursday, June 18, 2015 at 10:00 am in the NAIPTA VERA Room, 3773 N. Kaspar Dr., Flagstaff, AZ 86004.

This was a WEB BASED meeting. Members of the Board attended in person, by telephone or internet conferencing. The public was invited to observe and participate in the meeting at the address above.

PRESENT:

BOARD MEMBERS PRESENT:

Art Babbott (Vice Chair), Board of Supervisors, Coconino County;
Celia Barotz, City Council, City of Flagstaff;
Rich Payne (Chair), Director of Residence Life, NAU;
**Three of our five Board member seats must be present to constitute a quorum.*
***The City of Flagstaff holds two seats.*

BOARD MEMBERS EXCUSED:

Scott Overton, City Council, City of Flagstaff;
Al White (Secretary), CCC, designee;
Karla Brewster, City Council, City of Flagstaff, alternate;
Matt Ryan, Board of Supervisors, Coconino County, alternate;
Rich Bowen, Associate Vice President for Economic Development, NAU, alternate;
Dr. Leah Bornstein, President, CCC

NAIPTA STAFF IN ATTENDANCE:

Erika Mazza, Interim General Manager;
Heather Dalmolin, Administrative Director;
James Wagner, Operations Director;
Jacki Lenner, Marketing Manager;
Jon Matthies, IT Manager;
Anne Dunno, Capital Project Manager;
Adam Langford, Transit Planner;
Stephanie Stearns, Assistant Transit Planner;



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Rhonda Cashman, Clerk of the Board;
Fredda Bisman, NAIPTA Attorney (via WebEx)

GUESTS PRESENT:

Nicole Cordon, Flagstaff Resident – Left at approximately 10:18am;
Andy Bertelsen, Public Works Director, Coconino County, TAC designee – Left at approximately 11:15am

1. CALL TO ORDER -Chair Payne called the meeting to order at 10:11 am.
2. ROLL CALL AND INTRODUCTIONS
3. APPROVAL OF MINUTES 5/21/2015
Director Barotz moved to approve the May 21, 2015 Joint Meeting minutes. Vice Chair Babbott seconded. All approved, none opposed. Motion carried.
4. CALL TO THE PUBLIC
Ms. Nicole Cordon, a Flagstaff Resident, stated her concerns over loose cinders and small rocks near bus stops. This is very dangerous for her and other people in wheelchairs. A couple weeks ago she slid into the street when trying to get to the bus stop. She could not identify any specific locations where cleanup was needed, and noted that the one such site she was aware of had been cleaned up. Ms. Mazza noted Mr. Langford, our Transit Planner, is already working with Ms. Cordon to bring her concerns forward to the Pedestrian Advisory Committee and the Transportation Commission. NAIPTA staff is working to make sure our bus stops and the area around our bus stops are clean. The call to the public was closed at approximately 10:18am.

DISCUSSION / ACTION ITEMS:

5. ADOPT THE FY2016 BUDGET
-Heather Dalmolin, Administrative Director
Staff recommends the Board of Directors adopt the FY2016 budget of \$18,669,478 as reviewed at joint meeting in May 2015. The budget supports operation of Mountain Line and Mountain Lift on behalf of City of Flagstaff, Mountain Link on behalf of City of Flagstaff/Northern Arizona University, and Mountain Lift Taxi Voucher Program and Vanpool Program on behalf of Coconino County.

Ms. Dalmolin reviewed a PowerPoint presentation with the Board. She noted she made a correction to the total amount of the budget that was reviewed and approved by City staff, but she forgot to change the amount in the recommendation. The line by line budget in the agenda packet does show the correct numbers. The amended overall budget amount is \$19,184,636. The change resulted from projects transferred from FY2015 to FY2016. She also pointed out an increase in the County Taxi Voucher Program was budgeted, but not fully funded by Coconino County. NAIPTA staff plan to seek an alternative source of funding to meet the demand of this program. Vice Chair Babbott explained the reason this program was not fully funded was the County budget



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was held flat and compelling evidence would be warranted to demonstrate need, outcome and efficiencies to increase the program. He felt a closer look at the program and a larger discussion are needed before attempting to double the program when all other programs are held flat and he also indicated that the other County funded program, vanpools, is currently underutilized. Ms. Mazza stated she spoke with other County Board of Supervisors and they agreed, a work session to evaluate the taxi voucher and van pool programs was important. Ms. Dalmolin showed the FY2016 Operating Budget, the Trend Fund Balance Projection per the City of Flagstaff and the FY2016 Performance Targets on screen. Chair Payne asked what is driving down our total cost per hour. Both Ms. Dalmolin and Ms. Mazza responded noting the recent efficiencies put in place by operations are having the most impact. Chair Payne missed the Joint meeting. He asked if there were any concerns voiced about the budget at that time which were not reflected in the meeting minutes. Vice Chair Babbott noted any concerns voiced at the Joint meeting were primarily due to long range planning and fiscal responsibility during the tax initiative discussion. Vice Chair Babbott moved to approve the FY2016 NAIPTA Budget in the amended amount of \$19,184,636 which supports the operation of Mountain Line, Mountain Lift and Mountain Link as well as the Mountain Lift Taxi Voucher Program and the Vanpool Program on behalf of our partners. Director Barotz seconded. There was no further discussion. All approved, none opposed. Motion carried.

6. BOD ELECTION OF OFFICERS

-Rhonda Cashman, Clerk of the Board

Staff recommends the Board of Directors elect officers for FY2016.

Ms. Cashman reported all current officers are eligible to serve for another term. Dr. Bornstein will be leaving CCC in mid-July and notification should be received as soon as her interim replacement is appointed. Chair Payne noted he would be willing to turn over the chairmanship to another, but he is also willing to serve another term if needed. Vice Chair Babbott expressed the trend of past Chairs serving for two terms. Director Barotz nominated Chair Payne for another year. Vice Chair Babbott seconded. All approved, none opposed. Motion carried. Chair Payne nominated Vice Chair Babbott and Secretary White to serve another year in their respective positions. Director Barotz seconded. All approved, none opposed. Motion carried.

7. MEETING CALENDAR REVIEW

-Rhonda Cashman, Clerk of the Board

Staff recommends the Board of Directors review and provide direction regarding the FY2016 Meeting Calendar.

Ms. Cashman explained there is a Board member who has a conflict with the majority of our meetings. It does not make sense to hold meetings on Mondays and Fridays due to the possibility of extended weekends. The third week of the month is needed to allow for adequate time between TAC and Board meetings to bring the most up-to-date information to members. The Board was asked to consider the alternatives. The



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consensus was to move the Board meeting back to the third Wednesday of the month at 10am. Staff was directed to verify if this date and time will work for the two members not present. If the meeting day is being moved, it should be effective starting in September. The July meeting dates are already set and there are no August meetings. Vice Chair Babbott mentioned he would not be available for the July Board meeting due to his attendance at the National Association of Counties (NACo) Annual Conference.

8. ADOPT UPDATED TITLE VI CIVIL RIGHTS PROGRAM

-Heather Dalmolin, Compliance and Auditing Manager

Staff recommends the Board of Directors adopt the updated Title VI Civil Rights Program Section 1: Title VI Notice to the Public to correct Exhibit 1 Notices and Locations.

Ms. Dalmolin noted this program was last approved in February 2015. Since that time staff has decided the Title VI language should to be removed from our shelter posters to make room for more stop specific information. The Title VI language is still on signs in the buses, posted at the connection centers, at our office, on our website and in our rider guides. This change to the program is necessary because the Federal Transit Administration (FTA) requires us to post the information where we say we will post it. Vice Chair Babbott noticed the Title VI Program and possibly the EEO Program are missing gender identification and sexual orientation as protected groups. Ms. Dalmolin apologized for the oversight. She will revise the language and include those groups. Director Barotz moved to approve the Title VI Civil Rights Program as presented with the noted correction suggested by Vice Chair Babbott. Vice Chair Babbott seconded. All approved, none opposed. Motion carried.

9. ADOPT NAIPTA REPAIR AND SERVICE AGREEMENT

-Heather Dalmolin, Administrative Director

Staff recommends the Board of Directors approve a Repair and Service Agreement that NAIPTA can use with other government entities and non-profit agencies to provide repair and maintenance service of the vehicle Braun Lift (wheelchair lift).

Ms. Dalmolin reported some local human service agencies have contacted NAIPTA about contracting for maintenance of their vehicles. Staff priced garage keepers insurance if NAIPTA was to take on this work, and determined that the cost of such insurance would be prohibitive. It is really not the business we are in, but in the interest of community mobility, some further checking was done, including conversations with City staff and NAIPTA's insurance broker, who believe that the likelihood of liability arising from such repairs is low. The proposed agreement is intended to create a barrier of liability. There are still risks involved and outlined in the staff report. The repairs considered are wheelchair lift repairs of only Braun Lifts, as this is the certification held by our mechanics. The demand is expected to be minimal and it will promote mobility coordination efforts and partnerships, especially since no one else offers these services in Flagstaff. As noted, the risk is considered to be low. Entities



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entering into this agreement must name NAIPTA as an additional insured on their insurance policies. Ms. Mazza stated the vehicle maintenance sharing conversation is evolving with human service agencies. It always seems to boil down to the insurance issue. NAIPTA would not be competing with other private businesses. Only other public or non-profit agencies would be able to contract with NAIPTA for this service. Vice Chair Babbott said he is sure there are handicapped individuals out there that find they face this issue as well. Chair Payne mentioned possible further extension of this service to individuals in the future. Ms. Dalmolin noted that this service is a bridge to possibly expanding maintenance and repair services, but due to federal funding limitations, care must be taken not to compete with private service providers. Service of NAIPTA vehicles will take priority over lift repairs for outside entities. Director Barotz said if all known steps are being taken to protect NAIPTA, she supports this effort. Ms. Bisman noted that the indemnity language is of limited value, because the entities are unlikely to have adequate resources to protect NAIPTA, and it is therefore particularly important there is adequate insurance and that NAIPTA is named as an additional insured. Vice Chair Babbott moved to approve the repair and service agreement for the Braun Lift as presented. Director Barotz seconded. There was no further discussion. All approved, none opposed. Motion carried. Vice Chair Babbott asked what labor rate would be charged. Ms. Dalmolin replied it would be approximately \$80 per hour.

Andy Bertelsen left the meeting at approximately 11:15am.

10. NAIPTA DISADVANTAGED BUSINESS ENTERPRISE PROGRAM AND GOALS

-Heather Dalmolin, Administrative Director

Staff recommends the Board of Directors approve a Disadvantaged Business Enterprise Program and Goals with an overall goal of X% and a race neutral goal of X%.

Ms. Dalmolin stated FTA found missing elements in our program approved by the Board last summer. Our program was based on the Arizona Department of Transportation (ADOT) program. ADOT was not able to provide their program methodology. Staff decided our market is different, so NAIPTA plans submit our own program. Ms. Dalmolin asked for action to be delayed until July and a public hearing be held at the July Board meeting. Our base vendor pool is identified as those within the State of Arizona. Our vendors need to be certified and there are very few in Northern Arizona. The overall goal was suggested to be 1% and race neutral. Our federal funds are at risk without approval of this program. Ms. Mazza noted 1% seemed low, but it is consistent with what she has seen for other transit agencies. The ADOT draft study shows 33% are minority or women owned businesses, but only 7% are certified. Keene Industries did their study. Ms. Dalmolin said NAIPTA did meet the 1% goal this year. This item will be brought back next month.

11. TRANSIT TAX DIRECTION FROM MAY 21, 2015 JOINT MEETING

-Erika Mazza, Interim General Manager



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Staff recommends the Board of Directors provide NAIPTA with direction on a Work Plan for the Transit Tax Initiative.

Ms. Mazza presented a brief overview in PowerPoint format. There seemed to be general agreement that the best date to go to the voters is the November 2016 general election. The question of what tax rate we are seeking was not answered; however, it was suggested to form a Citizen Review Committee (CRC) to explore this topic. Chair Payne asked if there could be a base rate and another requested rate separately on the ballot and Ms. Mazza replied that is possible. The final question of the duration of the tax rate needs to be discussed further. Next steps were reviewed. Ms. Mazza asked for confirmation from the Board that her comments accurately reflected the May 21st Joint Meeting discussion. They confirmed. Vice Chair Babbott stated options still need to be worked out, we seem to be all over the map and the options need to be refined. The comment was made that careful consideration must be given to the fact that there will be a crowded ballot for the November 2016 election. The Board gave consent to proceed with planning efforts.

12. DISPOSAL OF TWO SURPLUS PARATRANSIT VEHICLES

-James Wagner, Operations Director

Staff recommends the Board of Directors approve the donation of two end of service life vehicles to Flagstaff Shelter Services, Inc.

Mr. Wagner reported these two vans have already been taken out of service. Donation of these two vans to Flagstaff Shelter Services would support the community mobility efforts in the Huntington corridor. The vehicles have been well maintained. Through prior planning efforts, there has been previous discussion about the possibility of donating vehicles to the Flagstaff Shelter Services, Inc. for transportation use. The value of the vehicles is negligible. The question was posed as to whether Flagstaff Shelter Services is prepared to receive the vehicles with allowance for operations cost, insurance and possible maintenance to keep them in running condition. Ms. Mazza replied this offering was really targeted toward Flagstaff Shelter Services since NAIPTA has worked with them over the years to find a transportation solution. They do need to get insurance and have funds to operate the vehicles. If they can't meet the requirements of the donation, the vans will remain with NAIPTA and we will send them to auction. Director Barotz suggested asking Flagstaff Shelter Services to report back to us on their ridership data so we can understand their need and use of the donated vehicles. Ms. Mazza agreed to ask for that information. The Board directed staff to make sure Flagstaff Shelter Services can accept the vehicles within 30 days. Director Barotz moved to approve the donation of two end of service life paratransit vehicles to Flagstaff Shelter Services within 30 days and subject to the requirements that Flagstaff Shelter Services provide on an annual basis some data on usage of the vehicles over the next 2-3 years and that both vehicles be used for transportation. Director Barotz recommended adding a "whereas" clause to the agreement, to the effect that NAIPTA understands the need of this agency and is addressing the issue. Vice Chair Babbott seconded. All approved, none opposed. Motion carried.



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13. APPROVE REVISED COMPENSATION AND CLASSIFICATION MANUAL

-Heather Dalmolin, Administrative Director

Staff recommends the Board of Directors approve the revised Compensation and Classification Manual as an outcome of the Market Wage and Compensation plan review.

Chair Payne asked if there were any questions regarding this document. Vice Chair Babbott asked what is our lowest paying position and the rate of pay for the position. Ms. Dalmolin responded noting our lowest paid position as bus washer at \$11.70 per hour. This is the lowest grade. Vice Chair Babbott noticed the bonus plan was being frozen, but it is in the compensation plan. Ms. Dalmolin clarified it is being frozen in FY2016, but will be evaluated for possible revision and reinstatement in future years. Chair Payne stated this compensation plan allows for differentiation between high performing employees and those that simply meet standards. Ms. Mazza said it also addresses cost of living increases. Vice Chair Babbott moved to approve the Compensation and Classification Manual as proposed. Director Barotz seconded. All approved, none opposed. Motion carried.

CONSENT ITEMS:

All matters under Consent Agenda are considered by the Board of Directors to be routine and will be enacted by a single motion APPROVING THE RECOMMENDATION LISTED ON THE AGENDA. If discussion is desired on any particular consent item, that item will be removed from the consent agenda and will be considered separately. All items on the Consent Agenda with financial impact have been budgeted.

Vice Chair Babbott asked for item #15 to be pulled from the consent agenda.

14. APPROVE RENEWAL OF NAIPTA LIABILITY INSURANCE FOR FY2016

-Heather Dalmolin, Administrative Director

Staff requests the Board of Directors approve the purchase of general liability, auto liability, and excess coverage insurance from Aon Risk Services, Inc. at a cost not to exceed the budgeted funds of \$254,704.

15. ADOPT THE FY2016 EQUAL EMPLOYMENT OPPORTUNITY (EEO) PROGRAM AND ADOPT EEO WORKFORCE GOALS

-Heather Dalmolin, Administrative Director

Staff recommends the Board of Directors adopt the Equal Employment Opportunity (EEO) Program and Workforce Goals as required for compliance with Federal Transit Administration (FTA) regulations.

16. SECOND AMENDMENT TO THE CARTER OIL BULK FUEL CONTRACT

-James Wagner, Operations Director



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Staff recommends the Board of Directors approve the Second Amendment to an existing contract with Carter Oil Company for bulk fuel purchase in the amount not to exceed \$480,000 with a contract end date of June 30, 2016.

Director Barotz moved to approve item #14 and item #16 on the consent agenda. Vice Chair Babbott seconded. All approved, none opposed. Motion carried.

Vice Chair Babbott asked for item #15 to be updated to reflect gender identification and sexual orientation as protected groups in this document. Vice Chair Babbott moved to approve the EEO program and workforce goals as proposed with the additional language requested. Director Barotz seconded. All approved, none opposed. Motion carried.

PROGRESS REPORTS:

17. AUGUST 2 SERVICE CHANGE UPDATE

-Jacki Lenner, Marketing Manager

Ms. Lenner reported a total of 10 comments have been received thus far regarding the proposed service changes. Four were negative, but two turned positive when more information was provided to the individual. Ms. Stearns, our Assistant Transit Planner, has responded to comments as they came in. The public comment period will be closed with the public hearing at the July 16th meeting. Vice Chair Babbott inquired about the cost of public outreach for the service changes. Ms. Lenner responded the Route 2 mailer was the most expensive piece at approximately \$1,000. There were no further questions.

18. GENERAL MANAGER'S PROGRESS REPORT

-Erika Mazza, Interim General Manager

- Representative Ann Kirkpatrick's Visit on April 24th
On, April 24th, Ms. Mazza facilitated a tour of the new NAIPTA bus storage and wash facility for which Representative Kirkpatrick advocated. She understands the value of public transit.
- Community Transportation Association of America (CTAA) Conference, May 31-June 5, 2015
Ms. Mazza reported NAIPTA will reap lots of benefits for mobility management from this conference.
- Federal Funding Status Update
Ms. Mazza noted the Section 5307 and 5339 apportionments and applications may become available in August. A special meeting may need to be called to meet the deadline. She will keep Board members up-to-date.
- Arizona Transit Association (AzTA) Executive Director: Becky Miller
Ms. Mazza was pleased to announce the new AzTA Executive Director, Becky Miller, has several years' experience with the organization.
- Ms. Mazza congratulated Supervisor Babbott for becoming the new Chair for the Coconino County Board of Supervisors.



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- Ms. Mazza asked all to support Dump the Pump Day today. A social media campaign and photo contest is currently taking place.
- The new NAIPTA website was pulled up on screen. Ms. Mazza thanked Ms. Lenners, Mr. Matthies and Mr. Martinez for their efforts in the design and launch of our new website. The trip planner is front and center. The new website went live this morning.
- Ms. Mazza invited Board members to attend Pawz Day, our employee appreciation event, on July 17th. An email invitation will be sent to them.

Chair Payne informed the Board Mr. Meilbeck intends to return to NAIPTA on September 1st. The Board members present decided to call a special meeting with the primary purpose of convening an Executive Session to discuss Mr. Meilbeck's contract renewal. Their calendars were consulted and the special meeting was scheduled for Monday, June 22nd at 2:30pm by phone. Ms. Cashman will make the arrangements for the meeting. Ms. Bisman will send the necessary documentation for their review.

ITEMS FROM COMMITTEE AND STAFF:

19. SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS

The next Board meeting will be on July 16, 2015 and it will be a WebEx meeting based in Flagstaff in the NAIPTA VERA Conference room, 3773 N. Kaspar Dr., Flagstaff, AZ 86004 at 10am. The public is invited to attend. The July agenda items will include but not be limited to the Public Hearing for Closing the Public Comment Period, 5307 and 5339 Grant Applications, Personnel Policy Update, and possible New Performance Measures. The July agenda will be available for review on NAIPTA's website and at NAIPTA's public posting places (listed on the NAIPTA website) at least 24 hours prior to the meeting, and should be consulted for a list of items that will come before the Board.

20. ADJOURNMENT -Chair Payne adjourned the meeting at 12:13am.

Richard Payne, Chair NAIPTA Board of Directors

ATTEST:

Rhonda Cashman, Clerk of the Board



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Board of Directors Minutes for Special Meeting held on Monday, June 22, 2015

NAIPTA
3773 N. Kaspar Dr.
Flagstaff, AZ 86004

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The Board of Directors met in Special Session Monday, June 22, 2015 at 2:30 pm in the NAIPTA VERA Room, 3773 N. Kaspar Dr., Flagstaff, AZ 86004.

Members of the Board attended by telephone. The public was invited to observe and participate in the meeting at the address above.

PRESENT:

BOARD MEMBERS PRESENT:

Celia Barotz, City Council, City of Flagstaff (via phone);
Rich Payne (Chair), Director of Residence Life, NAU (via phone);
Art Babbott (Vice Chair), Board of Supervisors, Coconino County (via phone);
Al White (Secretary), CCC designee (via phone)
**Three of our five Board member seats must be present to constitute a quorum.*
***The City of Flagstaff holds two seats.*

BOARD MEMBERS EXCUSED:

Scott Overton, City Council, City of Flagstaff;
Karla Brewster, City Council, City of Flagstaff, alternate;
Matt Ryan, Board of Supervisors, Coconino County, alternate;
Rich Bowen, Associate Vice President for Economic Development, NAU, alternate;
Dr. Leah Bornstein, President, CCC;

NAIPTA STAFF IN ATTENDANCE:

Rhonda Cashman, Clerk of the Board;
Fredda Bisman, NAIPTA Attorney (via phone)

GUESTS PRESENT:

None.

1. CALL TO ORDER -Chair Payne called the meeting to order at 2:32pm.

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2. ROLL CALL AND INTRODUCTIONS

3. CALL TO THE PUBLIC

There were no members of the public present requesting to speak.

4. MOTION TO CONVENE AN EXECUTIVE SESSION

At approximately 2:33pm, Secretary White moved to convene an Executive Session and Director Barotz seconded. All approved, none opposed. Motion carried.

The Board considered a motion to convene an executive session pursuant to A.R.S. § 38-431.03 (A)(1) for the following purpose:

(Executive sessions are closed to the public)

1. Discussion and consideration of contract and compensation of the CEO and General Manager. ARS 38-431.03(A)(1).

At the conclusion of the Executive Session, the Board reconvened the public Meeting at approximately 3:08pm.

5. ADJOURNMENT -Chair Payne adjourned the meeting at 3:08pm.

Richard Payne, Chair NAIPTA Board of Directors

ATTEST:

Rhonda Cashman, Clerk of the Board



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DATE PREPARED: July 8, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Heather Dalmolin, Administrative Director

SUBJECT: Approve Renewal of Line of Credit from Wells Fargo for \$500,000

RECOMMENDATION:

Staff recommends the Board of Directors direct and authorize staff to renew the Wells Fargo credit line in the amount of \$500,000 to provide cash flow assistance as needed.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Be trustworthy and dependable
- 5 Year Horizon
- ❖ Establish financial policies and seek revenue sources to maintain fiscal strength.
- ❖ Follow through on promises we have made.
- 10 Year Horizon
- ❖ NAIPTA will be known for finishing what we start in a responsible, professional and timely manner.

BACKGROUND:

NAIPTA is funded on a reimbursement basis by partner and granting agencies. Prior to FY2006, NAIPTA was able to float large capital purchases through support offered by Coconino County. After formation, NAIPTA secured a line of credit from Wells Fargo Bank in order to meet the terms of invoices for some capital purchase items. This line of credit is important as NAIPTA sometimes requires the ability to “float” a partner while waiting for reimbursement.

In recent years NAIPTA has been able to float various reimbursement needs due to adequate fund balance from multiple partners and therefore let the line of credit lapse or expire. With the end of Sedona and Cottonwood service agreements in FY2013, staff felt the line of credit was again necessary to help with cash flow while reimbursement was being processed from various funding sources.

The line of credit makes funds available as needed to help cover costs. The interest rate is 3.250% per annum with max credit of \$500,000. Staff selected Wells Fargo Bank as Wells Fargo is NAIPTA’s bank and also as Coconino County Treasurer, NAIPTA’s treasurer, is set up with Wells Fargo, making transactions and payback simple if needed.



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The line of credit is available to be drawn as needed and would only be used as a last resort. NAIPTA would only incur interest costs based upon amount drawn for time frame funding is drawn. The line of credit has to be renewed each year as it is a one year agreement.

Action as recommended allows staff to authorize the renewal effective in September 2015.

TAC DISCUSSION:

This item was not presented to Transit Advisory Committee. The Line of Credit renews in September and this item is typically presented to both the TAC and the Board of Directors in August. The recent change to have a break in August instead of July required staff to seek Board approval in July in order to meet date of September renewal. This requirement was not realized by staff in time to get agendaized for the TAC. Staff will provide an update to the TAC on this item in September. The line of credit can be cancelled at any time.

ALTERNATIVES:

- 1) Direct and authorize staff to renew the line of credit (**recommended**): The line of credit will provide needed assurance of adequate cash flow while reimbursements from various funding sources are pending.
- 2) Do not approve renewal of line of credit (**not recommended**): NAIPTA could operate without the line of credit. On occasion, this option could prevent timely payment of invoices and cost additional finance or late fees.

FISCAL IMPACT:

There are no application fees or maintenance costs associated with applying for and opening this line of credit.

NAIPTA did not budget for the interest rate that would incur if funds are drawn on the line of credit. If NAIPTA uses the line of credit, a budget adjustment will be required to cover interest costs related to the expenditure.

SUBMITTED BY:

APPROVED BY:

Heather Dalmolin
Administrative Director

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. Line of Credit Documents -available upon request

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DATE PREPARED: July 6, 2015

DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Jacki Lenners, Marketing Manager

SUBJECT: Summer 2015 Service Enhancements Public Hearing and Close Public Comment Period

RECOMMENDATION:

Staff recommends the Board of Directors: 1) conduct a public hearing to hear final comment on the proposed service enhancements and route expansion for Summer 2015 and 2) conclude the 90 day public comment period on the proposed service enhancements and route expansion for Summer 2015.

RELATED STRATEGIC WORKPLAN OBJECTIVE:

Guiding Principles:

- ❖ Strive for continuous improvement in all we do.
- ❖ Be fiscally responsible and responsive to changing demographics.

5 Year Horizon:

- ❖ Build cooperative relationships regionally to expand and enhance NAIPTA's ties with the public.

Goals and Objectives:

- ❖ Attempt to provide a least 20 minute cross-town frequency to match the 10 to 20 minute frequency provided on and around Northern Arizona University by June 30, 2016.
- ❖ Complete route schedule staffing analysis and attempt to reduce operating costs by 2% by June 2016.

BACKGROUND:

On May15, 2013, the Board of Directors approved NAIPTA's 5-Year and Long Range Plan which approved enhancements to NAIPTA's service and route structure. On April 17, 2014, the Board of Directors approved the Summer 2014 service expansion which included new route service (Route 14), Route 10 modifications for increased frequency, articulated bus delivery, new fare collection system and automatic people counters. On April 16, 2015, the Board of Directors approved the Summer 2015 service enhancements and held a public hearing to open the public comment period. The Summer 2015 service enhancements include increased frequency on Route 2, scheduled deviations on Routes 2 and 3 to service BASIS and NPA Charter schools respectively, supplemental morning and afternoon service on Route 5, and new start/end times and locations on several routes to achieve operational efficiencies.

The July 16 Board of Directors meeting coincides with the end of the FTA-required 90-day public comment period. In an effort to educate the public about the proposed service enhancements and garner comments, NAIPTA conducted the following activities:

- Disseminated a press release to local media and conducted interviews on local radio stations.

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- Posted signage onboard all Mountain Line and Mountain Link vehicles, at bus stops, and in the NAIPTA office.
- Posted information and comment form on the NAIPTA website.
- Conducted social media outreach.
- Sent a mailer to all residential addresses within close proximity to Route 2.

This outreach generated a total of 10 public comments received via phone message, online comment form, and social media platforms. A recap of these comments was presented to the Board of Directors on June 18 and no new comments have been received. Out of the 10 total comments, six were deemed to be positive and four were deemed to be negative. More than half of the negative comments were able to be turned around once NAIPTA staff provided feedback and correct information to the person providing the comment.

TAC DISCUSSION:

The TAC provided no further discussion.

ALTERNATIVES:

- 1) Hold a Public Hearing and close the Public Comment Period (**recommended**). Holding the public hearing ensures compliance by NAIPTA with FTA regulatory requirements in respect to service changes. The hearing is required to close the required public comment period as outlined in the Title VI policy.
- 2) Do not hold a Public Hearing or close the Public Comment Period to approve the proposed service enhancements and route expansion for Summer 2015 operations (**not recommended**). If there is no public hearing, NAIPTA would be in violation of Title VI regulations and therefore would not be in compliance with FTA policy on noticing the public with regard to service changes. The public hearing is identified as NAIPTA's responsibility in the Title VI plan. If there is no hearing or if the BOD does not close the public comment period, then NAIPTA will continue offering service exactly as it is today.

FISCAL IMPACT:

The location modifications where we insert a bus for revenue service and scheduled fixed route deviation serving both NPA and BASIS charter schools will have a zero net change to operating costs. Increased frequency on Route 2 will add an additional 4,000 hours of revenue service to our existing weekday/ weekend schedules. Supplemental service on Route 5 will add approximately 400 service hours in FY2016. These additional service hours are captured in the approved FY2016 budget at a cost of \$227,328.



SUBMITTED BY:

APPROVED BY:

Jacki Lenners
Marketing Manager

Erika Mazza
Interim General Manager

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DATE PREPARED: July 7, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Heather Dalmolin, Administrative Director

SUBJECT: NAIPTA Disadvantaged Business Enterprise Program and Goals

RECOMMENDATION:

Staff recommends the Board of Directors 1) conduct a public hearing to hear final comment on the Disadvantaged Business Enterprise Program and Goals and 2) approve the program with an overall goal of 1% and a race neutral goal of 1%.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do
- ❖ Be trustworthy and dependable

BACKGROUND:

On August 1, 2008, the TAC and Board approved NAIPTA's DBE program, and the Board of Director's approved implementation of the NAIPTA DBE program and policies on August 20, 2008. This policy was also accepted and approved by the FTA. Since first adopted, the program was discontinued as we were required, as sub-recipient of ADOT funds, to adopt ADOT's program. By adopting this Agreement, NAIPTA was relieved of the responsibility of conducting public hearings annually to determine DBE goals, agreeing to adopt the goals set forth by State formulas, and in accordance with Federal and State Civil Rights policies. In July 2012, ADOT updated the program and adopted new goals that were passed thru to NAIPTA for adoption. The goal was set for 3 years at 3.82% overall with 3.82% race neutral.

As NAIPTA no longer receives operating assistance for 5311 programs, we are again required to adopt a policy and set our own goals. In September 2014, the Board adopted a program with ADOT's goals. In April 2015, the Federal Transit Administration provided conditional approval of the program and requested additional information. Based on feedback, NAIPTA has corrected the DBE Program and Goals, including development of our own goal and breakdown estimates.

NAIPTA program considers total available vendors for our area, using sources like US Census Bureau, and evaluates available Disadvantaged Business Enterprise certified vendors as well as vendors that might be eligible but not certified. After establishing percentage of DBE's available for contracts, we considered the need to adjust or modify that figure to increase the accuracy of our identified goal, including past performance of DBE and the proposed ADOT 2015 Disparity Study. Using this information, staff is recommending the overall goal of 1% and a race neutral goal of 1%.



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As per the direction of the Board of Directors at the June 2015 Board meeting, staff has updated the program to address concerns about inclusion of sexual orientation, and gender identity or expression in statement of non-discrimination.

Non-discrimination Requirements

NAIPTA will not exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, NAIPTA will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, **sexual orientation, gender identity or expression**, or national origin as required by federal, state or local regulations.

The goal has been published for 30 days as required and NAIPTA has not received any feedback or comment on the program and goals.

TAC DISCUSSION:

The Transit Advisory Committee advised staff on some minor corrections required in program. The DBE Program as proposed was supported for action by the Board of Directors.

ALTERNATIVES:

- 1) Conduct the Public Hearing and adopt the DBE Program and goal (**recommended**): This action will keep us in compliance with FTA regulations and ensure federal funds continue to be available for NAIPTA programs.
- 2) Do not hold a Public Hearing and do not approve the DBE Program and goal (**not recommended**): If the program is not approved, the process would be delayed and federal funding could be suspended until the DBE Program is adopted.

FISCAL IMPACT:

Adopting the DBE Program and Goals is not expected to have financial impact for procurements and expenditures. Adequate staffing structure is in place to complete reporting as required.

SUBMITTED BY:

APPROVED BY:

Heather Dalmolin
Administrative Director

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. NAIPTA DBE Program

-pages 22-48

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Effective August 1, 2014

Federal Transit Administration
Disadvantaged Business Enterprise – DBE Goal
FFY2015

NAIPTA Board of Directors has adopted the DBE Goal as set by the State of Arizona, Department of Transportation (ADOT) for federal grant opportunities related to transit contracting opportunities.

The adopted goal and goal setting methodology as well as NAIPTA's overall DBE program are available for inspection between 8 am and 5 pm Monday thru Friday in the NAIPTA office, located at 3773 N Kaspar Dr, Flagstaff, Arizona 86004.

The FFY2015 DBE Goal as adopted by NAIPTA is **1.00%**.

- This overall goal is expected to be achieved through **1.00% race-neutral** means.
- The goal will take effect October 1, 2014 and remain effect until September 30, 2017.
- Annual reviews of the data will be conducted and updates will be provided as needed.

Questions or concerns can be directed to Heather Dalmolin, NAIPTA DBE Liaison, at hdalmolin@naipta.az.gov or 928-679-8908.

**Federal Transit Administration
Disadvantaged Business Enterprise (DBE)
Program Plan
For
NAIPTA (Northern Arizona Intergovernmental
Public Transportation Authority)**

Updated: June 18, 2015

POLICY

Objective - Policy Statement

Northern Arizona Intergovernmental Public Transportation Authority (NAIPTA) has established a Disadvantaged Business Enterprise (DBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. NAIPTA has received Federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, NAIPTA has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of NAIPTA to ensure that DBEs as defined in part 26, have an equal opportunity to receive and participate in DOT–assisted contracts. It is also our policy:

1. To ensure nondiscrimination in the award and administration of DOT – assisted contracts;
2. To create a level playing field on which DBEs can compete fairly for DOT-assisted contracts;
3. To ensure that the DBE Program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet 49 CFR Part 26 eligibility standards are permitted to participate as DBEs;
5. To help remove barriers to the participation of DBEs in DOT-assisted contracts;
6. To assist the development of firms that can compete successfully in the market place outside the DBE Program.

The Administrative Director has been delegated as the DBE Liaison Officer. In that capacity, the Administrative Director is responsible for implementing all aspects of the Arizona DBE program. Implementation of the DBE program is accorded the same priority as compliance with all other legal obligations incurred by NAIPTA in its financial assistance agreements with the Department of Transportation.

NAIPTA has disseminated this policy statement to the NAIPTA Board of Directors and all of the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work on DOT-assisted contracts.

Rich Payne
Chair, NAIPTA Board of Directors
July 16, 2015

GENERAL REQUIREMENTS

Applicability

As a recipient of funds from the Federal Transit Administration (FTA) NAIPTA has established its DBE program in accordance with 49 CFR Part 26 and has committed to ensuring compliance on all FTA funded transportation projects through monitoring, reporting, and goal-setting. Where DBE goal setting is not necessary or practicable, NAIPTA will encourage race-neutral DBE participation.

Federal transit funds are authorized by Titles I, III, V, and VI of ISTEA, Pub. L. 102-240 or by Federal transit laws in Title 49, U.S. Code, or Titles I, II, and V of the Teas-21, Pub. L. 105-178.

Definitions

Disadvantaged Business Enterprise or DBE means a for-profit small business concern –

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

NAIPTA has adopted and uses the definitions related to the DBE program found in 49 CFR Part 26.5.

Non-discrimination Requirements

NAIPTA will not exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, NAIPTA will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, **sexual orientation, gender identity or expression**, or national origin as required by federal, state or local regulations.

Record Keeping Requirements

Uniform Report of DBE Awards or Commitments and Payments:

NAIPTA will report DBE participation to FTA using the Uniform Report of DBE Awards or Commitments and Payments, found in Appendix B to the DBE regulation.

- DBE activity from October First through March 31st will be submitted by June 1ST
- DBE activity from April First through September 31st will be submitted by December 1ST
- The second report will be an accumulation of the entire Fiscal Year

If applicable, NAIPTA will include sub-recipient activity in its semi-annual reports based on project data provided through the Local Public Agency DBE Reporting System.

Bidders List

NAIPTA utilizes Arizona Department of Transportation (ADOT) bidders list.

The Arizona Department of Transportation (ADOT) will collect bidders' list information, consisting of information regarding DBE and non-DBE firms that bid or quote on DOT-assisted contracts. Bidders' list information will be used by ADOT in support of annual goal-setting calculations but will not be used exclusively to substantiate availability or the "ready, willing, and able" status of affected Arizona DBEs. Data gathered will include the name, address, DBE or non-DBE status, age, and annual gross receipts of firms.

This information will be collected via completed Bidders List Forms and Civil Rights Vendor Registration hosted by ADOT. Bidders List Forms shall be received by the ADOT Civil Rights Office at the time of bid opening or cost proposal submission. Bidders List Forms shall be submitted by all bidders. Bidders List Forms will contain name, address, and DBE or non-DBE status. Instructions for completing Bidders List Forms are contained in the ADOT DBE Specification, EPRISE. Age and annual gross receipts data will be collected via the Civil Rights Vendor Registration system.

Civil Rights Vendor Registration can be accessed via <https://adot.dbesystem.com/Default.asp>. All contractors, consultants, subcontractors, and sub-consultants, DBE and non-DBE, are required to complete the Civil Rights Vendor Registration for all NAIPTA-administered and sub-recipient federal aid projects.

Assurances

NAIPTA has signed the following assurances, applicable to all DOT-assisted contracts and their administration:

Federal Financial Assistance Agreement Assurance 26.13(a)

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

As applicable, this language will appear in financial assistance agreements with sub-recipients.

Contract Assurance 26.13(b)

NAIPTA will ensure that the following clause is placed in every DOT-assisted contract and subcontract:

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

appropriate. The contractor, sub-recipient, or subcontractor shall ensure that all subcontract agreements contain this non-discrimination assurance.

ADMINISTRATIVE REQUIREMENTS

DBE Program Updates

NAIPTA receives funding from the FTA in excess of \$250,000 each federal fiscal year for planning capital, and or operating assistance. As a condition of receipt of funding, NAIPTA will continue to carry out the requirements defined in this Program Plan until all funds from DOT financial assistance have been expended. Further, NAIPTA will provide updates to the DOT regarding any significant changes in the program

DBE Liaison Officer (DBELO)

We have designated the following individual as our DBE Liaison Officer:

Heather Dalmolin, Administrative Director
3773 N Kaspar Dr
Flagstaff, AZ 86004
928.679.8908 or hdalmolin@naipta.az.gov

In that capacity, the DBELO is responsible for implementing all aspects of the DBE program and ensuring that NAIPTA complies with all provision of 49 CFR Part 26. The DBELO has direct, independent access to the CEO and General Manager concerning DBE program matters. An organization chart displaying the DBELO's position in the organization is found in Attachment A to this program.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. The DBELO has access to professional and technical staff to assist in the administration of this program. The duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by DOT.
2. Reviews third party contracts and purchase requisitions for compliance with this program.
3. Works with ADOT to monitor state goal updates and modify NAIPTA policy as necessary.
4. Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
5. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract specific goals attainment) and monitors results.
6. Analyzes NAIPTA's progress toward attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Advises the General Manager and Board of Directors on DBE matters and achievement.
9. Participates with legal, construction, and contracts/specifications to determine contractor compliance with good faith efforts.
10. Provides DBEs with information and assistance in preparing bids, obtaining bonding and insurance.
11. Plans and participates in DBE training seminars.
12. Provides outreach to DBEs and community organizations to advise them of opportunities.

13. Maintains NAIPTA's updated directory on certified DBEs.

DBE Financial Institutions

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

The Arizona Department of Financial Institutions is utilized to identify such institutions. To date, socially and economically disadvantaged owned and controlled financial institutions have not been identified in Arizona.

Prompt Payment Mechanisms

Prompt Payment:

NAIPTA will include the following clause in each DOT-assisted prime contract:

As per the Arizona Revised Statutes Section 28-6924 Paragraph A.2 and NAIPTA specifications, the prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than seven (7) days from the receipt of each payment the prime contract receives from NAIPTA. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the NAIPTA. This clause applies to both DBE and non-DBE subcontracts require that prime contractors pay their subcontractors.

Retainage:

The prime contractor agrees to return retainage payments to each subcontractor within fourteen (14) days after the subcontractors work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the [Recipient]. This clause applies to both DBE and non-DBE subcontracts.

Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of NAIPTA. If prompt partial or prompt final payment, including any retention, is not made within the established timeframes, NAIPTA may retain two thousand dollars (\$2,000) per subcontractor, per occurrence. The amount withheld is released after the issue is resolved.

Monitoring and Enforcement:

NAIPTA has requires various reporting mechanisms, certifications, and forms to monitor and enforce that prompt payment and return of retainage is in fact occurring.

Directory

NAIPTA identifies DBE's as certified by the ADOT Unified Certification Program.

ADOT serves as the lead agency for the Arizona Unified Certification Program. In this role, ADOT maintains the statewide directory which identifies all firms eligible to participate as DBEs. The

directory lists the firm's name, address, phone number, fax number, email address, gender, ethnicity, certification source, NAICS codes, and the type of work the firm has been certified to perform as a DBE. The directory is available online at www.azdbe.org. Paper copies of the DBE directory are made available upon request by contacting the ADOT Civil Rights Office at (602) 712-7761 or via email at dbesupportiveservices@azdot.gov.

Overconcentration

NAIPTA relies on ADOT's lead for identification and addressing overconcentration issues.

ADOT has not identified that overconcentration exists in the types of work that DBEs perform. However, if ADOT finds that DBE overconcentration has occurred to such an extent as to unduly burden the opportunity of non-DBE firms to participate in the design or construction program, it will develop procedures to address this. The procedures will be submitted to the appropriate operating administration for review and approval prior to implementation.

Business Development Programs

NAIPTA has not established a formal business development program. We do provide outreach services, including forwarding information no less than annually to all known vendors regarding ADOT's DBE Supportive Services Provides. Additionally announcements from ADOT about educational programs and conferences are sent to all registered vendors.

The ADOT DBE Supportive Services Program provides outreach and educational programs regarding the benefits of DBE certification for minority and women owned businesses. The purpose of the program is to provide education, access, and visibility for the DBE community to aid in business development and eventual self-sufficiency. Training, conferences, and workshops are open to any interested party. Detailed information regarding the ADOT DBE Supportive Services program can be found at www.adotdbe.com.

Monitoring and Enforcement Mechanisms

NAIPTA will take the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR Part 26.

1. We will bring to the attention of the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in 26.109.
2. We will consider similar action under our own legal authorities, including responsibility determinations in future contracts. Attachment B lists the regulation, provisions, and contract remedies available to us in the events of non-compliance with the DBE regulation by a participant in our procurement activities.
3. We will provide a monitoring and enforcement mechanism to verify that work committed to DBEs at contract award is actually performed by the DBEs. This will be accomplished by monitoring by the DBE Liaison Officer and NAIPTA Development Director.
4. We will keep a running tally of actual payments to DBE firms for work committed to them at the time of contract award.

Small Business Participation

NAIPTA has incorporated the following non-discriminatory element to its DBE program, in order to facilitate competition on DOT-assisted public projects by small businesses (both DBEs and non-DBE small businesses):

- Vendor searches completed at local level using grass root groups to ensure adequate advertisement of opportunity;
- Use of Small Business Center for identification of small business and advertisement opportunity;
- Continuous evaluation of contract requirement to minimize and remove unnecessary and unjustified requirements;
- Encouraging bidders on large contracts to identify and create provisions within subcontracts appropriate for small business participation;
- Development of acquisition strategies and structuring procurements to facilitate bids by and awards to small business consortia or joint ventures; and
- Letting prime contract of a size that small businesses can reasonably compete for and perform.

GOALS, GOOD FAITH EFFORTS, AND COUNTING

Set-asides or Quotas

NAIPTA does not use quotas in any way in the administration of this DBE program.

Overall Goals

In accordance with Section 26.45, NAIPTA's overall goal for the following time period of 2015-2017 is 1%. Of the Federal financial assistance we will expend in DOT-assisted contracts, exclusive of FTA funds to be used for the purchase of transit vehicles, 1% of funds will be targeted to DBE/SBE.

\$8,599,000 is the dollar amount of DOT-assisted contracts that NAIPTA expects to award during FFY2015. This means that NAIPTA has set a goal of expending \$85,990 with DBEs during this fiscal year/project.

Methodology used to Calculate Overall Goal

Step 1: 26.45(c)

The base figure for the relative availability of DBE's was calculated as follows:

Ready, willing, and able DBEs / All firms ready, willing and able = Base figure

Data Sources:

Three (3) work classifications have been identified for DBE goal setting and potential DBE participation by ADOT. These work classifications are:

- Transit and Ground Passenger Transportation (NAICS Code 485000)
- Other Professional Scientific and Technical Services (NAICS Code 541900)
- Bus Facility Construction (NAICS Code 236220)

NAIPTA defined our area as the State of Arizona as Flagstaff is a small urban area surrounded mostly by rural communities. If we limited our area to our metropolitan area we would fail to recognize that

majority of competing businesses are found in the larger metropolitan areas of our state. This conclusion accurately reflects responses NAIPTA has received to our procurement solicitations.

NAIPTA utilized the Arizona Unified Transportation Registration and Certification System (AZ ULTRACS) to identify vendors that have been certified as either Disadvantaged Business Enterprise (DBE) or Small Business Concern (SBC). Arizona ULTRACS is a centralized database of firms that have indicated that they are ready, willing, and able to perform work. Total certified DBE and registered SBC to fulfill our DOT assisted contracts is 97.

NAIPTA used information from US Census on registered vendors for the State of Arizona by NAICS to identify total vendors available to provide contracted services. The NAICS codes are the same as the codes used by ADOT to classify DBE/SBC vendors. Total available vendors for the DOT contracting opportunities of NAIPTA are 28,723.

When we divided the numerator by the denominator we arrived at the base figure for our overall goal and that number was .33%.

Additionally, NAIPTA performed weighted factoring to ensure the overall goal was adjusted based on contracting opportunities.

The data used to determine the weighting was:

1. Weighted rate of contracting opportunities by NAICS codes (contract value by code/total contracting opportunities)
2. DBE/SBC availability by NAICS codes (identified DBE by NAICS/total vendors by NAICS)
3. Calculation of DBE goal by NAICS (weighted rate * DBE goal by NAICS)

After weighting contracting opportunities, the overall goal increased from .33% to .50% creating the final overall goal of 1%. (see Weighting Base Figure Worksheet in Attachment C)

NAIPTA is aware that there are both minority (MBE) and women (WBE) owned businesses that have not participated in the DBE certification process. We address this lack of certification in our outreach program and defer to ADOT as the lead agency for Arizona ULTRACS. The 2015 ADOT Disparity Study identified that of the 33.74% of MBE and WBEs, 25% are not currently certified as DBE's and are unlikely to achieve the immediate certification required to change DBE availability. Accordingly, NAIPTA has not modified the number of available DBEs for fulfilling contracts.

Step 2: 26.45(d)

After calculating a base figure of the relative availability of DBEs, evidence was examined to determine what adjustment was needed to the base figure in order to arrive at the overall goal.

Past Performance: Historically, as reported in FY2012 thru FY2014 reports, NAIPTA has only had minor participation in contracting opportunities with 2 contracts in FY2014 totaling \$29,198, or .5%. As this participation is close to the base figure, NAIPTA does not find it necessary to make any Step 2 adjustment based on available and willing DBEs.

Information related to employment, self-employment, education, training, and unions: NAIPTA has not completed a Disparity Study, relying on the report of the Arizona Department of Transportation to identify barriers that exist for certain minority groups and women related to entry and advancement and business ownership in Arizona construction and engineering industries. Per ADOT 2015 DBE Disparity Study, these barriers may affect availability of certain DBEs in obtaining and performing in contracting opportunities. The analysis indicates an upward Step 2 adjustment of 3.71 percentage points might be applicable to FTA-funded contracts.

If this adjustment was made to the NAIPTA DBE goal, the goal would increase to 4.71% (1% + 3.71%).

Disparities in the ability of DBEs to get financing, bonding, and insurance: As per ADOT's Disparity Study, financing and bonding do present disadvantages for minorities, women, and MBEs/WBEs. These barriers to obtaining financing and bonding might affect opportunities for MBEs/WBEs to successfully form and operate construction and engineering businesses in Arizona, as well as opportunities to participate in contracting opportunities. The Disparity Study further identifies that insurance requirements affect small businesses that are unable to afford the levels of insurance required. The information indicates an upward adjustment in the overall annual goal.

Although the analysis indicates an upward adjustment is appropriate, the Disparity Study could not quantify the impacts of these factors in the availability of DBEs.

Other: Also from ADOT's Disparity Study, success of MBEs/WBEs relative to majority-owned businesses in Arizona reveals MBEs/WBEs are less successful and are faced with greater barriers. There is qualitative information that suggests discrimination based on race, ethnicity, and gender does affect MBEs/WBEs in contracting opportunities in Arizona.

The Disparity Study could not quantify the impact of these barriers.

Summary: NAIPTA did consider whether a Step 2 adjustment was necessary in determining the overall DBE goal.

NAIPTA did not make a Step 2 adjustment as a result of the additional analysis.

- The past performance from the most recent completed years shows NAIPTA has recently had similar performance on contracts, in FY2014, however prior years have had no participation.
- Increasing the goal by 3.71% does not seem prudent in light of past performance and the significant change from the Step 1 goal.

NAIPTA will consider potential adjustments if it can demonstrate ability to meet the overall goal of 1%.

Public Participation

NAIPTA will publish a notice of the proposed overall goals, informing the public that the proposed goal and NAIPTA's rationale are available for inspection during normal business hours at our main office in Flagstaff for 30 days following the date of the notice, and informing the public that NAIPTA and DOT will accept comments on the goals for 45 days from the date of the notice. The public notice will be published in the local newspaper as well

as distributed to available minority-focus media and posted on our website. Normally, we will issue this notice by July 1 of each year. The notice will include addresses to which comments may be sent and addresses (including offices and websites) where the proposal may be reviewed. The goal will be adopted after a public hearing in August.

Our overall goal submission to DOT will include: the proposed goal (including the breakout of estimated race-neutral and race-conscious participation, as appropriate); a copy of the DBE Program Plan; a summary of information and comments received during this public participation process and our responses; and proof of publication of the goal in media outlets listed above.

We will begin using our overall goal on October 1 of the specified year, unless we have received other instructions from DOT. If we establish a goal on a project basis, we will begin using our goal by the time of the first solicitation for a DOT-assisted contract for the project. Our goal will remain effective for the duration of the three-year period established and approved by FTA.

Race-/Gender Neutral & Race/Gender Conscious Participation

NAIPTA will meet the maximum feasible portion of its overall goal by using race- and gender-neutral means of facilitating DBE participation.

NAIPTA will meet the maximum feasible portion of its overall goal using race-neutral means of facilitating DBE participation. In order to do so, NAIPTA will:

- Inclusion of small businesses on vendor lists and sharing of interested vendor list with prime contractors;
- Arrange solicitations, presentation times, quantities, and delivery schedules to facilitate participation of DBE firms;
- Unbundle large contracts to make accessible and available to smaller businesses;
- Continuous evaluation of contract requirement to minimize and remove unnecessary and unjustified requirements;
- Simplify and/or reduce bonding requirements as possible and/or provide assistance in overcoming limitations such as bonding and financing;
- Encouraging bidders on large contracts to identify and create provisions within subcontracts appropriate for small business participation;
- Provide technical assistance and other services;
- Development of acquisition strategies and structuring procurements to facilitate bids by and awards to small business consortia or joint ventures;
- Provide information and communication programs on contracting procedures and specific contract opportunities (i.e. ensuring inclusion of DBEs and other small businesses, on recipient mailing lists of bidders; ensuring the dissemination to bidders on prime contracts of lists of potential subcontractors, provision of information in languages other than English, where appropriate;
- Assist with and refer to support services (i.e. Arizona Dep't of Transportation and Coconino County Small Business Development Center) to develop and improve immediate long-term

business management, record keeping, and financial and accounting capabilities for DBEs and other small businesses;

- Assist with and refer to services (i.e. Arizona Dep't of Transportation and Coconino County Small Business Development Center) to help DBEs, and other small businesses, improve long-term development, increase opportunities to participate in a variety of kinds of work, handle increasingly significant projects, and achieve eventual self-sufficient;
- Refer DBEs and other small businesses to programs (i.e. Arizona Dep't of Transportation and Coconino County Small Business Development Center) for assistance for new, start-up firms, particularly in areas where DBE or small business participation has been particularly low; and
- Assist DBEs, and other small businesses, to develop of capability to utilize emerging technology and conduct business through electronic media.

We estimate that, in meeting our overall goal of 1%, we will obtain 1% from race-neutral participation and 0% through race-conscious measures.

NAIPTA will use contract goals to meet any portion of the overall goal NAIPTA does not project being able to meet using race-neutral means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

We will establish contract goals only on those DOT-assisted contracts that have subcontracting possibilities. We need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work, availability of DBEs to perform the particular type of work.)

The following is a summary of the basis of our estimated breakout of race-neutral and race-conscious DBE participation:

Evidence of discrimination: The ADOT Disparity Study identifies there is some indication that discrimination is a factor in the marketplace conditions in Arizona (Entry and advancement, Business ownership, Access to capital, bonding, and insurance, and success of business). Overall there was no disparity in utilization of MBEs and WBEs. Utilization was higher than expected with 45.8% utilization of the anticipated 33.8% available.

Past Experience: NAIPTA has had less than .50% participation in the last three completed years, with two of three years having no participation.

DBE Participation without DBE contract goals: NAIPTA has always had a race – and gender- neutral environment.

Effectiveness of race- and gender- neutral measures that are currently in place: NAIPTA currently participates in and supports the efforts of ADOT in its current and future broad range of neutral programs and initiatives to encourage participation of small business, including DBEs, in transportation contracts.

At this time, NAIPTA is not able to quantify how these initiatives can increase race-neutral participation of DBEs in FTA-funded contracts.

In order to ensure that our DBE program will be narrowly tailored to overcome the effects of discrimination, if we use contract goals we will adjust the estimated breakout of race-neutral and race-conscious participation as needed to reflect actual DBE participation (see 26.51(f)) and we will track and report race-neutral and race-conscious participation separately. For reporting purposes, race-neutral DBE participation includes, but is not necessarily limited to, the following: DBE participation through a prime contract a DBE obtains through customary competitive procurement procedures; DBE participation through a subcontract on a prime contract that does not carry DBE goal; DBE participation on a prime contract exceeding a contract goal; and DBE participation through a subcontract from a prime contractor that did not consider a firm's DBE status in making the award. We will maintain data separately on DBE achievements in those contracts with and without contract goals, respectively.

Goal Setting and Accountability

If the awards and commitments shown on NAIPTA's Uniform Report of Awards or Commitments and Payments at the end of any fiscal year are less than the overall applicable to that fiscal year, we will:

1. Analyze in detail the reason for the difference between the overall goal and the actual awards/commitments;
2. Establish specific steps and milestones to correct the problems identified in the analysis; and
3. Submit the analysis and plan to FTA, via electronic grant management system, within 90 days of the end of the affected fiscal year.

NAIPTA has not achieved any DBE activity over the past four reporting periods as most of the certified DBE agencies are outside of our immediate area and travel to our area to fulfill contracts increases cost of services. NAIPTA will continue with outreach efforts to be sure vendors are aware of certification process and opportunities while offering solicitations to certified vendors outside our area. NAIPTA proposes to continue with the DBE participation goal through race-neutral measures.

Transit Vehicle Manufacturers Goals

NAIPTA will require each transit vehicle manufacturer, as a condition of being authorized to bid or propose on FTA-assisted transit vehicle procurements, to certify that it has complied with the requirements of this section. Alternatively, NAIPTA may, at its discretion and with FTA approval, establish project-specific goals for DBE participation in the procurement of transit vehicles in lieu of the TVM complying with this element of the program.

Good Faith Efforts Procedures

When NAIPTA establishes a contract goal, it will award the contract only to a bidder/offeror that makes good faith efforts to meet the goal. It will be determined that a bidder/offer has made good faith efforts if the bidder/offer does either of the following:

1. Documents that it has obtained enough DBE participation to meet the goal; or

2. Documents that it made adequate good faith efforts to meet the goal, even though it did not obtain enough DBE participation to do so. NAIPTA will not deny award to a bidder/offeror that documents adequate good faith efforts.

NAIPTA has adopted the examples of good faith efforts are found in Appendix A to Part 26. A full explanation of Good Faith Effort requirements is detailed in Attachment B of this DBE Program Plan.

NAIPTA is responsible for determining whether a bidder/offeror that has not met the contract goal has documented sufficient good faith efforts to be regarded as responsive. The initial review will be conducted by the Project Manager/Lead with final review and approval by the Administrative Director.

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

Information to be Submitted

NAIPTA treats bidder/offers' compliance with good faith efforts' requirements as a matter of responsiveness.

Each solicitation for which a contract goal has been established will require the bidders/offerors to submit the following information:

- The names and contact information of DBE firms that will participate in the contract;
- A description of the work that each DBE will perform;
- The dollar amount of the participation of each DBE firm participating;
- Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;
- Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractors commitment; and
- If the contract goal is not met, evidence of good faith efforts.

Administrative Reconsideration

The bidder/offeror may appeal the determination of the Administrative Director to the CEO and General Manager. That appeal must be in writing and personally delivered or sent by certified mail, return receipt requested, to the CEO and General Manager. The protest must be received by the CEO and General Manager no later than seven (7) calendar days after the decision of the Administrative Director. Copies of the protest shall be sent by the protestant to every bidder, at the same time the protest is submitted to the CEO and General Manager. Any other interested party may submit a response to the appeal no later than seven calendar days after the appeal is requested. Responses from other interested parties must also be in writing and personally delivered or sent by certified mail, return receipt requested, to the CEO and General Manager. Any interested party submitting such response shall also provide a copy of its response to every bidder, at the same time the protest is submitted to the CEO and General Manager. The CEO and General Manager shall promptly consider any appeals under this subsection and notify all bidders of the CEO and General Manager's findings and decision.

Any interested party may protest the CEO and General Manager's decision to the NAIPTA Board of Directors.

Good Faith Efforts when a DBE is replaced on a contract with contract goals

NAIPTA will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. NAIPTA will require the prime contractor to notify the Project Manager/Lead and the Administrative Director immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, NAIPTA will require the prime contractor to obtain prior approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts.

NAIPTA will require that a prime contractor not terminate a DBE subcontractor listed in response to the "Goals" and "Good Faith Efforts" sections listed above (or an approved substitute DBE firm) without NAIPTA'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 subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm.

NAIPTA may provide such written consent only if it agrees, for reasons stated in its concurrence document, that the prime contractor has good cause to terminate the DBE firm. For the purposes of this section, good cause includes the following circumstances:

1. The listed DBE subcontractor fails or refuses to execute a written contract;
2. The listed DBE subcontractor fails or refuses to perform the work of its subcontract in a way consistent with normal industry standards. Provided, however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the prime contractor;
3. The listed DBE subcontractor fails or refuses to meet the prime contractor's reasonable, nondiscriminatory bond requirements;
4. The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
5. The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant 2 CFR Parts 180, 215 and 1,200 or applicable state law;
6. NAIPTA has determined that the listed DBE subcontractor is not a responsible contractor;
7. The listed DBE subcontractor voluntarily withdraws from the project and provides to NAIPTA written notice of its withdrawal;
8. The listed DBE is ineligible to receive DBE credit for the type of work required;
9. A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract;
10. Other documented good cause that NAIPTA determines compels the termination of the DBE subcontractor. Provided, that good cause does not exist if the prime contractor seeks to terminate a DBE it relied upon to obtain the contract so that the prime contractor can self-perform the work for which the DBE contractor was engaged or so that the prime contractor can substitute another DBE or non-DBE contractor after contract award.

Before transmitting to NAIPTA its request to terminate and/or substitute a DBE subcontractor, the prime contractor must give notice in writing to the DBE subcontractor, with a copy to NAIPTA, of its intent to request to terminate and/or substitute, and the reason for the request.

The prime contractor must give the DBE five days to respond to the prime contractor's notice and advise NAIPTA and the contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why NAIPTA should not approve the prime contractor's action. If required in a particular case as a matter of public necessity (e.g., safety), NAIPTA may provide a response period shorter than five days.

In addition to post-award terminations, the provisions of this section apply to pre-award deletions of or substitutions for DBE firms put forward by offerors in negotiated procurements.

NAIPTA will include administrative remedies in each prime contract which it will invoke if the prime contractor fails to comply with the requirements of this section.

The requirements of this section will also be applied to DBE bidders/offerors for prime contracts. In determining whether a DBE bidder/offeror for a prime contract has met a contract goal, NAIPTA will count the work the DBE has committed to performing with its own forces as well as the work that it has committed to be performed by DBE subcontractors and DBE suppliers.

If the Administrative Director determines that the contractor has failed to make sufficient reasonable efforts to meet contract DBE goals, or to otherwise carry out these DBE special provisions, such failure shall constitute a breach of contract and may result in termination of the contract, or any other such remedy as the Administrative Director deems appropriate. The contractor may appeal the decision of the Administrative Director with the CEO and General Manager in accordance with the administrative reconsideration process mentioned previously.

If Administrative Director determines that such failure is not cause to terminate the contract, an amount equal to the value of the DBE goal that was not obtained will be deducted from the payment due to the contractor. However, if the failure is the first by the contractor, and Administrative Director determines the failure was an unintentional error or oversight, the amount to be deducted may be reduced to one-half (1/2) of the value of the un-obtained DBE goal. In addition to any other sanctions, willful failure of the contractor or a DBE to comply with this contract or with the Federal DBE regulations may result in disqualification from further contracting, subcontracting, or other participation in NAIPTA projects.

Counting DBE Participation

We will count DBE participation toward overall and contract goals as provided in 49 CFR 26.55.

DBE CERTIFICATION

Certification Process

NAIPTA has utilizes the Arizona Unified Certification Program and does not certify DBE vendors independently.

ADOT will use the certification standards of Subpart D of Part 26 to determine the eligibility of firms to participate as DBEs in DOT-assisted contracts. To be certified as a DBE, a firm must meet all certification eligibility standards. ADOT will inform applicants within 30 days of receipt of an application whether the information is complete or additional documentation is required. ADOT will make its certification decisions based on the facts as a whole.

For information about the certification process or to apply for certification, firms should contact: ADOT DBE Certification Program Manager, at (602) 712-7761.

Certification application forms and documentation requirements can be found at www.azdbe.org.

The following is from ADOT FTA DBE Program, updated February 2012

CERTIFICATION PROCEDURES

Arizona Unified Certification Program

ADOT is the lead agency for the Arizona Unified Certification Program. The Arizona UCP meets all of the requirements of 49 CFR Part 26. The UCP is comprised of ADOT, the City of Phoenix, and the City of Tucson. Information regarding the Arizona UCP can be found at www.azdbe.org.

Procedures for Certification Decisions

Annual Updates / "No Change" Affidavits and Notices

Once a DBE has been certified, it shall remain certified until and unless its certification has been removed, in whole or in part, through the procedures of section 26.87. DBEs are not required to reapply for certification. However, ADOT may conduct a certification review of a certified DBE firm, including a new onsite review, three years from the date of the firm's most recent certification, or sooner if appropriate in light of changed circumstances (e.g., of the kind requiring notice under paragraph (i) of this section), a complaint, or other information concerning the firm's eligibility. If ADOT finds that the firm's eligibility is questionable, it may conduct an on-site review on an unannounced basis, at the firm's offices and jobsites. These reviews will include the following components:

- The most recent company taxes will be collected and evaluated to ensure that the company continues to meet the size standard requirement
- The most recent Personal taxes and Personal Financial Statement for the qualifying DBE (s) will be collected and evaluated to ensure the Personal Net Worth requirement continues to be met.
- Companies will be required to submit any contact information changes or structural changes that may effect eligibility requirements. In addition, certified DBE companies will be required to submit any major purchase agreements or loan agreements signed into after the initial certification review was conducted.

ADOT requires all DBEs to inform the agency within 30 days of any change in its circumstances affecting its ability to meet size, disadvantaged status, ownership or control criteria of 49 CFR Part 26 or of any material changes in the information provided with ADOT's application for certification.

On an annual basis ADOT will also require all certified DBEs to submit a "no change" affidavit meeting the requirements of 26.83(j). The test of this affidavit is the following:

I swear (or affirm) that there have been no changes in the circumstances of [name of DBE firm] affecting its ability to meet the size, disadvantaged status, ownership, or control requirements of 49 CFR part 26. There have been no material changes in the information provided with [name of DBE]'s application for certification, except for any changes about which you have provided written notice to the [Recipient] under 26.83(j). [Name of firm] meets Small Business Administration (SBA) criteria for being a small business concern and its average annual gross receipts (as defined by SBA rules) over the firm's previous three fiscal years do not exceed \$22.41 million."

Along with the affidavit, DBEs are required to submit their last year of federal taxes documenting annual gross receipts.

ADOT will notify all currently certified DBE firms of these obligations every April 1st. The DBE will have until 6/30 of that year to submit the required documentation. This notification will inform DBEs to submit the "no change" affidavit and their owners must swear or affirm that they meet all regulatory requirements of Part 26, including personal net worth. Likewise, if a firm's owner knows or should know that he or she, or the firm, fails to meet a Part 26 eligibility requirement (e.g. personal net worth), the obligation to submit a notice of change applies.

The annual update process is completed via its online DBE application. DBEs are required to log into a user account, provide the necessary information, and certify that the information is complete and accurate. The online application is tied directly to vendor registration and may be accessed at www.azdbe.org.

Denials of Initial Requests for Certification

If ADOT denies a firm's application or de-certifies a firm, the firm may not re-apply until 12 months have passed from the action. If a firm submits and then withdraws its DBE application, the firm may do so at any time and does not have to wait 12 months.

Removal of a DBE's Eligibility

In the event that ADOT proposes to remove a DBE's certification, ADOT will follow procedures consistent with 26.87. If a certified company is determined to no longer be eligible for the DBE program, ADOT will send a propose to remove letter stating the reasons the company no longer meets the DBE requirements. The DBE can request an informal hearing or choose to submit additional information for review. If a company requests an informal hearing ADOT will take action to begin the proceeding per 26.87.

To ensure separation of functions in a de-certification, ADOT has determined that the Nevada DOT Compliance Officer will serve as the decision-maker in de-certification proceedings. We have established an administrative "firewall" to ensure the Nevada DOT Compliance Officer will not have participated in any way in the de-certification proceeding against the firm (including in the decision to initiate such a proceeding).

Interstate Certification

When ADOT receives a DBE application from a company certified in another state, ADOT may, at its discretion certify that company without further procedures. If an out of state company wants to obtain certification in this manner, the firm must provide to ADOT a copy of its certification notice from the home state. ADOT would be responsible for verifying the validity of the out of state certification.

If ADOT chooses not to accept certification based on the home state evaluation, the applicant firm must provide a complete copy of the application form, all supporting documents and any other information that needs to be submitted. Once ADOT receives all of the necessary information ADOT must request a copy of the home state onsite report within 7 days of receipt of the application.

If ADOT agrees with the home state determination, ADOT must send the applicant firm a notice that it is certified and place the firm on the AZUCP directory of DBE certified firms within 60 days from the date on which ADOT received all the requested information.

If ADOT has good reason and does not agree with the determination of the home state ADOT must send a notification to the applicant company within 60 days stating the reasons why ADOT is denying certification. This notice must state with particularity the specific reasons why ADOT believes that the firm does not meet the DBE requirements and must offer the applicant firm an opportunity to respond to ADOT with respect to the reasons.

If the applicant firm elects to request an in-person meeting with ADOT's decision maker to discuss ADOT's objections to the firm's eligibility, ADOT must schedule the meeting to take place within 30 days of receiving the firm's request. ADOT must issue a written decision within 30 days of the receipt of the written response from the applicant firm or the meeting with the decision maker, whichever is later. The firm's application for certification is stayed pending the outcome of this process. A decision may be appealed to the Departmental Office of Civil Rights.

When ADOT denies a firm's application, rejects the application of a firm certified in another state, or decertifies a firm, ADOT must make an entry in the Department of Transportation Office of Civil Rights (DOCR's) Ineligibility Determination Online Database. The following information must be submitted:

1. The name of the firm
2. The name of the firm's owner (s)
3. The type and date of this action
4. The reason for the action

ADOT must check the website at least once every month to determine whether any firm that is applying for certification by ADOT, or that ADOT has already certified, is in the database. For any such firm that is in the database, ADOT must promptly request a copy of the listed decision from the UCP that made it. If ADOT receives such a request, ADOT will provide a copy of the decision within 7 days of receiving the request. Notwithstanding any provision of Federal or state law, ADOT must not release any information that may reasonably be construed as confidential business information. This includes application for DBE certification and supporting information. However, ADOT must transmit this information to DOT in any certification appeal proceeding or to any other state to which the individual's firm has applied for certification.

Certification Appeals

Any firm or complainant may appeal ADOT's decision in a certification matter to DOT. Such appeals may be sent to:

U.S. Department of Transportation
Departmental Office of Civil Rights
External Civil Rights Programs Division (S-33)
1200 New Jersey Ave., S.E.
Washington, DC 20590
Phone: (202) 366-4754
TTY: (202) 366-9696
Fax: (202) 366-5575

ADOT will promptly implement any DOT certification appeal decisions affecting the eligibility of DBEs on DOT-assisted contracting (e.g., certify a firm if DOT has determined that our denial of its application was erroneous).

COMPLIANCE AND ENFORCEMENT

Information, Confidentiality, Cooperation

NAIPTA will safeguard from disclosure to third parties any information that may reasonably be regarded as confidential business information, consistent with Federal, state, and local law.

Notwithstanding any contrary provisions of state or local law, NAIPTA will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than DOT) without the written consent of the submitter.

Payment Monitoring

NAIPTA will require prime contractors, consultants, and vendors to maintain records and documents of payments to DBE and non-DBE subcontractors for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of NAIPTA. Subcontractors are required to maintain payment information for any lower tier subcontractors for the same three-year duration.

NAIPTA is required to collect data on DBE and non-DBE participation to report to FTA on Federal-aid projects. Contractors, consultants, and vendors are notified that such record keeping is required by NAIPTA for tracking DBE participation.

Contractors, consultants, and vendors performing on federal aid transportation projects are required to provide monthly reports documenting amounts earned by and paid to all DBEs and non-DBEs. All DBE and non-DBE subcontractors working on federal aid transportation projects are required to verify receipt of payment.

Further, first tier (and lower) subcontractors are required to report amounts earned by and paid to all lower-tier DBE and non-DBE subcontractors. Lower-tier subcontractors are required to verify receipt of payment.

Contractors, consultants, and vendors shall provide the required information to the Administrative Director.

ATTACHMENTS

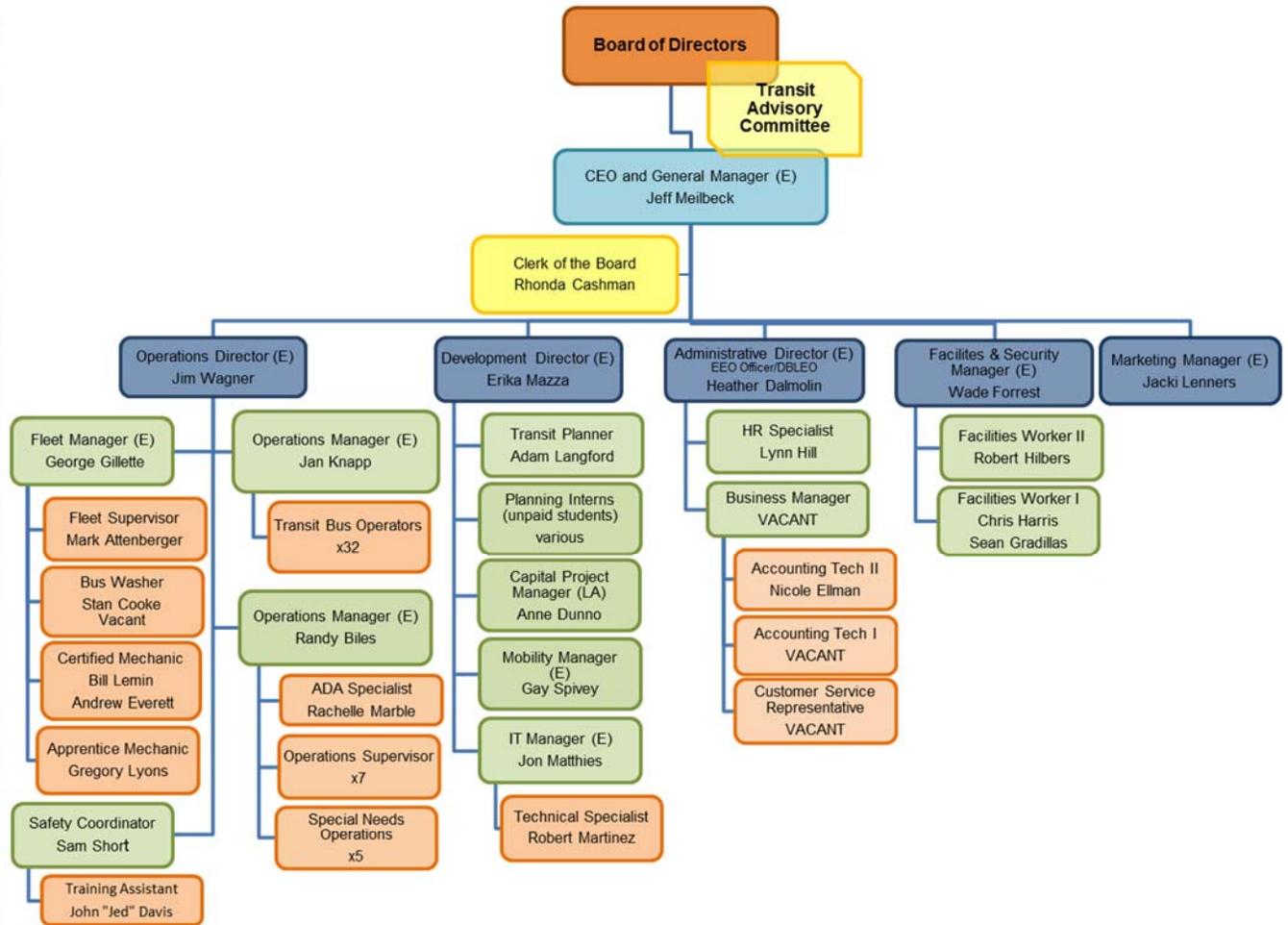
Attachment A	Organizational Chart
Attachment B	Monitoring and Enforcement Mechanisms
Attachment C	Weighting Base Figure Worksheet
Attachment D	Proof of Publication



Northern Arizona Intergovernmental Public Transportation Authority

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ATTACHMENT A – Organizational Structure



Updated 06.16.2015



Getting you where you want to go





Northern Arizona Intergovernmental Public Transportation Authority

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ATTACHMENT B – Monitoring and Enforcement Mechanisms

NAIPTA has available several remedies to enforce the DBE requirements contained in its contracts, including, but not limited to, the following:

1. Breach of contract action, pursuant to the terms of the contract;

In addition, the federal government has available several enforcement mechanisms that it may apply to firms participating in the DBE problem, including, but not limited to, the following:

1. Suspension or debarment proceedings pursuant to 49 CFR part 26
2. Enforcement action pursuant to 49 CFR part 31
3. Prosecution pursuant to 18 USC 1001.



Setting you where you want to go

Step 1 - Determine the weight of each type of work by NAICS Code:

* Enter all the FTA-assisted projects below. Project amounts should be assigned relevant NAICS Code(s).

	NAICS Code	Project	Amount of DOT funds on project:	% of total DOT funds (weight)
1)	485000	Transit Services	\$54,500.00	0.0080
2)	451900	Prof Science and Technical Srvc	\$924,000.00	0.1350
3)	236220	Bus Facility Construction	\$5,868,000.00	0.8571
4)				0.0000
5)				0.0000
6)				0.0000
7)				0.0000
8)				0.0000
9)				0.0000
10)				0.0000
Total FTA-Assisted Contract Funds			\$6,846,500.00	1

Step 2 - Determine the relative availability of DBE's by NAICS Code:

* Use DBE Directory, census data and/or a bidders list to enter the number of available DBE firms and the number of available firms.

	NAICS Code	Project	Number of DBEs available to perform this work	Number of all firms available (including DBEs)	Relative Availability
1)	485000	Transit Services	14	2624	0.0053
2)	451900	Prof Science and Technical Srvc	22	15121	0.0015
3)	236220	Bus Facility Construction	61	10978	0.0056
4)	0	0			
5)	0	0			
6)	0	0			
7)	0	0			
8)	0	0			
9)	0	0			
10)	0	0			
Combined Totals			97	28723	0.0034
					<i>Overall availability of DBEs</i>

Step 3 - (Weight) x (Availability) = Weighted Base Figure

	NAICS Code	Project	Weight	x	Availability	Weighted Base Figure
1)	485000	Transit Services	0.00796	x	0.00534	0.0000
2)	451900	Prof Science and Techni	0.13496	x	0.00145	0.0002
3)	236220	Bus Facility Constructio	0.85708	x	0.00556	0.0048
4)	0	0	0.00000	x	0.00000	
5)	0	0	0.00000	x	0.00000	
6)	0	0	0.00000	x	0.00000	
7)	0	0	0.00000	x	0.00000	

8)	0	0	0.00000	x	0.00000	
9)	0	0	0.00000	x	0.00000	
10)	0	0	0.00000	x	0.00000	
					Total	0.0050
					Expressed as a % (*100)	0.50%
					Rounded, Weighted Base Figure:	1%



Northern Arizona Intergovernmental Public Transportation Authority

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DATE PREPARED: July 7, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Heather Dalmolin, Administrative Director

SUBJECT: Approve Updated Personnel Policy Manual

RECOMMENDATION:

Staff recommends the Board of Directors approve and adopt an updated Personnel Policy Manual to update various policies to most accurately reflect our practices and modify the vacation leave policy.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do
 - ❖ Be trustworthy and dependable
- 5 Year Horizon:
- ❖ Build cooperative relationships regionally to expand and enhance NAIPTA's positive impact.

BACKGROUND:

NAIPTA personnel policy was recently updated and adopted by the Board of Directors in August of 2014. The policy manual was updated after a review of the prior manual by the Mountain States Employment Council, a consortium of HR professionals and attorneys. The recommended changes were confirmed by NAIPTA legal counsel and put into place by staff.

A summary of changes by policy number is below and the policies are attached for review.

- ❖ **Policy 1.1 Equal Employment Opportunity and Unlawful Harassment**
Staff reviewed this policy after Board of Directors in June directed staff to be sure that all Civil Rights programs were updated to include both sexual orientation and gender identification in named or identified groups protected from discrimination. Policy 1.1 included both in the general policy statement (bolded sentence of paragraph 1 of policy) but the statement under subheading Harassment was silent. Staff has updated the statement accordingly. (See addition in red in paragraph 2 under Harassment.)
- ❖ **Policy 3.2 Vacation Leave**
NAIPTA vacation leave policy has been based on the Coconino County model since the first adoption of this policy in 2006. Staff recommends modifying the policy to correct a couple problematic situations created by existing policy.



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1. Staff proposes to modify the annual maximum cap to be 1.5 times (or 18 months of accrual) based on the annual accrual rate. Current policy is 240 hours for all employees and the cap does not recognize the increase in annual accruals based on years of service. This change lowers the cap for people with 10 or less years of service and increases the cap for persons with 16 years or more of service.
 2. Staff proposes to change the date the maximum cap impacts an employee's ability to accrue additional time. The current cap prevents accrual immediately upon reaching the cap. The proposed change would allow employees to exceed the cap thru the end of the fiscal year (Jun 30), offering more flexibility before staff begin 'losing' accruals.
 3. Staff proposes to introduce an additional grace period, upon request and approval from the Manager and CEO-General Manager or designee, which would allow employees to exceed the maximum for up to 2 additional years.
- ❖ **Policies 3.6 Personal Leave of Absence without Pay, 3.7 Family Medical Leave of Absence, 3.8 Medical Leave (Not FMLA or Extended FMLA), 3.10 Military Leave of Absence, 3.11 Victim Leave**

Staff has identified language regarding collection of keys and ID from staff while on leave, all forms of leave including suspension and administrative leave, was inadvertently removed or left out of the related policies. The effected policies are updated to contain language similar to below and are attached to this report for your reference.

In all cases of extended leave, the employee's supervisor, or the Facilities/Security Manager, or other company designee, will obtain from the employee their NAIPTA identification card, and electronic access device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA operations without a badge and escort. The employee will be allowed to ride the buses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

Upon approval of these policies, staff will update the manual and notify staff of the updates.

TAC DISCUSSION:

The Transit Advisory Committee supported changes to the Personnel Policy Manual.

ALTERNATIVES:

- 1) Approve Personnel Policy Manual update (**recommended**): The changes are necessary to reflect NAIPTA practices and philosophies and offer needed flexibility to the vacation leave accruals.
- 2) Do not approve Personnel Policy Manual update (**not recommended**): If not approved, staff will need to consider input of the Board of Directors and redraft policies that meet direction of the Board. This will additionally impact some operating procedures, keys/fobs and ID badges controls, staff feel are important to workplace safety and security.



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FISCAL IMPACT:

There is typically little or no fiscal impact to updating the Personnel Policy Manual.

The update to 3.2 Vacation Policy would increase NAIPTA's financial liability for vacation pay out by 120 hours for NAIPTA staff who have been with the agency longer than 10 years and the introduced grace period can increase the final payout of employees who terminate if the employee is over the maximum cap and departs before June 30 when the cap resets.

SUBMITTED BY:

APPROVED BY:

Heather Dalmolin
Administrative Director

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. Personnel Policy 1.1 EEO and Unlawful Harassment -pages 52-53
2. Personnel Policy 3.2 Vacation Leave -pages 54-55
3. Personnel Policy 3.6 Personal Leave of Absence Without Pay -page 56
4. Personnel Policy 3.7 Family and Medical Leave of Absence -pages 57-60
5. Personnel Policy 3.8 Medical Leave (Not FMLA) -pages 61-62
6. Personnel Policy 3.10 Military Leave of Absence -pages 63-64
7. Personnel Policy 3.11 Victim Leave -page 65



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1.1 EQUAL EMPLOYMENT OPPORTUNITY AND UNLAWFUL HARASSMENT

NAIPTA is dedicated to the principles of equal employment opportunity. **We prohibit unlawful discrimination against applicants or employees on the basis of age 40 and over, race, sex, color, religion, national origin, disability, military status, genetic information, sexual orientation, gender identity and expression, or any other status protected by applicable state or local law.**

ADA and Religious Accommodation

NAIPTA will make reasonable accommodation for qualified individuals with known disabilities and employees whose work requirements interfere with a religious belief unless doing so would result in an undue hardship to NAIPTA or cause a direct threat to health and safety. Employees needing accommodation are instructed to contact their supervisor or Human Resources.

Harassment

NAIPTA strives to maintain a work environment free of unlawful harassment. In doing so, NAIPTA prohibits unlawful harassment because of age 40 and over, race, sex, color, religion, national origin, disability, military status, genetic information, sexual orientation, gender identity and expression or any other status protected by applicable federal, state or local law.

Unlawful harassment includes verbal or physical conduct that has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment. **Actions based on an individual's age 40 and over, race, sex, color, religion, national origin, disability, military status, genetic information, sexual orientation, gender identity and expression, or any other status protected by applicable state or local law will not be tolerated.**

Prohibited behavior may include but is not limited to the following:

- Written form such as cartoons, e-mails, posters, drawings, or photographs.
- Verbal conduct such as epithets, derogatory comments, slurs, or jokes.
- Physical conduct such as assault, or blocking an individual's movements.

This policy applies to all employees including managers, supervisors, co-workers, and non-employees such as customers, clients, vendors, consultants, or other individuals who come into NAIPTA's workplace.

Sexual Harassment

Because sexual harassment raises issues that are to some extent unique in comparison to other types of unlawful harassment, NAIPTA believes it warrants separate emphasis.

NAIPTA strongly opposes sexual harassment and inappropriate sexual conduct. Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature, when:

- Submission to such conduct is made explicitly or implicitly a term or condition of employment.
- Submission to or rejection of such conduct is used as the basis for decisions affecting an individual's employment.

- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment.

All employees are expected to conduct themselves in a professional and businesslike manner at all times. Conduct which may violate this policy includes, but is not limited to, sexually implicit or explicit communications whether in:

- Written form, such as cartoons, posters, calendars, notes, letters, e-mails.
- Verbal form, such as comments, jokes, foul or obscene language of a sexual nature, gossiping or questions about another's sex life, or repeated unwanted requests for dates.
- Physical gestures and other nonverbal behavior, such as unwelcome touching, grabbing, fondling, kissing, massaging, and brushing up against another's body.

Complaint Procedure

If you believe there has been a violation of the EEO policy or harassment based on a protected class, including sexual harassment, please use the following complaint procedure. NAIPTA expects employees to make a timely complaint to enable NAIPTA to investigate and correct any behavior that may be in violation of this policy.

Report the incident to **the EEO Officer, Heather Dalmolin, Administrative Director** (or such person serving in such position) who will investigate the matter and take corrective action. Your complaint will be kept as confidential as practicable. If you prefer not to go to this individual with your complaint, you should report the incident to **Jeff Meilbeck, CEO-CEO-General Manager** (or such person serving in such position).

NAIPTA prohibits retaliation against an employee for filing a complaint under this policy or for assisting in a complaint investigation. If you perceive retaliation for making a complaint or your participation in the investigation, please follow the complaint procedure outlined above. The situation will be investigated.

If NAIPTA determines that an employee's behavior is in violation of this policy, disciplinary action will be taken, up to and including termination of employment.

3.2 Vacation Leave

The primary intent of vacation leave is to enable each eligible employee to take time off to pursue their interests and return to work mentally and physically refreshed.

Employees shall request vacation leave a minimum of two-weeks in advance, whenever possible, of the dates of the desired leave to allow the employee's supervisor to schedule around the employees absence in order to meet NAIPTA's needs. It is the supervisor's responsibility to determine the vacation calendar, and manager or supervisors have discretion to approve or deny vacation leave requests. Vacation will be approved on a first-come, first-serve basis. When simultaneous vacation requests are submitted, supervisor discretion and seniority shall be used to determine the vacation request granted. A division may establish a "no vacation" policy for certain heavy work periods. In addition, Divisions shall establish procedures to address requests for leave in emergency situations when advance approval cannot be obtained. Reasonable guidelines shall be developed within each Division that establishes standards and procedures for the request and approval of leave.

Employees may use vacation time in fifteen (15) minutes increments.

Regular Full time Employees will accrue vacation as set forth in below table. Regular Part-time Benefit Eligible Employees will accrue vacation leave at half of the rates in the below table.

The rate at which vacation leave is accrued by regular full time employees increases incrementally in accordance with their years of continuous service with NAIPTA. The schedule of accrual rates is as follows:

Non- Exempt Employees Years of Service	Days Accrued per Year of Service	Percent Accrued per Pay Period	Hours Accrued per Pay Period	Vacation Hours Maximum (cannot exceed 18 months of earned time)
1-3	13	3.85%	4.00	156
4-5	15	3.85%	4.62	180
6-10	18	3.85%	5.54	216
11-15	20	3.85%	6.15	240
16-20	25	3.85%	7.69	300
21-25	30	3.85%	9.23	360

Regular part-time employees accrue vacation leave as per above at half the rate per pay period.

Vacation leave shall not be charged against an employee's vacation leave balance for an authorized holiday which occurs while the employee is using vacation leave.

Vacation leave is not accrued during an approved leave of absence without pay. Unless a request for leave is approved by the manager or supervisor prior to hire, each regular full-time and part-time employee must complete six months of his or her initial probationary period before becoming eligible to use vacation (the exception to this is military leave). Under certain circumstances, an employee may be eligible to use vacation leave concurrently with Victim Leave (see Policy 3.11 for more information).

Employees who are paid through grant funding may be required to use all or part of accrued vacation time prior to the end of the expiration of the grant.

Employees transferring between NAIPTA regional offices or Divisions and employees who are promoted retain accumulated vacation leave.

Employees may not carry over more hours than can be earned in 18 months of continuous service. Earned vacation hours in excess of the maximum must be used no later than June 30 of each fiscal year. All hours over the maximum allowed and not used by June 30 of the current fiscal year shall be forfeited.

However, in the event of extenuating or unforeseen circumstances, an employee may exceed his or her vacation maximum past June 30 by submitting a written request to the Division Manager/Director through the immediate supervisor. The Division Manager/Director, in conjunction with the Administrative Director, CEO-General Manager or designee, will make a determination and notify the employee of the decision. Employees may not be allowed this option for two consecutive years.

~~A maximum of 240 hours of vacation leave may be accrued.~~ Employees who leave NAIPTA employment will be compensated for accrued but unused vacation days at their normal rate of pay provided the employee has completed 6 months of continuous service as a regular employee with NAIPTA. Service in a temporary position does not count toward the 6 month service requirement.

3.6 Personal Leave Of Absence without Pay

A non-medical, personal leave of absence, without pay, may be granted to regular full-time and part-time employees who have completed at least six months of service. Several factors may be considered in determining whether or not the leave is granted such as:

- The workload in the department.
- The employee's performance and length of service with NAIPTA.
- The urgency of the situation prompting the leave request.

All such requests must be fully justified in writing by the requesting employee, and may be granted or denied at the discretion of the manager or supervisor. For a period of one week or less, the approval of the manager or supervisor alone is required. For a period in excess of one week, and not to exceed six months, approval must be received from the appointed Division director, the Administrative Manager with approval from the CEO-General Manager. All documentation regarding the leave will be forwarded to the Administrative Services Division with the Personnel Action form.

For a leave of absence to remain in force, the employee must contact the supervisor/manager at two-week intervals throughout the leave of absence. To keep medical and dental insurance coverage in force during a leave of absence without pay, the employee must contact the Administrative Services Division to arrange to make direct monthly payments to NAIPTA's payroll and finance provider, in accordance with a schedule determined by the Administrative Services Division. Employees do not accrue vacation or sick leave during a personal leave of absence.

In all cases of extended leave, the employee's supervisor, or the Facilities/Security Manager, or other company designee, will obtain from the employee their NAIPTA identification card, and electronic access device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA operations without a badge and escort. The employee will be allowed to ride the busses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

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3.7 Family and Medical Leave Of Absence

NAIPTA shall provide Family and Medical Leave in accordance with the federal Family and Medical Leave Act ("FMLA"), as summarized below. NAIPTA recognizes that employees occasionally need to take time away from work to care for family and medical needs. This policy is designed to meet those needs by allowing employees to take time off for a limited period with job protection and also no loss of accumulated services provided the employees return to work. Other types of paid and unpaid leave authorized by NAIPTA will run concurrently with FMLA- approved leave. Eligibility for additional leaves of absence beyond the time allotment permitted by the FMLA may also be requested by the employee and will be considered on a case by case basis.

Definition of Plan

NAIPTA provides up to 12 weeks of unpaid, job protected leave for the following reasons:

1. Incapacity due to pregnancy, prenatal medical care or the birth of the employee's child.
2. To care for the employee's child after birth, or the placement of a child with the employee for adoption or foster care.
3. When the employee is needed to care for a child, spouse or parent who has a serious health condition.
4. When a serious health condition prohibits an employee from performing) of his or her position.

Eligibility

To be eligible for leave under this policy, an employee must have been employed by NAIPTA for at least twelve months in total, and must have worked at least 1,250 hours during the twelve month period preceding the commencement of the leave. For the purposes of calculating the 1,250 hour requirement, paid time off for vacation, sick leave, holidays, and other paid time off are not included. Overtime hours, however, are included.

Military Related FMLA Leaves

1. Active Duty Leave: Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves may use the 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.
2. Caregiver Leave: FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is: (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.

Use of Leave

The maximum time allowed for FMLA leave is either 12 weeks in the 12-month period as defined by NAIPTA, or 26 weeks as explained above. NAIPTA uses a 12-month period measured forward from the first day of an employee's leave.

Spouses who are both employed by the NAIPTA are entitled to a total of twelve weeks of leave (rather than twelve weeks each) for the birth or adoption of a child or for the care of a sick parent.

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the NAIPTA's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Employees taking intermittent or reduced schedule leave based on planned medical treatment and those taking intermittent or reduced schedule family leave with NAIPTA's agreement may be required to temporarily transfer to another job with equivalent pay and benefits that better accommodates that type of leave.

Pay During Leave

NAIPTA requires the employee to use accrued sick, comp time, and vacation leave while taking FMLA leave. Paid leave used at the same time as FMLA leave must be taken in compliance with NAIPTA's normal paid leave policies. If an employee's leave of absence does not constitute paid leave as defined in NAIPTA's paid leave policies, the employee cannot use accrued paid leave, but can take unpaid leave. FMLA leave is leave without pay when paid leave benefits are exhausted.

Reinstatement

Upon return from FMLA leave, most employees will be reinstated to their job, or a substantially equivalent position, upon the presentation of a fitness for duty certificate. Certain highly compensated employees ("key employees") may have limited reinstatement rights.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents a qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three consecutive full calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days' notice is not possible, the employee must provide notice as soon as practicable and generally must comply with NAIPTA's normal call-in procedures.

NAIPTA will require a medical certificate from a physician or practitioner to support a claim for leave for an employee's own serious health condition or to care for a seriously ill child, spouse or parent. The certification forms are available in the Administrative Services Division. The certification must be completed by a qualified health care provider. Employees must provide sufficient information for NAIPTA to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions; the family member is unable to perform daily activities; the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform NAIPTA if the requested leave is for a reason for which FMLA leave was previously taken or certified.

Employees also may be required to provide a certification and periodic recertification supporting the need for leave. At its discretion, the NAIPTA may require a second medical opinion and periodic recertification at its own expense. If the first and second opinions differ, NAIPTA, at its own expense, may require the binding opinion of a third health care provider, approved jointly by the NAIPTA and the employee.

Documentation confirming family relationship, adoption, or foster care may be required. If notification and appropriate certification are not provided in a timely manner, approval for leave may be denied. Continued absence after denial of leave may result in disciplinary action in accordance with NAIPTA's attendance guideline. Employees on leave must contact the Administrative Services Division at least 14 days before their first day of return.

Benefits & Protections

During FMLA leave, NAIPTA maintains the employee's health coverage under any group health plan on the same terms as if the employee had continued to work. Employees must continue to pay their portion of any insurance premium while on leave. If the employee is able but does not return to work after the expiration of the leave, the employee will be required to reimburse NAIPTA for payment of insurance premiums during leave.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave. As with other types of unpaid leave, vacation leave and sick leave will not accrue during any FMLA unpaid leave. Holidays, bereavement leave, or employer's jury duty pay are not granted on unpaid leave.

NAIPTA's Responsibilities

NAIPTA will inform employees requesting leave whether they are eligible under FMLA. If they are, the notice will specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, NAIPTA will provide a reason for the ineligibility.

NAIPTA will inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If NAIPTA determines that the leave is not FMLA-protected, NAIPTA will notify the employee.

Unlawful Acts

FMLA makes it unlawful for NAIPTA to:

- Interfere with, restrain, or deny the exercise of any right provided under FMLA.
- Discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against NAIPTA.

FMLA does not affect any federal or state law prohibiting discrimination, or supersede any state or local law or collective bargaining agreement which provides greater family or medical leave rights.

In an extended leave situation, the employee's supervisor, or the Facilities/Security Manager, or other company designee, may obtain from the employee their NAIPTA identification card, and electronic access device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA operations without a badge and escort. The employee will be allowed to ride the busses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

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3.8 Medical Leave (Not FMLA Eligible and Extended beyond FMLA)

A medical leave of absence may be granted to regular employees for absences arising from the employee's illness, injury, or pregnancy. Whether to grant the leave is subject to NAIPTA's sole discretion and may be approved under the following circumstances:

- The employee is not eligible for FMLA leave.
- Has exhausted all available FMLA leave.

For a medical leave to be granted, the following conditions must be met:

- The employee has completed 6 months of employment with NAIPTA.
- The employee notifies the immediate supervisor as soon as possible of the need for medical leave.
- All available sick leave and earned vacation are used at the beginning of the leave of absence.

The employee submits to the Administrative Services Division a written statement from the attending medical provider outlining the reason for leave and the estimated time needed. NAIPTA may require the employee to obtain an opinion from a medical provider selected by NAIPTA.

The immediate supervisor and Administrative Services Division approve the leave before the leave is taken.

Medical leaves, and any extension of leaves, will generally be limited to no longer than 6 weeks. An employee ready to return to work from leave must present a medical provider's statement indicating ability to return to work. If an employee is unable to return to work at the end of FMLA/extended leave, the employee may be entitled to additional accommodation under the Americans with Disabilities Act or other law. The employee must supply sufficient information from their medical provider indicating that he or she has a covered disability and when the employee will be able to return to work with or without reasonable accommodation. Any accommodation provided must not result in undue hardship to the employer. Potential accommodations will be determined after an interactive process between the employee and NAIPTA.

NAIPTA may reinstate an employee ready to return from a medical leave of absence when, in the opinion of NAIPTA, it is practical to do so or as a reasonable accommodation under the ADA.

NAIPTA will continue medical and life insurance benefits for an employee on leave for a maximum of 6 weeks as long as the employee continues to pay the employee's portion of the premium. Vacation and sick leave will not accrue during a medical leave of absence. Holidays, bereavement leave, or employer's jury duty pay will not be granted during the leave.

Part-time employees are not eligible for leave under these guidelines except as required for a disability.

In situation of extended leave, the employee's supervisor, or the Facilities/Security Manager, or other company designee, will obtain from the employee their NAIPTA identification card, and electronic access device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA

operations without a badge and escort. The employee will be allowed to ride the busses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

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3.10 Military Leave Of Absence

NAIPTA will not terminate or deny initial employment, reemployment, promotion, or benefits to an individual or in any way discriminate against, an individual on the basis of their application for, membership in, or performance of military duty. This policy refers to service in the uniformed service and includes active duty, active duty for training, initial active duty for training, inactive duty training, full-time National Guard duty, and a period for which an employee is on leave for the purpose of an examination to determine the fitness of the employee to perform any such duty.

Leave: Employees will be granted military leave with pay for up to 30 working days in two consecutive years. The limitations of 30 days in a two-year period is based upon the federal fiscal year (October 1 to September 30), unless no specific time period is stipulated as in the National Guard law, in which case the two-year period will vary for each employee, based upon the record of military orders. For equality of treatment, all employees will be placed on a schedule of five consecutive eight-hour working days during the period of military leave. Employees will be granted military leave without pay, or may take accrued vacation or compensatory time for leave for service in the uniformed services exceeding 30 working days. Employees will not accrue sick or vacation time during an unpaid military leave.

Health Insurance Benefits: Employees on paid military leave as described above will be entitled to continue group health and dental insurance benefits as an active employee. Employees on unpaid military leave will continue to receive group health and dental insurance benefits as an active employee up to a maximum period of ninety days. To keep medical and dental insurance coverage in force during unpaid military leave which exceeds 90 days up to a maximum of 18 months, the employee on leave must arrange to make direct monthly payments to, and in accordance with a schedule determined by, the Administrative Services Division.

Re-employment Rights: An employee on military leave retains his or her right to reemployment for up to five years. Return from Military Leave: The time limits for returning to work depend on the duration of the orders: Service of 1 to 30 days: the beginning of the first regularly scheduled work day or 8 hours after the end of the military duty, plus reasonable commuting time from military duty station to home. Service of 31 to 180 days: application for reinstatement must be submitted not later than 14 days after completion of military duty. Service of 181 or more days: application for reinstatement must be submitted not later than 90 days after completion of military duty.

Probationary Employees: When an employee who is serving an initial, subsequent, or administrative probation is called for military service, he/she shall be required to complete the remaining term of the probation upon return from military leave.

This section is intended to summarize briefly the most essential components of the Uniformed Services Employment and Reemployment Rights Act of 1994. An employee may request a complete copy of the federal regulations from the Administrative Services Division.

Please note that in the event of any changes in the applicable law regarding military leave that this policy will be changed accordingly.

In situation of extended leave, the employee's supervisor, or the Facilities/Security Manager, or other company designee, will obtain from the employee their NAIPTA identification card, and electronic access

device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA operations without a badge and escort. The employee will be allowed to ride the busses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

3.11 VICTIM LEAVE

Certain employees are allowed time off to be present at a court-related proceeding or to attend counseling associated with being a crime victim pursuant to state law, unless the time off creates an undue hardship on NAIPTA.

Employees who are victims are eligible to take leave on the first day of their employment without a waiting period for eligibility.

Paid/Unpaid Leave

Before any unpaid victim leave will be granted, the employee must first exhaust any accrued sick and vacation leave. NAIPTA will continue to pay for the employee's medical/dental/vision insurance. Exempt staff members will be paid their normal salary during any workweek in which they use Victim Leave and also perform services for NAIPTA, regardless of the amount of time spent performing those services.

Verification

Before an employee may leave work, the employee shall provide the Division head with a copy of the form provided to the employee by the law enforcement agency and, if applicable, give the Division head a copy of the notice of each scheduled proceeding that is provided to the victim by the agency that is responsible for notifying the victim.

Undue Hardship

The Division head may limit the leave provided under this section if the employee's leave creates an undue hardship.

Confidentiality

All records regarding the employee's victim leave shall be kept confidential.

In situation of extended leave, the employee's supervisor, or the Facilities/Security Manager, or other company designee, will obtain from the employee their NAIPTA identification card, and electronic access device/keys. While on leave, employees must enter the Main Office through the main lobby and obtain a Visitor's badge. Employees on leave will not be granted access into Employee Only areas of NAIPTA operations without a badge and escort. The employee will be allowed to ride the busses and be at stops/connections centers, unless their behavior is such to warrant otherwise.

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Northern Arizona Intergovernmental Public Transportation Authority

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DATE PREPARED: July 6, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Rhonda Cashman, Clerk of the Board

SUBJECT: Update the Agenda Packet Policy

RECOMMENDATION:

Staff recommends the Board of Directors review and provide direction regarding the updated agenda packet policy.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do

Goals:

- ❖ Plan with attention to “green” opportunities and long-term sustainability.

BACKGROUND:

The current Agenda Packet policy is outdated and does not provide correct information. The current policy states the agenda would be posted prior to being sent to members and we are often fine tuning the agenda until the time the packet is sent to members. On occasion, changes are made after the agenda packet is sent out to members, but before the agenda is posted for public notice. The TAC reviews the NAIPTA Board Business Agenda two weeks prior to the Board meeting. Sometimes time sensitive items are added to the Board agenda that did not go to the TAC and this option is not currently within the policy. In these instances, we make every effort to bring the added information back to the TAC the next month. Staff’s proposal for an updated policy reflects what has been part of practice and addresses how to handle large attachments for both Board and TAC. The updated policy should help with the document retention process as well, which NAIPTA is currently updating based on new state requirements.

TAC DISCUSSION:

Vice Chair Wessel recommended a draft TAC agenda be posted to the website to give the public some advance notice of the topics to be covered at the upcoming meeting about a week prior to the meeting. Staff asked if the schedule of regular meetings is enough notice and then the public would know to check back within 24 hours for the meeting topics. Another option would be to post



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the agenda when the TAC packet is sent to members and then it would only need to be updated if there were changes.

FISCAL IMPACT:

There is no direct financial impact with the revision of the Agenda Packet policy update. The updated Agenda Packet policy will promote a “green” approach by removing large attachments and providing them as separate electronic documents and reduce costs due to fewer pages in the agenda packet to be printed. The electronic storage requirements for permanent and non-permanent records will also provide for cost savings and prevent duplication.

SUBMITTED BY:

APPROVED BY:

Rhonda Cashman
Clerk of the Board

Erika Mazza
Interim General Manager

ATTACHMENTS:

- 1. Updated Agenda Packet Policy -page 68



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EFFECTIVE DATE: July 16, 2015

SUBJECT: Agenda Packet Policy

A. FOR TRANSIT ADVISORY COMMITTEE:

1. Agenda will be posted in accordance with Statement of Public Posting Locations and in accordance with Arizona Open Meeting Law Regulations.
2. NAIPTA website will be updated with the Agenda no later than 24 hours prior to the meeting.
3. Agenda Packets will be provided by email in PDF format approximately 2 business days prior to meeting. Packets will be distributed to identified member or designee for each member agency and administrative assistants. Upon request, a hard copy of the agenda packet will be available for attendees at the meeting. As an alternative, a link will be provided to download the packet.
4. In the interest of sustainability practices, large attachments (more than 10 pages) like reports and contracts will be made available as a separate document or upon request.

B. FOR BOARD OF DIRECTORS:

1. Agenda will be posted in accordance with Statement of Public Posting Locations and in accordance with Arizona Open Meeting Law Regulations.
2. NAIPTA website will be updated with Agenda Packet including: minutes from previous meeting, staff reports and attachments approximately one week prior to the meeting, unless special circumstances arise. BOD members, delegates, and staff can access any staff report or attachment for review prior to meeting.
3. Agenda Packets will be provided by email in PDF format approximately one week prior to meeting. Packets will be distributed to identified member or designee for each member agency and administrative assistants. Upon request, a hard copy of the agenda packet will be available for attendees at the meeting. As an alternative, a link will be provided to download the packet.
4. In the interest of sustainability practices, large attachments (more than 10 pages) like reports and contracts will be made available as a separate document or upon request.
5. Should the agenda change, an updated agenda shall be posted no later than 24 hours prior to the meeting.



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DATE PREPARED: July 7, 2015

DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Anne Dunno, Capital Project Manager

SUBJECT: KCS Contract Amendment – Change Order #5 Solar Construction Services

RECOMMENDATION:

Staff recommends the Board of Directors approve Change Order #5 to the existing Kinney Construction Services, Inc. contract in an amount not to exceed \$403,869 for solar construction.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do
- ❖ Be environmental stewards
- ❖ Be fiscally responsible and responsive to changing demographics.

5 Year Horizon:

- ❖ Plan with attention to “green” opportunities and long-term sustainability

BACKGROUND:

NAIPTA is requesting Change Order #5 to the original KCS contract to include installation of rooftop solar on the newly completed bus storage building (Shop 3). Solar power production will offset utility costs for the bus storage and bus wash facilities. Solar was identified in the KCS RSOQ technical document as a project element but funding/cost allocation was not included in the original award of the design build contract. At the time of the original contract, we removed solar and parking modifications to make sure that we had enough funds to complete the building and wash facilities.

Because the Kaspar Expansion Project remained within the original GMP budget, and we received all the funds we requested through ADOT’s competitive award process, NAIPTA is able to pursue solar installation with remaining funds dedicated to this project. Use of solar power supports NAIPTA’s long term sustainability goals and monthly utility savings can be reallocated towards other operational costs, such as additional bus service hours.

To determine system size, NAIPTA and KCS reviewed APS bills for bus storage/bus wash average monthly power requirement. Highest monthly power demand was approximately 57 KW with average \$2000 monthly electric utility cost. NAIPTA requested system accommodation for additional 25% power production to provide NAIPTA flexibility for future fleet expansion and consideration of third party use of bus wash. A 95kW/dc system was developed to meet this requirement. It is anticipated the installed system will generate approximately 153,947 kWh annually and provide average energy cost savings of \$14,000 per year.

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The solar construction GMP was based on preliminary design plans. Final solar design is anticipated for completion by mid-July but system size is not anticipated to change. Solar construction scope includes installation of solar panels, inverters, racking system, and roof ladder access. Change Order #5 also includes a solar monitoring system, 3-year solar PV maintenance plan. KCS will provide project management and oversight, commissioning and owner training. Third party cost estimate for solar installation identified an average cost of \$3/Wdc for an installation cost of \$283,000, which did not include solar monitoring, PV maintenance, permitting, commissioning, D-B fees including general conditions and contingency. KCS estimated approximately \$254K for subcontractor installation labor and materials which is comparable to third party estimate.

Pending final design submittal and permit approval, PV installation is scheduled for September with final completion by early December, 2015.

TAC DISCUSSION:

TAC requested the value of unspent funds remaining within the \$8.2 million grant funded total project budget to provide BOD context for the solar construction and parking/drainage change orders respectively. There were no further technical questions regarding the scope and schedule for the solar construction phase.

ALTERNATIVES:

- 1) Approve Change Order #5 to Kinney Construction Services, Inc. contract for construction services in support of solar improvements in the amount not to exceed \$403,869. **(recommended):** The recommended action is supported by NAIPTA procurement process. Approval of Change Order #5 allows KCS to move forward with solar construction and for NAIPTA to realize operational savings.
- 2) Do not approve Change Order #5 to Kinney Construction Services, Inc. contract for construction services in support of solar improvements **(not recommended):** If the recommended action is not approved, NAIPTA will not move forward with the installation of solar improvements and continue to operate bus storage and bus wash utilizing traditional power and forgo the operational savings that solar would provide.

FISCAL IMPACT:

Remaining portion of unspent funds both local and federal from ADOT grant awards for this project are available to complete the parking lot modifications, parking drainage correction, and solar projects that were a part of the original technical proposal and grant applications. The grants were awarded in FY2013 and FY2014 in the amount of \$6,560,000 and matched with \$1,640,000 local funds. Change Order #6 for parking/drainage project is in the FY2016 adopted budget. To date, we have expended \$5,775,000 from the total \$8.2MM budget. Once both projects (Change Order #5 and #6 are completed, NAIPTA will have approximately \$265,000 remaining in the overall budget. With the remaining funds, staff will address other items that were not completed like signage, warrantee and maintenance agreements for the Bus Wash, and obtaining additional material stock.



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SUBMITTED BY:

APPROVED BY:

Anne Dunno
Capital Project Manager

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. Change Order #5 for Solar Scope of Work -pages 72-73



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CHANGE ORDER NO. 5

ESTABLISHING BASIS OF PROPOSAL-PRELIMINARY PLANS, CONSTRUCTION PROPOSAL AND FINAL GMP, AND PRELIMINARY CONSTRUCTION SCHEDULE for SOLAR PV AT BUS STORAGE FACILITY

Pursuant to § 1.5 of the Agreement, the NAIPTA Board has approved the Final Construction Plans and Specifications set forth on Exhibit 1 hereto and the Final GMP for construction of the Solar PV at Bus Storage Facility in accordance with the Final Construction Plans as Specifications, which Final GMP is set forth in Exhibit 2 hereto. Further, pursuant to § 2.11.2 of the General Conditions of Contract – NAIPTA Facilities Expansion, Exhibit B to the Agreement (“General Conditions”), the NAIPTA Board has also approved the Project Time Schedule attached hereto as Exhibit 3.

Therefore, as set forth in §§ 1.5 and 7.2 of the Agreement and § 2.11.2 of the General Conditions, NAIPTA and Design-Builder agree that the Agreement is modified by this Change Order as follows:

1. The **Basis of Proposal - Preliminary Plans** for construction of the Project are set forth in Exhibit 1 hereto and incorporated herein by this reference.
2. The **Construction Proposal** under the Agreement is the Final GMP set forth in Exhibit 2 hereto and incorporated herein by this reference, which shall be the Contract Price under this Agreement. **Total GMP amount \$403,869.00**
3. The **Preliminary Construction Schedule** is the Project Time Schedule attached hereto as Exhibit 3 and incorporated herein by this reference.
4. Design Builder shall provide to NAIPTA within 30 days of the effective date of this Change Order the payment and performance bonds required under § 11.2 of the Agreement, each in the amount of **\$40,386.90**
5. Design-Builder will obtain and/or deliver to NAIPTA all other documents, insurances, certifications, plans and other deliverables required under the Agreement to be obtained and/delivered to NAIPTA upon approval of the Final GMP or prior to commencement of construction of the Project within 30 days of the effective date of this Change Order (i.e., the written accident prevention and safety plan under § 7.5, etc.). And,
6. The Agreement remains unchanged in all other respects and all other provisions of the Agreement remain in full force and effect.

IN WITNESS WHEREOF, the Parties have executed this Change Order effective **DATE.**

NAIPTA:

NAIPTA

(Signature)

(Printed Name)

Chair, Board of Directors
(Title)

Date: _____

ATTEST:

Clerk of the Board

APPROVED AS TO FORM:

Fredda Bisman,
NAIPTA Attorney

DESIGN-BUILDER:

Kinney Construction Services, Inc.
(Name of Design-Builder)

(Signature)

(Printed Name)

(Title)

Date: _____

ACKNOWLEDGED before me by
the said _____
of _____
on this ____ day of _____, 2015

Notary Public



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DATE PREPARED: July 7, 2015

DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Anne Dunno, Capital Project Manager

SUBJECT: KCS Change Order #6 for Parking and Drainage Construction

RECOMMENDATION:

Staff recommends the Board of Directors approve Change Order #6 to the existing Kinney Construction Services, Inc. contract in an amount not to exceed \$341,845.46 for construction of parking and drainage improvements.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do
- ❖ Be environmental stewards
- ❖ Be fiscally responsible and responsive to changing demographics.

5 Year Horizon:

- ❖ Plan with attention to "green" opportunities and long-term sustainability

BACKGROUND:

Change Order #6 is for construction of parking and drainage improvements associated with the Kaspar expansion bus storage and bus wash construction. Improvements are located in the vicinity of the administrative building.

Parking improvements were included in the original GMP (Change Order #1) for addition of 17 parking stalls with closure of the east administrative driveway entrance and curb modifications. Six parking stalls were physically constructed in summer 2014 with the intent to make final parking lot modifications in spring/summer 2015 as the final portion of the Kaspar Expansion Project. Change Order #6 will provide for a net gain of 16 stalls (10 will be completed during this phase) due to revised direction from NAIPTA regarding access of our administrative driveways.

In January, 2015 when buses began daily use of the new "bus only" driveway associated with the Shop #3 completion, NAIPTA identified the need to maintain the two existing administrative driveways to allow NAIPTA fleet to egress via the east driveway in the event of an unplanned closure of the new "bus only" driveway. Two driveways into administrative facility also provides for maximum vehicular circulation. NAIPTA identified the need for drainage improvements when new areas of ponding were identified along the rear side of the administrative building. NAIPTA also requested mitigation of existing ponding areas in the front parking lot along with the improvements to parking circulation and east driveway.

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KCS scope for Change Order #6 includes installation of a curb island to provide a modified "right-in/right out" east driveway, new storm drain structures and valley gutter located in the front parking lot, new trench drain along the rear of the administrative building, curb removals, asphalt replacement, and striping of new parking stalls near Shop 0.

The Design-Build team completed design documents for the drainage/parking improvements and made submittal to COF on June 11, 2015. KCS's Change Order #6 in the amount of \$341,845 for construction is based on design documents completed prior to permit review and includes a 10% contingency in the amount of \$26,298. Pending permit availability, construction will commence in August with completion in October, 2015.

TAC DISCUSSION:

TAC requested the value of unspent funds remaining within the \$8.2 million grant funded total project budget to provide BOD context for the solar construction and parking/drainage change orders respectively. TAC also requested information regarding parking stall counts gained with improvements and to revise the schematic map for presentation purposes. There were no further technical questions regarding the scope and schedule for the parking/drainage improvements.

ALTERNATIVES:

- 1) Approve Change Order #6 to Kinney Construction Services, Inc. for construction of parking and drainage improvements. **(recommended):** The recommended action is supported by NAIPTA procurement process. Approval of Change Order #6 allows KCS to move forward with construction in anticipation of completion of parking and drainage improvements by October, 2015.
- 2) Do not approve Change Order #6 to Kinney Construction Services, Inc for construction of parking and drainage improvements. **(not recommended):** If the recommended action is not approved, NAIPTA will not be able to address the drainage, parking, and driveway issues identified.

FISCAL IMPACT:

Remaining portion of unspent funds both local and federal from ADOT grant awards for this project are available to complete the parking lot modifications, parking drainage correction, and solar projects that were a part of the original technical proposal and grant applications. The grants were awarded in FY2013 and FY2014 in the amount of \$6,560,000 and matched with \$1,640,000 local funds. Change Order #6 for parking/drainage project is in the FY2016 adopted budget. To date, we have expended \$5,775,000 from the total \$8.2MM budget. Once both projects (Change Order #5 and #6 are completed, NAIPTA will have approximately \$265,000 remaining in the overall budget. With the remaining funds, staff will address other items that were not completed like signage, warrantee and maintenance agreements for the Bus Wash, and obtaining additional material stock.



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SUBMITTED BY:

APPROVED BY:

Anne Dunno
Capital Project Manager

Erika Mazza
Interim General Manager

ATTACHMENTS:

- 1. Change Order #6 and Parking / Drainage Scope of Work -pages 77-78



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CHANGE ORDER NO. 6

ESTABLISHING FINAL CONSTRUCTION PLANS AND SPECIFICATIONS, FINAL GMP, AND PROJECT TIME SCHEDULE for PARKING LOT AND DRAINAGE IMPROVEMENTS

Pursuant to § 1.5 of the Agreement, the NAIPTA Board has approved the Final Construction Plans and Specifications set forth on Exhibit 1 hereto and the Final GMP for construction of the Parking Lot and Drainage Improvements in accordance with the Final Construction Plans as Specifications, which Final GMP is set forth in Exhibit 2 hereto. Further, pursuant to § 2.11.2 of the General Conditions of Contract – NAIPTA Facilities Expansion, Exhibit B to the Agreement (“General Conditions”), the NAIPTA Board has also approved the Project Time Schedule attached hereto as Exhibit 3.

Therefore, as set forth in §§ 1.5 and 7.2 of the Agreement and § 2.11.2 of the General Conditions, NAIPTA and Design-Builder agree that the Agreement is modified by this Change Order as follows:

1. The **Final Construction Plans by Peak Engineering dated 06.09.15** for construction of the Project are set forth in Exhibit 1 hereto and incorporated herein by this reference.
2. The **Final GMP** under the Agreement is the Final GMP set forth in Exhibit 2 hereto and incorporated herein by this reference, which shall be the Contract Price under this Agreement. **Total GMP amount \$341,845.46**
3. The **Project Time Schedule** is the Project Time Schedule attached hereto as Exhibit 3 and incorporated herein by this reference.
4. Design Builder shall provide to NAIPTA within 30 days of the effective date of this Change Order the payment and performance bonds required under § 11.2 of the Agreement, each in the amount of **\$ 34,184.55.**
5. Design-Builder will obtain and/or deliver to NAIPTA all other documents, insurances, certifications, plans and other deliverables required under the Agreement to be obtained and/delivered to NAIPTA upon approval of the Final GMP or prior to commencement of construction of the Project within 30 days of the effective date of this Change Order (*i.e.*, the written accident prevention and safety plan under § 7.5, etc.). And,
6. The Agreement remains unchanged in all other respects and all other provisions of the Agreement remain in full force and effect.

IN WITNESS WHEREOF, the Parties have executed this Change Order effective **DATE.**

NAIPTA:

NAIPTA

(Signature)

(Printed Name)

Chair, Board of Directors
(Title)

Date: _____

ATTEST:

Clerk of the Board

APPROVED AS TO FORM:

Fredda Bisman,
NAIPTA Attorney

DESIGN-BUILDER:

Kinney Construction Services, Inc.
(Name of Design-Builder)

(Signature)

(Printed Name)

(Title)

Date: _____

ACKNOWLEDGED before me by
the said _____
of _____
on this ____ day of _____, 2015

Notary Public



Northern Arizona Intergovernmental Public Transportation Authority

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DATE PREPARED: July 8, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Jon Matthies, IT Manager

SUBJECT: Approve Third Amendment to TransitFare and Systems Contract

RECOMMENDATION:

Staff recommends the Board of Directors approve the Third Amendment to TransitFare and Systems Ltd contract for equipment upgrades to fare consoles, as well as additional contract capacity for system customization in FY2016, in the amount of \$27,900.

RELATED STRATEGIC WORKPLAN OBJECTIVE

- Guiding Principles
- ❖ Collaborate to enhance service delivery
- ❖ Strive for continuous improvement in all we do
5 Year Horizon
- ❖ Apply imagination, creativity and innovation to improve the service we deliver

BACKGROUND:

In December 2013, the Board awarded RFP 2014-104 and a subsequent contract for Automated Fare Collection System with Automatic People Counters to TransitFare & Systems Ltd. (TransitFare). The contract was for manufacture and delivery of fare collection systems as well as related installation and programming. The system includes a replacement fare box unit, a driver interface for electronic data collection, a pass validator for automating pass validation, and automatic people counters.

In June 2014, the Board approved the First Amendment to the TransitFare contract, which allowed for the procurement of fare media. In February 2015, the Board approved the Second Amendment, which allowed for additional system customization during the remaining months of FY2015.

Since implementation of NAIPTA's fare collection system in June 2014, NAIPTA has relied on Wi-Fi connectivity to communicate updates to fare consoles on buses. This means that updates can only be communicated to buses after they return to our facility, typically at the end of the day. In day to day operations, this lag means that if a fare card is blocked due to being lost or stolen, the fare consoles will still accept the card through the current day. Cellular data connections would update consoles in near real time, reducing the window for fraudulent use. Once online fare card reloading is introduced, this is expected fall 2015, cellular connectivity would allow a rider to pay for a fare product online, and be able to use it on a bus within the same day. Without cellular connectivity, the rider would have to wait until the following day to use their pass.

The option to upgrade our fare collection equipment just became available within the past 30 days. With an eye towards our scheduled roll-out of an e-purse fare card--which is both planned and funded--this upgrade will allow NAIPTA to have the most up to date system and be able to use the e-purse system to its full capacity.



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TAC DISCUSSION:

The Transit Advisory Committee inquired about increases to operational costs. Staff advised of the costs--\$120 annually, per bus—and updated the staff report accordingly. The Transit Advisory Committee supported approval of the Third Amendment to TransitFare and Systems Ltd contract.

ALTERNATIVES:

- 1) Approve recommendation for approval of Third Amendment (**recommended**): Approving the Third Amendment would permit equipment upgrades ensuring an increased level of customer service along with increased fraud protections, and allow for any needed system customization during FY2016.
- 2) Do not approve the recommendation (**not recommended**): If recommendation is not approved, riders will need to wait to use passes that they've re-loaded online until the following day. In addition, current windows for fraud would remain.

FISCAL IMPACT:

\$17,900 of the funds requested within the Third Amendment would upgrade all fare consoles to support 4G cellular data connectivity. The remaining \$10,000 would only be expended if additional system configuration needs are identified by NAIPTA staff during this fiscal year. This project is an unbudgeted expense for FY2016, but NAIPTA still has federal funds of 80% funding from Section 5307 as the total project is still less than original anticipated project cost of \$500,000. City of Flagstaff dedicated taxes would be used for 20% local match. Additional operational costs for cellular data plans are estimated at \$120 per bus annually.

SUBMITTED BY:

APPROVED BY:

Jon Matthies
IT Manager

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. Third Amendment, TransitFare contract -pages 81-82



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THIRD AMENDMENT TO AGREEMENT

THIS THIRD AMENDMENT TO INDEPENDENT CONTRACTOR AGREEMENT is made and entered into effective as of the **1st day of July, 2015** (the “Effective Date”), by and between the Northern Arizona Intergovernmental Public Transportation Authority, a political subdivision of the State of Arizona (“NAIPTA”), and TransitFare and Systems Ltd., a limited liability company (the “Contractor”). NAIPTA and the Contractor are sometimes referred to in this THIRD Amendment collectively as the “Parties” and each individually as a “Party.”

RECITALS:

A. The Parties entered into an Agreement for Automated Fare Collection System and Automatic People Counters dated December 5, 2013, a First Amendment dated May 1, 2014, and a Second Amendment dated July 1, 2014, (collectively the “Agreement”). All capitalized terms used without definition in this Amendment shall have the definitions ascribed to them in the Original Agreement, as modified by this THIRD Amendment.

B. The Parties now desire to amend the Original Agreement upon the terms and conditions contained in this THIRD Amendment.

AGREEMENTS:

NOW, THEREFORE, for and in consideration of the foregoing Recitals and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the Parties hereby amend the Original Agreement as follows:

1. Section 2 Billing and Payment. The subsection ‘Fee’ is amended to include the following statement: “The fee is amended to add \$27,900 for equipment upgrades and ongoing system support.”
2. Section 3 Term of Agreement and Termination. The term of the agreement is amended to add the second of four additional 12 month periods. The amendment period ends on June 30, 2016.
2. Reaffirmation of Original Agreement. Except as amended by this THIRD Amendment, the Original Agreement, the First Amendment, and the Second Amendment shall remain in full force and effect.
3. Counterparts. This THIRD Amendment may be executed in one or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument, binding on all of the Parties. The Parties agree that this Amendment may be transmitted between them via facsimile. The Parties intend that the faxed signatures constitute original signatures and that a faxed agreement containing the signatures (original or faxed) of all the Parties is binding upon the Parties.

IN WITNESS WHEREOF, the Parties have executed this Amendment effective as of the Effective Date set forth above.

NAIPTA, a political subdivision of the State of Arizona

Date: _____

By: _____

Its: _____

Approved as to form:

By _____

Fredda J. Bisman
General Counsel, NAIPTA

TransitFare and Systems Ltd

Date: _____

By: _____

Its: _____



Northern Arizona Intergovernmental Public Transportation Authority

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DATE PREPARED: July 8, 2015

MEETING DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Heather Dalmolin, Administrative Director

SUBJECT: Adopt NAIPTA Performance Measures

RECOMMENDATION:

Staff recommends the Board of Directors adopt Performance Measures to be used by staff in development of a Strategic Plan.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do
- ❖ Be trustworthy and dependable

BACKGROUND:

As per the discussions with the Transit Advisory Committee and the Board of Directors in the spring of 2015, NAIPTA staff has been working towards development of performance measures that will aid in providing measurements and goals for evaluating the success of services and programs through a future redevelopment of our Strategic Plan. Using prior developed performance measures, staff presented and the Board of Directors adopted Strategic Measures for FY2016 as part of the overall budget adoption in June 2015 .

In order to develop viable Performance Measures, staff looked to examples within the industry and identified several models that could assist NAIPTA. The following list is a summary of measurements used by other agencies and by NAIPTA in the past. Each measurement proposed can be tied to the Strategic Workplan adopted annually by the Board of Directors.

For Bus service evaluation and planning:

- Annual Operating Cost: the total cost of the program, including administration
- Farebox Recovery (previously subsidy per passenger): the percentage of operating cost paid for by fares and revenue contracts (fees in lieu of traditional fare collections: NAU, Division of Child Safety, etc.)
- Annual Boardings: total ridership
- Cost per Passenger: annual operating cost divided by annual boardings
- Cost per Service Hour: annual operating cost divided by service hours (service hours are the sum of hours of operation performed, i.e. 5 vehicles at 16 hours per vehicle is 80 service hours)



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- Passenger Miles: total miles traveled by passengers, where miles are calculated by determining number of passengers on board between each point on a route and multiplying by miles between the points.
- Passenger Miles per Service Mile: passenger miles divided by service miles (service miles are total miles traveled by all vehicles in service)
- On-time Performance: departure from bus stop is determined to be on time when occurs no later than 5 minutes after the scheduled departure time

For Paratransit service evaluation and planning:

- Annual Operating Cost: the total cost of the program, including administration
- Passengers Per Hour: number of passengers provided divided by service hours (service hours are the sum of hours of operation performed)
- Cost per Passenger: annual operating cost divided by number of passengers
- Cost per Hour: annual operating cost divided by service hours (service hours are the sum of hours of operations performed)
- Cost per Mile: annual operating cost divided by service miles (service miles are the sum of miles of operations performed, i.e. 5 vehicles perform 100 miles per vehicle is 500 service miles)
- Trip Denial Ratio: percentage of total trips requested that are denied during the booking process (denial is defined as a trip that cannot be performed during the allowed 1 hour window on each side of requested time and any resulting 'return' trip that is cancelled due to lack of availability for other necessary trip)

For Taxi program evaluation and planning:

- Cost per Voucher: total cost to provide program divided by number of vouchers used
- Total Vouchers: total number of vouchers used

For Vanpool evaluation and planning:

- Number of Vans: total number of vans in service
- Trips: total number of passengers for all vans in service
- Number of Users: total number of individual users of program

Staff has evaluated the measures proposed to ensure that terminology is reflective of commonly used terms in performance measure reporting amongst transit systems. This consistency will aid in our comparison to other systems in the future.

Some additional measurements NAIPTA could use to evaluate programs for addressing goals to be outlined and captured in a future Strategic Plan are:

- Customer complaints
- Private funding ratio
- Customer Satisfaction Score
- Cost per Mile
- Passenger Miles per Service Hour

Other performance indicators identified in other agency plans:

- Workman's Compensation cost per FTE
- Service Hours per FTE

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- Introduction of goals related to safety:
 - Decreasing cost thru wellness programs (reduction of sick leave used)
 - Accidents per Service Miles
 - Safety Complaints per Period
 - Reduction of accident and injury cost
- Introduction of additional customer service ratings:
 - Overall satisfaction of customers
 - Overall satisfaction of public
 - Overall safety rating of customers and public
- Capture service goals
 - Introduction of specific route or service

Once performance measures are adopted and direction is given on additional measures needed, staff will develop a Strategic Plan to capture the Performance Measures.

TAC DISCUSSION:

The Transit Advisory Committee supported the proposed Performance Measures and timelines for reporting. Mr. Wessel with the Flagstaff Metropolitan Planning Organization suggested that NAIPTA may want to consider setting a crush load or capacity performance measure as Mountain Link often reaches capacity. Staff believe that a standard or measurement of capacity to indicate additional service is necessary is part of the Title VI Policy that sets System Wide Standards and Policies however could add this standard (or other Title VI standards) if preferred to the reoccurring performance report. Mr. Wessel also suggested defining the proposed measures and staff have revised this report to define the measures. Mr. Bertelsen with Coconino County reminded staff that the vanpool program should be recognized in the report and also have established performance measures that can be used when reporting on programs to the Coconino County Board of Supervisors. Staff have revised the proposed Performance Measures to include the Vanpool Program.

ALTERNATIVES:

- 1) Approve and adopt updated Performance Measures (**recommended**): This action provides staff with clear direction on planning process and measurements to be used in evaluation of programs.
- 2) Do not approve (**not recommended**): If the Performance Measures are not approved, staff will need additional direction on what measures should be developed or used in development of a strategic plan.

FISCAL IMPACT:

The adoption of the Performance Measures is not anticipated to have adverse financial impact and have potential for increasing revenues or decreasing costs through evaluation and measurement.



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SUBMITTED BY:

APPROVED BY:

Heather Dalmolin
Administrative Director

Erika Mazza
Interim General Manager

ATTACHMENTS:

1. NAIPTA Performance Measures -page 87



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NAIPTA Services - Strategic Measures
FY2016 Performance Goals - 07.01.2015

	2014 Actual	2015 Budget	2016 Budget
<u>Fixed Route - Mountain Line</u>			
Annual Operating Cost	\$ 5,451,705	\$ 5,860,349	\$ 6,414,626
Farebox Recovery	24.40%	23.03%	21.24%
Annual Boardings	1,837,140	1,882,340	2,057,513
Cost per Passenger	\$ 2.97	\$ 3.11	\$ 3.12
Cost per Service Hour	91.09	95.27	92.53
Passenger Miles	6,170,523	6,825,975	6,895,064
Passenger Miles per Service Mile	8.28	8.83	7.35
On-time Performance	87%	85%	93%

Demand Response - Mountain Life

Annual Operating Cost	\$ 976,344	\$ 944,029	\$ 915,935
Trips Per Hour	2.47	2.48	2.36
Cost per Trip	\$ 39.81	\$ 37.63	\$ 40.65
Cost per Hour	\$ 98.50	\$ 93.37	\$ 95.88
Cost per Mile	\$ 8.01	\$ 7.59	\$ 8.49
Trip Denial Ratio			

Taxi Program - City

Cost per Voucher	\$ 10.14	\$ 10.18	\$ 10.00
Total Vouchers	3,494	5,241	5,337

Taxi Program - County

Cost per Voucher	\$ 30.42	\$ 30.00	\$ 30.00
Total Vouchers	1,194	1,500	1,899

Vanpool Program - County

Number of Vans	-	10	10
Trips	0	31,200	31,200
Number of Users	0	60	60



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DATE PREPARED: July 6, 2015

DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Adam Langford, Transit Planner

SUBJECT: Ridership Data by Bus Stop

RECOMMENDATION:

For discussion only. There is no recommendation from staff at this time.

RELATED STRATEGIC WORKPLAN OBJECTIVE

Guiding Principles:

- ❖ Strive for continuous improvement in all we do

BACKGROUND:

NAIPTA staff reviews ridership data and reports on performance measures periodically. In June 2014, Automatic Passenger Counters (APCs) were installed on all Mountain Line and Mountain Link vehicles, providing staff with a substantial amount of new data that is used to inform decisions regarding system changes. Ridership data at the bus stop level is a performance measure that NAIPTA staff is currently using internally to help make decisions about system changes. This data has been used to:

- Determine which stops are used most and which are used least
- Determine which stops and locations are underserved or overserved
- Monitor system changes to determine if the change was successful

Recent examples of the use of this data include:

- Deciding to adjust Route 10: Route 10 ridership in the downtown area was relatively low compared to the rest of the route and crossing the tracks was causing significant delay in order to access these low ridership stops. This data helped in making the decision to make the adjustment to modify the route and terminate at the Downtown Connection Center.
- Monitoring Route 10a: This data is also helping to determine if Route 10a is successful in generating more ridership in Sawmill than it has previously done in the Downtown area.
- Deviation for Route 3: The decision to deviate Route 3 to accommodate passengers trying to reach Northland Preparatory Academy was weighed against what ridership may be lost at the Foxglenn stops during the deviation times. The data will continue to be monitored to determine the success of the deviation.



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- Spine Route Study: As the consultants for the Spine Route Study (BRT Study) are analyzing alternative route alignments, ridership by bus stop data is helping to provide justification for their recommendation.

A review of other transit authorities has shown that a small number of systems have standard reports for bus stop ridership, most of them being much larger systems. Many agencies, including peers, use ridership by stop data for internal use only.

With an understanding of the value of this data, Staff would like to offer the availability of this data in a format that is meaningful to the Board, TAC, and public. The recommended format is to have a list, which can be filtered and sorted, of our bus stops and their associated ridership data available on our website. By providing this data set we are increasing the transparency with which staff makes decisions.

TAC DISCUSSION:

TAC members were provided with a significant amount of information, including different methods for analyzing and organizing this data, as well as a more comprehensive list of examples from other transit agencies. TAC suggested a recommended format for the data should be more clearly defined. TAC also recommended removing language from the report regarding the possibility of deriving origin and destination information from the ridership by bus stop data, as it is impossible to accurately derive origin and destination information from APC data. The presentation and report have been modified to reflect the TAC's suggestions.

FISCAL IMPACT:

NAIPTA would be utilizing an existing paid service in a more comprehensive way without increasing the cost of the service. Regular review of this data may also lead to the discovery of system improvements that include service cost savings or efficiencies.

SUBMITTED BY:

Adam Langford
Transit Planner

APPROVED BY:

Erika Mazza
Interim General Manager



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NAIPTA MEMORANDUM

DATE: July 16, 2015

TO: Honorable Chairman and Members of the Board

FROM: Erika Mazza, Interim General Manager

SUBJECT: NAIPTA and FMPO Coordination Update

At the February 2015 Board of Directors' meeting, staff was directed to pursue developing a strategic plan with the Flagstaff Metropolitan Planning Organizations (FMPO) that enhances collaborative transportation planning efforts within the region. Since the February BOD direction, NAIPTA staff have worked with the FMPO staff pertaining to the opportunities brought forth at the December 4, 2014 Advance, specific to enhancing collaborative efforts. The following tasks were identified in order to develop a comprehensive Strategic Plan and Implementation Plan.

- Coordinated discussions with partner agencies – focus on transportation SWOT analysis.
- Analyze all transportation efforts including current projects in implementation and in planning stage.
- Develop a priority listing (goals) for major infrastructure improvements.
- Develop Key Performance Indicators and metrics.

Over the past several months, collaboration has developed or evolved to include partnerships in the Bus Rapid Transit Locally Preferred Alternative Analysis, Regional Transportation Plan, Transportation Demand Management, Advances in transit modeling, Traffic Impact Analysis coordination, NAIPTA's Transit Tax renewal, City's 2020 Transportation Initiative, support for a 2015 TIGER grant application, collaboration with ECoNA on Regional Transportation initiatives, and support for County Prop 404 and City Prop 406, to name a few.

Using the framework of stronger collaboration, a logical defined next step when all parties are fully staffed will be to develop a strategic plan and subsequent implementation of work plan items. This document and implementation efforts will identify areas of efficiencies and opportunities among member agencies. Through this process we can test the existing model and identify if and where efficiencies can be discovered. Furthermore, this will allow for ongoing assessment and continual dialogue to maximize coordination. In the meantime, staff are collectively working on the above referenced projects and strong discussion and collaborative efforts are already showing positive results.

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