



REQUEST FOR PROPOSALS

FOR TRIENNIAL PERFORMANCE AUDITS
OF THE VENTURA COUNTY TRANSPORTATION COMMISSION (VCTC)
AND VENTURA COUNTY TDA CLAIMANTS

DUE DATE: NOVEMBER 11, 2016 AT VCTC OFFICE NO LATER THAN 4PM

The Ventura County Transportation Commission (VCTC), which serves as the regional transportation planning agency for Ventura County, is required by Section 99246 of the California Public Utilities Code to triennially designate an entity other than itself to conduct a performance audit of its activities. Operators that receive funding under Article 4 of the TDA are required to have a performance audit. Between fiscal years (FY) 2013 and 2016, this includes VCTC, Gold Coast Transit District (GCTD), Thousand Oaks Transit, Simi Valley Transit, and Valley Express. Claimants that receive funding under Article 4.5 or Article 8 are not statutorily required to have a performance audit; however, to enable a comprehensive and objective review that serves the benefit of both the RPTA and the transit provider, performance audits should be conducted of all operators that are allocated funding under the TDA. This would include the County of Ventura, Camarillo Area Transit, Moorpark City Transit, Ojai Trolley, the City of Fillmore, and the City of Santa Paula. Currently there are no Article 4.5 claimants in Ventura County for this audit period.

VCTC is therefore seeking proposals to conduct performance audits of itself and its TDA claimants. The final products of this RFP will be completion of performance audits for VCTC and its claimants covering Fiscal Years 13/14, 14/15 and 15/16. The audits must be conducted in compliance with relevant sections of the Transportation Development Act and shall evaluate the efficiency, effectiveness, and economy of the operation of the entity being audited, and shall be conducted in accordance with the efficiency, economy, and program results portions of the Comptroller General's "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions."

Proposal Submission:

The proposer shall submit 5 printed copies and 1 digital copy of the proposal. **All proposals are due no later than 4:00 P.M. on Friday, November 11, 2016** and should be directed to:

Ellen Talbo, Program Manager - Transit Planning
Ventura County Transportation Commission (VCTC)
950 County Square Drive, Suite 207
Ventura, CA 93003

A pre-proposal conference will not be held. Inquiries related to this RFP should be directed to Ellen Talbo at (805) 642-1591 ext. 105 or by writing to the above listed address or by emailing: etalbo@goventura.org prior to October 17, 2016. Responses to written inquiries will be posted by October 24, 2016 at <http://www.goventura.org/about-vctc/working-with-vctc>.

VCTC, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, notifies all proposers that it will affirmatively insure that, in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit proposals in response to this invitation and will not be discriminated against on the grounds of race, religion, color, sex or national origin in consideration for award.

Project Schedule:

October 10, 2016	VCTC issues RFP
October 17, 2016	Written inquiries about the RFP due to VCTC
October 24, 2016	Responses to written inquiries available
November 11, 2016	4 PM, PDT, Proposals Due at VCTC Office
November 15-16, 2016	Interview candidates
December 2, 2016	VCTC Approval of Consultant
December 5, 2016	Notice to Proceed
April 2016	Draft Audits available to present to claimants at April 13, 2016 transit operators monthly meeting
May 30, 2016	Final Performance Audits delivered to Gold Coast Transit District for presentation to governing board by this date
June 2, 2017	Final Performance Audits delivered to VCTC and presented to the Commission
June 30, 2017	Final Performance Audits Filed with State; Project Completed

PART A

PROGRAM DESCRIPTION AND WORK SCOPE SUMMARY

A.1 **BACKGROUND**

In accordance with Section 99246 of the Public Utilities Code, the Ventura County Transportation Commission (VCTC) will be contracting for performance audits of its activities, and also, the activities of its TDA claimants. The performance audits will cover activities during Fiscal Years 2013-2016.

TDA legislation specific to Ventura County

Effective July 1, 2014, special TDA legislation went into effect specific to Ventura County. Senate Bill 203 (SB 203) amended SB 716 to allow cities under 100,000 population and not a part of the Gold Coast Transit District (i.e. Camarillo, Fillmore, Moorpark and Santa Paula) to continue to claim TDA funds for local streets as long as the entity's reasonable transit needs are met. Senate Bill 644 created the Gold Coast Transit District (GCTD) consisting of the County of Ventura and the cities of Ojai, Oxnard, Port Hueneme and San Buenaventura.

A.1.1. **The Ventura County Transportation Commission**

VCTC is the transportation planning agency serving the Ventura County area. Member agencies include the ten incorporated cities of Camarillo, Fillmore, Moorpark, Ojai, Oxnard, Port Hueneme, San Buenaventura, Santa Paula, Simi Valley and Thousand Oaks, and, the County of Ventura.

In addition to administering the TDA Program, VCTC is responsible for conducting a continuing, comprehensive, and cooperative transportation planning process and is the designated recipient for federal transportation funds. The Commission has been designated the Airport Land Use Commission (ALUC); the Consolidated Transportation Service Authority (CTSA); the Service Authority for Freeway Emergencies (SAFE); and, the Congestion Management Agency. The annual budget, including federal and state pass-through funds, is about \$63 million including Local Transportation Funds (LTF) revenues of approximately \$34 million.

The Commission is governed by a Board consisting of all five county supervisors, an elected official from each of the ten cities, a citizen commissioner appointed by the cities, a citizen commissioner appointed by the County Supervisors, and, the ex officio member appointed by the Governor; this is the Director of Caltrans District 7.

VCTC also provides regional intercity fixed route service between the City of Ventura and the City of Goleta in Santa Barbara County as well as throughout the rest of the county. Proposers should refer to the complete description of the transit providers in Ventura County as discussed in the VCTC Senate Bill 203 Annual report located at: <http://www.goventura.org/about-vctc/publications>.

A.1.3. **Available Documents and Material**

VCTC was formed in 1989, and has six previous triennial performance audits on file. GCT was formed in 1973 and has nine triennial performance audits from past years. The last triennial performance audits for both VCTC and GCTD were conducted by Nelson Nygaard & Associates and covered Fiscal Years 2011-2013.

Also available for examination are VCTC's annual budget program documents; TDA annual fiscal and compliance audits for all claimants; annual financial audits of VCTC and GCTD; Short Range Transit Plans (SRTP), TDA claimant forms, and VCTC's Senate Bill 203 Annual Report.

A.2. SCOPE OF WORK

Public Utilities Code Section 99246(b) states that the performance audit shall evaluate the efficiency, effectiveness and economy of the operation of the entity being audited. The audits must be conducted in compliance with relevant sections of the Transportation Development Act and shall evaluate the efficiency, effectiveness, and economy of the operation of the entity being audited and shall be conducted in accordance with the efficiency, economy, and program results portions of the Comptroller General's "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions."

A.2.1. Performance Audit of VCTC

The consultant will be required to perform the following tasks as part of the audit of VCTC, the regional transportation planning entity:

(a) Determine Compliance with Legal and Regulatory Requirements

The consultant will be required to review and determine all TDA claimants' compliance with the Transportation Development Act and related sections of the California Code of Regulations. The specific Code Sections for which compliance is to be verified are those specified within the Transportation Development Act. Should the consultant identify instances of non-compliance, a finding regarding the non-compliance should be made in the audit report.

(b) Review VCTC Functions

The consultant will review each VCTC TDA-related function consistent with the efficiency, economy, and program results portions of the Comptroller General's "Standards for Audit of Governmental Organizations, Programs, Activities, and Functions." The functional review is expected to include interviews with VCTC management and staff.

A.2.2. Performance Audit of VCTC Claimants

The consultant will be required to perform the following tasks as part of the transit performance audit of Article 4 claimants. There are other municipal transit operators in the County that do not utilize Article 4 funds and simultaneously run transit systems, or contribute to a cooperative transit agreement using Article 8 or other funds. While these operators are not statutorily required to report TDA performance audit findings to the State, it is within VCTC's purview as the RPTA to monitor the performance of all of its TDA claimants.

(a) Determine Compliance with Statutory and Regulatory Requirements

The consultant will be required to review and determine the operator's compliance with the Transportation Development Act and related sections of the California Code of Regulations. At a minimum, the Code Sections for which compliance is to be verified are those specified within the Transportation Development Act. Should the consultant identify instances of non-compliance, a finding regarding the non-compliance should be made in the audit report.

(b) Follow-up Prior Performance Audit Recommendations

The consultant will review the most recent prior performance audits for the operator and assess the operators' implementation of audit recommendations. The auditor will need to

make determinations as to whether recommendations which have not been implemented are (a) no longer applicable, (b) infeasible, or (c) should still be implemented. If a prior audit recommendation has not been implemented but still has merit, the consultant should include the prior audit recommendation in the current audit report. The consultant will evaluate recommendations which have been implemented or are being implemented. For these recommendations, the consultant should assess the benefits provided (or likely to be provided) by the recommendation. Significant accomplishments in implementing prior recommendations should be recognized.

(c) Verify Performance Indicators

As part of the performance audit, Section 99246 of the Public Utilities Code requires verification of five performance indicators: operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee. The consultant will review and validate the operator's collection of basic data needed to calculate these indicators for each fiscal year in the triennium. The consultant will be expected to analyze performance indicators with the intent of identifying potential issues or concerns that may need further examination during the functional review.

The performance audit may include performance evaluations both for the entire system and for the system excluding special, new or expanded services instituted to test public transportation service growth potential. As part of the functional review described below, the consultant will be expected to select, calculate and analyze additional performance indicators which are appropriate to identify, quantify and/or resolve performance problems and potential areas for improvement.

(d) Review Operator Functions

The consultant will review each operator function, consistent with the Transportation Development Act. The functional review is expected to include interviews with the operator's management and staff.

PART B

PROPOSAL INSTRUCTIONS AND REQUIREMENTS

B.1. PROPOSAL CONTENT AND ORGANIZATION

Proposals should be limited to specific discussions of the elements outlined in this RFP. The intent of this RFP is to encourage responses which meet the stated requirements, and which propose the best methods to accomplish the work.

The organization of proposals should follow the general outline listed below.

- (1) **Transmittal Letter** - Should include the name, title, address and telephone number of the person(s) authorized to negotiate on behalf of the firm, and who may be contacted during the period of proposal evaluation, and if necessary, to confirm an interview appointment.
- (2) **Table of Contents** - A listing of the major sections in the proposal and the associated page numbers.
- (3) **Introduction To Project** - To be determined by the consultant, but should demonstrate an adequate understanding of the roles and relationships of the VCTC and other transit operators.
- (4) **Audit Plan and Technical Approach** - The audit plan should include:
 - A description of the overall audit program being submitted, including an explanation of the basic purpose and general focus of this audit.
 - An explanation of the consultant's intended role as auditor as related to the roles of VCTC and its TDA claimants.
 - A thorough explanation of the consultant's proposed course of action. References should be made to RFP requirements and the consultant's plans for meeting the requirements. If the consultant proposes major changes in the RFP approach, those changes should be specified clearly.
 - The consultant should specify techniques, especially data elements to be sampled, staff to be interviewed, documents to be reviewed, etc.
 - An itemized description of the proposed project schedule, calendar time requirements, and the end products to be produced.
 - Proposers wishing to propose alternative approaches to meeting the Agency's technical or contractual requirements, should thoroughly explain their reasoning, note as to whether they are "technical" or "contractual" exceptions and reference the relevant section(s) of the Request for Proposals.
- (5) **Consultant Capability and Project Management** - The proposer must prepare:
 - A summary of the firm's relevant background experience outlining the applicability of such experience to this Request for Proposal.

- An explanation of the project management system and practices to be used to assure that the project is completed within the scheduled time frame and that the quality of the required products will meet VCTC's requirements.
- (6) **Consultant and Subcontractor Staff** - The proposal must describe the qualifications and experience of each professional who will participate in the project, including a resume for each member of the project team. A Project Manager must be designated, and an organizational chart showing the manager and all project staff must be included. If a subcontractor will be used, the proposer must include a description of the group(s) including a list of staff, their qualifications, tasks, and relationship to project management.
- (7) **Cost Proposal and Project Schedule** - The prospective contractor shall prepare an adequate technical proposal and timeline for the work to be performed. The cost proposal shall itemize all items to be charged including travel charges that will be involved in the project and included in the proposed amount. Costs shall be segregated to show the expected number of staff hours, rates and classifications, and administrative overhead. In addition, a matrix must be presented indicating the effort in person-hours which will be contributed by each professional (including any subcontractor) during each phase or task making up the project.

B.2. PROPOSAL CONDITIONS, SELECTION/EVALUATION, AND DELIVERABLES

B.2.1. Conditions

The consultant shall be required to complete all work within the schedule designated after the official notice to proceed and contract are issued. Any further analysis recommended by the consultant will be covered under either a contract amendment or a separate contract, and would not be subject to this time frame.

All proposals must be submitted according to the specifications set forth in this Request for Proposals. Failure to adhere to these specifications may be cause for rejection of the proposal. Any correction or resubmission done by the consultant or the authorized representative will not extend the submittal period and can only be sent with prior consent of VCTC. VCTC reserves the right to reject any or all proposals.

All responses become the property of VCTC. VCTC intends to keep all responses confidential, with the exception of the successful proposal, which becomes public information upon acceptance by the VCTC.

All proposals shall constitute firm offers and may not be withdrawn for a period of ninety days following the final day to accept proposals.

B.2.2. Proposal Evaluation and Consultant Selection

An evaluation and selection committee consisting of representatives of VCTC and other panelists will evaluate all proposals submitted.

Proposals will be evaluated on the following basis:

35 points	Understanding of the purpose and requirements of the audit;
40 points	Experience in public transit, performance auditing, and the issues and functional areas to be analyzed
15 points	Projected cost and time schedules

10 points	References
100 TOTAL	

Based upon its review of the proposals, the committee will conduct interviews in the Ventura County area with selected firms prior to making a final recommendation. The selection committee will recommend the selection of a firm to VCTC for final approval and subsequent negotiation of the contract, and final statement of work.

B.2.3. Required Deliverables

The consultant must provide six (6) copies of preliminary draft audits to VCTC no later than June 2, 2017. The consultant must also provide six (6) copies of the final draft audit reports to VCTC no later than June 30, 2017.

After VCTC reviews and comments upon the preliminary and final draft reports, the consultant should prepare to deliver up to twenty-five (25) printed and/or digital copies of the final preliminary audit reports to the VCTC project manager unless directed otherwise. The final audit reports must address each of the performance audit project requirements, and must be delivered to VCTC no later than May 30, 2017 unless directed otherwise by the VCTC project manager.

In addition, the consultant should be prepared to make an oral presentation of the final audit report regarding GCTD's performance audit to the GCTD Board in May 2017, and, an oral presentation on the final audit reports to VCTC on June 2, 2017.

PART C - MISCELLANEOUS

Modification or Withdrawal of Submittals

Any Proposals received prior to the date and time specified above for receipt may be withdrawn or modified by written request of the proposer. To be considered, however, the modified Proposal must be received by the time and date specified above.

Property Rights

Any Proposals received within the prescribed deadline become the property of VCTC and all rights to the contents therein become those of VCTC.

Confidentiality

Before award of the contract, all Proposals will be designated confidential to the extent permitted by the California Public Records Act. After award of the contract (or if not awarded, after rejection of all Proposal), all responses will be regarded as public records and will be subjected to review by the public. Any language purporting to render all or portions of the Proposal confidential will be regarded as non-effective and will be disregarded.

Amendments to Request for Proposals

VCTC reserves the right to amend the Request for Proposals by addendum before the final Proposal submittal date.

Non-Commitment of VCTC

This Request for Proposals does not commit VCTC to award a contract, to pay any costs incurred in the preparation of a Proposal for this request, or to procure or contract for services. All products used or developed in the execution of any contract resulting from this Request for Proposals will remain in the public domain at the completion of the contract.

Conflict of Interest

The prospective consultant shall disclose any financial, business or other relationship with VCTC that may have an impact upon the outcome of this contract. The prospective consultant shall also list current clients who may have a financial interest in the outcome of this contract or VCTC projects that will follow from work performed in the Scope of Work. In particular, the prospective consultant shall disclose any financial interest or relationship with any printing or sign manufacturing companies that might submit a bid on VCTC projects.

Nondiscrimination

The prospective consultant must certify compliance with nondiscrimination requirements of VCTC pertaining to the development, implementation and maintenance of a nondiscrimination program. The prospective consultant's signature affixed to and dated on the cover letters shall constitute a certification under penalty of perjury under the laws Transportation Development Act Triennial Performance Audit Page 9 of 34 of the State of California that the proposer has, unless exempted, complied with the nondiscrimination program requirements of Government Code Section 12990 and Title 2, California Code of Regulations, Section 8103.

Final Selection and Protests

The RFP process is considered concluded when a letter is sent to all participating consultants indicating which consultant will be recommended for Board approval. The firm recommended is not a final selection and no contract is certain until approved by VCTC Commission.

Protestants shall submit a detailed written statement of protest to:

Ventura County Transportation Commission

Attn: Ellen Talbo

950 County Square Drive, Ste. 207

Ventura, CA 93003

etalbo@goventura.org

no later than five (5) days prior to the December 2, 2016 Commission meeting to enable proper consideration by the Board.