Calaveras Transit Agency

Policies & Procedures Manual

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Introduction
The Policies and Procedures Manual provides an operational guide concerning procedures and activities to insure the efficient and proper execution of Calaveras Transit Agency related business.

The agencies roles and responsibilities fall generally into the following:

1) To own, operate and administer a public transportation system for the County of Calaveras; and

2) Provide policy direction and general oversight for the public transportation system.

This policies and procedures manual will serve as a guide for the organization, its functions, and responsibilities. The Manual is considered a living document and may be amended, as necessary. Any changes to this Manual must be approved by the Calaveras Transit Agency (CTA) Governing Board prior to implementation. In the event the Manual is determined to be in conflict with the Joint Powers Agreement (JPA), the terms and provisions of the JPA shall take precedence.

Creation
In March 2018, the County of Calaveras and City of Angels Camp entered into an agreement to create the Calaveras Transit Agency (CTA). The City and County entered into a Joint Powers Agreement for the specific purpose and authority to own, operate, and administer a public transportation system for the Calaveras County Region. (Appendices I- Joint Powers Agreement)

CTA Membership
The Governing Board of CTA shall be the same as the Governing Board of the Calaveras Council of Governments (CCOG).

Stipend
The Board members receive $25 per meeting. Meetings include regular CTA board meetings and Special meetings as deemed necessary. Periodically, the Council may review and adjust the stipend schedule. Council members may deny/refuse the monthly stipend.

Officers
The Officers of the CTA Board (Chair and Vice Chair) shall be the same as the Chair and Vice Chair of the CCOG. Thus, appointment as Chair and Vice Chair of the CCOG Board would automatically result in being Chair and Vice Chair of the CTA. Should changes be made to the determination of Officers for the CCOG Board, they would automatically apply to the CTA.

Mission statement
To provide safe and cost-effective public transportation services throughout Calaveras County to serve the mobility needs of residents and visitors who need public transportation.

Goals:

1. Provide an effective level of service in response to demonstrated community transit market needs.
2. Provide public transportation services that are financially sustainable within existing local, state and federal funding programs in a cost-efficient manner.
3. Ensure that all transit programs can be provided at high quality of service.
4. Provide safe and convenient transportation services to the residents of Calaveras County by the most cost-effective mobility mode.

CTA Staffing

Section 1.

1.01 Administrative Staff

Executive Director
The Executive Director of the CCOG will also serve as the Executive Director of the Calaveras Transit Agency and assume such other duties and responsibilities as the CTA board may direct including, but not limited to, the execution of Agency documents and contracts when so authorized by resolution of the board.

Contracted Staffing Services
The CTA and Calaveras Council of Governments (CCOG) entered into an agreement on April 4, 2018 for professional staff services. Through this agreement, CCOG provides professional staff services to the Agency on an as needed basis. These services may be assigned to any current or future employee of CCOG. Duties of assigned personnel shall be determined and performed under the direction of the Executive Director.

CCOG is the employer of all personnel under the agreement and as such is responsible for all aspects of employment including but not limited to hiring and firing of employees, disciplinary action as might be necessary, and provision of all benefits based upon CCOG Policies and Procedures.

CCOG documents all employee time associated with work performed for the CTA using a time keeping system. Employee time records will serve as the basis for invoicing the Agency. Invoices will be provided by CCOG to the Agency for reimbursement.

Additional Staff Services
Additional professional and administrative staff may serve as employees of the Agency as deemed necessary by the Executive Director. These Agency employees are appointed, supervised, suspended, disciplined, or removed and under the direct supervision of the Executive Director. The specific positions and their duties and responsibilities will be identified in the annual budget approved by the Agency.

1.02 Operations Staff

Transit Operations Contractor
The CTA enters into a multi-year third-party contract for the day-to-day management, operations, and maintenance of the transit system. When the contract is funded in whole or in part by State and Federal funds, it shall meet State and Federal requirements and follow CTA Procurement Procedures, as attached to this document (Appendix II).

The Contract shall provide all management and personnel necessary to implement the transit system effectively, efficiently and responsibly. The Contractor is responsible for maintaining a minimum level of staffing as required by the Contract and is responsible for all personnel matters including but not limited to recruitment and retention, salaries, and benefits. Operations staff should include, at a minimum, the following:

- Operations Manager – Responsible for overall day-to-day management and supervision of transit operations under the terms of the contract.
- Maintenance Manager/Mechanic – Responsible for servicing and repairing the transit fleet.
- Dispatchers, Driver Trainers, and Drivers – Full-time or part-time depending upon the Contractor's approach to staffing.

Meetings, Quorums, Voting and Agendas

Section 2.

2.01 Dates, Times and Locations of Meetings

The CTA shall adopt a meeting schedule at the beginning of each calendar year that will specify the date and time of each meeting. Unless otherwise specified, the CTA will meet once a month. The Chair of the CTA will confirm the subsequent meeting date prior to the end of each CTA meeting.

2.02 Committee Quorum and Majority Requirements

The presence of four or more CTA Board Members in attendance at their respective meetings shall constitute a quorum. A quorum shall be necessary for the purpose of conducting official business. Except as otherwise required by law, a majority vote of those present shall be required to take any action. All such actions taken at a noticed meeting shall be binding and carry full force and effect.

2.03 Agendas

Submission of Agenda Items: All items to be placed on the CTA agenda shall be submitted to the Executive Director two weeks prior to the meeting date. In order for an item to be placed on the agenda, the following materials are to be submitted per the deadline identified above:

1) The exact title of the agenda item

2) A brief paragraph explaining the agenda item, the desired action of the CTA, and a notation of any related staff reports and/or documents which will be included in the CTA packets

Development & Dissemination of Final Agenda: The Executive Director of the CTA shall be responsible for the development and preparation of final CTA Agendas. The Administrative Staff shall be responsible for assembling and disseminating the agenda packets and appropriately posting notices of meetings. The agenda will be distributed in accordance with the Ralph M. Brown Act, Government Code section 54950 et seq.

In conformance with the Brown Act, the CTA may agendize items that arise subsequent to agenda timelines.

Archived Agendas: All prior agendas, meeting minutes and CTA Board packets will be maintained on the CCOG website and available to the public upon request.

Committees and Advisory Groups

Section 3.

3.01 Executive Management Group (EMG)

The Executive Management Group of the CCOG shall serve in the same capacity to the CTA. The EMG is comprised of the CCOG/CTA Chair, Vice Chair, Executive Director, County Chief Administrative Officer and City Administrator. The EMG meets at least quarterly, or as necessary. All action items related to budget, policy, personnel and other matters related to the administration and management of the organization will be reviewed by the EMG prior to presentation to the CTA Board for approval.

The Executive Group shall have the following powers and responsibilities:

- Serve as a review panel for all personnel and policy matters and make recommendations to the CTA Board.
- Carry out any special duties as may be assigned by the CTA Board.

3.02 Social Services Technical Advisory Council (SSTAC)

The Social Services Transportation Advisory Council (SSTAC) is comprised of a myriad of representatives of potentially transit dependent segments of the community (e.g., senior citizens, persons with disabilities, persons of limited means, etc.) and transit operators. SSTAC members are appointed by the CCOG. CCOG and CTA staff, transit operations contractor staff, and Caltrans District 10 Transit Representative are ex-officio members of the SSTAC. The composition of the SSTAC, the terms of SSTAC appointments and precise responsibilities of the SSTAC are found in and controlled by Section 99238 of the Public Utilities Code (PUC) and any adopted bylaws by the SSTAC.

The SSTAC meets quarterly and was created according to the Transportation Development Act (TDA) to be an Advisory Committee to the Calaveras Council of Governments (CCOG) on matters pertaining to the transit needs of transit dependent and transit disadvantaged persons. The input and recommendations of the SSTAC shall be considered in, and made an integral part of, short and long-range planning for transit services.

Administrative and Planning Functions

Section 4.

4.01 Oversight and Administration of the Public Transportation System

The CTA is responsible for the general oversight, administration, and operation of the public transportation system for the County of Calaveras. Core responsibilities include all transit-related decisions including service design, service deployment, contract operations, vehicle maintenance, marketing, and all other traditional aspects of transit service management.

The CTA executes a multi-year contract for day-to-day operations and vehicle maintenance. The contract is selected through a process that follows CTA's Procurement Procedures, (Appendix II). The contract defines the detailed scope of work and costs; in general, the contractor is responsible for the following key activities:

- Day to day operations including but not limited to the management and oversight of all operating personnel, customer service, road calls, and dispatching.
- Vehicle and bus stop maintenance and cleaning
- Hiring and training operating personnel including drivers, dispatchers, supervisors, and maintenance staff.
- Other activities as defined in the contract.

The following table is for illustrative purposes to provide a clear delineation of roles and responsibilities between CTA and Contractor staff; however, it is the intent the CTA and Contractor will coordinate and collaborate on all tasks.

Table 1: Assignment of Responsibility

Task	Calaveras Transit Agency	Contractor
Grant/Funding Applications and Management	X	
Financial Administration	X	
Day-to-Day Operations		X
Customer Service		X
Vehicle and Bus Stop Maintenance		X
Service Planning	X	
Operating Data Management		X
Reporting to Funding Agencies and COG	X	
Fiscal and Performance Audits	X	
Marketing and Public Outreach	X	
Short and Long Range Planning	X	
Capital Asset Planning and Development/Implementation	X	

4.02 CTA Budget and Accounting Services

For budget management and accounting purposes, the CTA adopts an account specific line item budget prior to the commencement of each fiscal year. Staff is responsible for the day-to-day management of the adopted budget. In addition, Staff ensures compliance with applicable laws, regulations and policies of the various funding and grant programs administered by the CTA.

The Calaveras County Auditor-Controller and Treasurer will provide financial and auditing services for the CTA, as defined in Article III, Section 3 of the Joint Powers Agreement. An agreement between the CTA and the County of Calaveras will specify the details of this relationship. (Appendices I- Joint Powers Agreement.)

No later than July 1st of each year, the CTA shall approve an operations budget for the next fiscal year. The CTA may amend the budget throughout the fiscal year, as necessary. The CTA budget for the year shall include data showing the relation between the total proposed expenditures and the total anticipated income or other means of financing the budgets for the ensuing year.

After preparation of the draft budget and prior to the approval of the final budget, the CTA shall fix a time and place for hearing by the CTA thereon. The CTA shall cause notice of such hearing to be published at least ten (10) days prior to the date set for hearing in a newspaper of general circulation in the area pursuant to Sections 6060 and 6061 of the Government Code of the State of California, and shall give emailed notice of such hearing to each party to this Agreement. Additionally, all hearings will be posted on the CTA website.

4.03 Reserve Fund Policy

Operating and Capital Reserves are established based on the guidelines outlined in the Reserve Fund Policy, as adopted by the CTA Board and included herein as an appendix. (Appendices III- Reserve Fund Policy.)

4.04 Capitalization Policy

Purpose
This accounting policy establishes the minimum cost (capitalization amount) that shall be used to determine the capital assets that are to be recorded in CTA's annual financial statements.

Capital Asset definition
A "Capital Asset" is defined as a unit of property that: (1) has a useful life that extends beyond 12 months; and (2) was acquired or produced for a cost of $2,500 or more. Capital Assets must be capitalized and depreciated over their useful lives for financial statement purposes.

Capitalization thresholds
CTA establishes $2,500 as the threshold amount for minimum capitalization. Any items costing below this amount should be expensed in CTA's financial statements.

Capitalization method and procedure
All Capital Assets are recorded at historical cost as of the date acquired.

Tangible assets costing below the threshold amount are recorded as an expense for CTA's annual financial statements. Alternatively, assets with an economic useful life of 12 months or less are required to be expensed for financial statement purposes, regardless of the acquisition or production cost.

Recordkeeping
Invoice substantiating an acquisition cost of each unit of property shall be retained for a minimum of four years.

4.05 Annual Fiscal and Compliance Audit

In compliance with the Transportation Development Act (TDA), the CCOG must annually designate an independent auditor to conduct a Fiscal and Compliance Audit for public transit activities.

4.06 Planning Functions

Service Planning
The CTA regularly evaluates existing services, including on-time performance and other performance metrics. Service planning is conducted on an ongoing basis to make necessary service adjustments and address issues related to demand/need, emergencies, temporary road closures or extreme weather events, on-time performance, or other issues. CTA staff works closely and coordinates with the Operations Contractor when evaluating services and implementing any service changes. Service changes are to be reviewed by the Social Services Transportation Advisory Council (SSTAC) to the extent possible.

The Operations Contractor is responsible for implementing service changes including staffing, developing driver schedules and manifests, and customer information.

Short and Long Range Planning
The Calaveras Council of Governments (CCOG) provides planning support to the Calaveras Transit Agency for short and long range transit planning. A Short Range Transit Plan (SRTP) is updated every five to seven years and includes a five-year service plan, capital improvement plan, and financial plan.

The CTA should develop a long-range plan every ten years, or as necessary, to address future needs, goals, and direction of the agency. Other planning efforts may include studies that address specific issues such as zero emissions bus implementation.

Transit Asset Management Plan
The Moving Ahead for Progress in the 21st Century Act (MAP-21) required the Secretary of Transportation to develop rules to establish a system to monitor and manage public transportation assets to improve safety and increase reliability and performance, and to establish performance measures, and the Fixing America's Surface Transportation (FAST) Act reaffirmed this requirement. On July 26, 2016, FTA published the Transit Asset Management (TAM) Final Rule. The regulations apply to all Transit Providers that are recipients or subrecipients of Federal financial assistance under 49 U.S.C. Chapter 53 and own, operate, or manage transit capital assets used in the provision of public transportation.

The TAM Plan includes a fleet listing, useful life benchmarks, and a rough replacement schedule for the fleet. In addition to the TAM Plan, A fleet management plan is an important tool for monitoring the status and condition of vehicles for use in making future budget decisions. The FTA guide calls for updating the TAM Plan every three years. It is intended that Calaveras Transit Agency use the bus replacement tool for budgeting purposes. The Plan considers differing useful life benchmarks for different vehicle types or for other assets. This is a guide in planning for the appropriate timing of vehicle purchases and the decisions regarding the funding necessary to accomplish this. (Appendices IV- Transit Asset Management Policy)

4.07 CTA Associations

California Transit Association (CTA):
Affiliation with the CTA allows members to speak with a stronger voice, learn through education and training, and collaborate with other similarly minded transit industry members. The CTA includes a team of legislative advocates who work to promote multi-year transit funding and to represent transit's interests before the California State Legislature, the Governor and regulatory agencies on the local, state and federal levels. The legislative advocates speak alongside, and on behalf of, the more than 200 member organizations consisting of all of California's largest urban transit operators, as well as dozens of agencies in suburban and rural areas. Membership also extends to include commuter rail agencies, transit support groups, national and international transit suppliers, and government agencies. The CTA actively engages state decision makers to shape transit-friendly policy, secure increased transit funding

and promote the benefits of a balanced transportation system.

California Association of Coordinated Transportation (CalACT):
CALACT is a statewide, non-profit organization that has represented the interests of small, rural, and specialized transportation providers since 1984. Membership is comprised of individuals and agencies from diverse facets of transportation, including operators of small and large systems, planning and government agencies, social service agencies, suppliers and consultants. CALACT is governed by a member-elected Board of Directors, who volunteer their time and expertise, and managed by a professional staff according to an adopted set of bylaws and an adopted business plan.

4.08 Bus Advertising Sales Program

The CTA has adopted a bus advertising sales program for the advertising on CTA vehicles by private or other public entities. CTA utilizes a broker, or contractor, to manage and administer the Advertising Sales program in its entirety. The terms of this arrangement are detailed in the contract executed by the CTA Board.

See Appendices V- CTA Policy for Advertising on CTA Vehicles.

4.09 Holidays

Calaveras Transit Agency services are closed for all federally recognized holidays and will additionally be closed on New Years Eve and the Friday following Thanksgiving. If a holiday falls on a Saturday, the preceding Friday shall be observed as a holiday. If a holiday falls on a Sunday, the following Monday shall be observed as a holiday.

Funding Mechanisms and Application/Claim Process

Section 5.

5.01 Transit Operations Revenue Sources

Operations of the Public Transportation System is primarily funded by California Transportation Development Act (TDA), Federal Transit Administration (FTA), and fare revenues. Other revenue sources include sales from CTA's bus advertising program, proceeds from the sale/surplus of buses, and other statewide grant programs such as the Low Carbon Transit Operations Program (LCTOP).

Federal Transit Administration 5311 Operating Assistance Funds
5311 formula grants are specifically for rural areas with fewer than 50,000 residents and is administered through the California Department of Transportation (Caltrans). These grants provide capital, planning, and operating assistance to qualifying public transportation agencies. The strategy is to utilize Federal funds before more flexible Local funds. As such, the Calaveras Transit Agency uses these funds for operating purposes.

Transportation Development Act (TDA)
The Transportation Development Act (TDA) provides a State funding source for use by local jurisdictions to provide public transportation and encourage regional public transportation coordination. The TDA provides two major sources of funding, the Local Transportation Fund (LTF) and the State Transit Assistance (STA) Fund.

The TDA funds are distributed in payments annually to the County by the State and are held in trust in the County Treasury until being disbursed to recipients. The County Auditor makes payments from the funds based on instructions received from the CCOG. Claimants receive payments quarterly or as funds become available. It is the CCOG's responsibility to ensure that payments are made, and funds used are in compliance with the TDA statutes. Both the LTF and STA funds have stringent performance and fiscal audit requirements for approved expenditures. The CCOG adopted a Transportation Development Act Guidebook that defines the process for claims and administration of TDA funds.

The following provides background on each of these two funding sources:

Local Transportation Funds (LTF) are derived from ¼ percent of the statewide retail sales tax collected statewide. The ¼ percent is returned by the State Board of Equalization to each region according to the amount of tax collected in the county. LTF is a major revenue source for the Public Transportation System. The County Auditor-Controller provides an estimate of the upcoming fiscal year's LTF estimate for in February of each year. Claims requesting LTF allocation are submitted for approval to the designated regional transportation planning agency, the Calaveras Council of Governments (CCOG) for the Calaveras region. Payments from the LTF are performed by the County Auditor in accordance with written allocation instructions issued by the CCOG in compliance with the TDA.

The CTA uses LTF primarily to fund transit operations and administration.

State Transit Assistance Funding (STA) provides a second source of TDA funding for public transportation. STA funds are generated from the statewide sales tax on diesel fuel, which is deposited in the Transportation Planning and Development Account in the State Transportation Fund. These funds can be used for operating and capital purposes.

The STA funds are appropriated by the Legislature to the State Controller's Office (PUC Sec. 99312). That Office then allocates the tax revenue, by formula, to each Regional Transportation Planning Agency (RTPA), which for Calaveras County is the CCOG. The formula allocates 50% of the funds on the basis of Calaveras County's population compared to the total state population. The other 50% is allocated on the basis of the amount of passenger fares and local support revenues collected by the transit operator in Calaveras County compared to the amount collected by transit operators statewide.

Low Carbon Transit Operation Program (LCTOP)
LCTOP was established by California Senate Bill 862 to provide funding, on a formula basis, for operational or capital expansion projects to reduce greenhouse gas emissions and improve mobility, with a priority on serving disadvantaged communities. The funds are derived from California's Cap-and-Trade Program and are the result of quarterly auctions of emission credits for greenhouse gas emitters regulated under AB 32, California's Global Warming Solutions Act of 2006. While the CTA has historically utilized these funds for operating costs for new or expanded services, these funds may also be utilized for eligible capital costs.

Fare Revenue/Ticket Sales
Fare revenue and ticket sales are collected through cash sales onboard the buses, ticket sales at the Customer Service center, sales through the Token Transit mobile application, or bulk agency ticket sales through the CTA or operations contractor. Fare pricing is set and established by the CTA Board. Fare revenues as a percentage of total operating cost, known as the farebox recover ratio (FRR), is an important performance metric and the TDA establishes thresholds that must be met for receipt of TDA funds. For Calaveras Transit Agency, the FRR requirement is 10 percent.

Bus Advertising Sales
Bus Advertising sales are collected through the sale of advertising space on the exterior of CTA owned vehicles. The CTA established a Policy for Advertising on CTA Vehicles and utilizes a contractor, or broker, to manage and administer the program (Appendices V). Revenue from this program is eligible to account toward the farebox recovery ratio.

5.02 Transit Capital Revenue Sources

Public Transportation Modernization, Improvement and Service Enhancement Account (PTMISEA)
With the voter approval of Proposition 1B, several classifications of funding were established by the California Legislature. One of the funding programs, Public Transportation, Modernization, Improvement, and Service Enhancement (PTMISEA), provides funds for capital improvements. Assembly Bill (AB) 1072 (effective October 11, 2009) established the PTMISEA funding process. In accordance with AB 1072, PTMISEA recipients are required to submit a Program Expenditure Plan to Caltrans Division of Mass Transportation. The Program Expenditure Plan lists the projects using PTMISEA funds for the life of the transportation bond.

State of Good Repair (SGR)
SGR is a program created by Senate Bill 1 and is funded from a portion of Transportation Improvement Fee's on vehicle registrations. A portion of this fee will be transferred to the State Controller's Office for the SGR Program. In collaboration with the State Controller's Office, the California Department of Transportation (Department) is tasked with the management and administration of the SGR Program. These funds are allocated under the State Transit Assistance (STA) Program formula to eligible agencies pursuant to Public Utilities Code (PUC) section 99312.1. Eligible uses of these funds include capital projects that maintain the public transit system in a state of good repair.

Federal Transit Administration (FTA) Bus and Bus Facilities Program (Section 5339)
The Federal Transit Administration (FTA) Bus and Bus Facilities program, known as the Section 5339 program, provides capital funding to replace, rehabilitate and purchase buses, vans, and related equipment, and to construct bus-related facilities. Section 5339 is a grant program authorized by 49 United States Code (U.S.C) Section 5339 as specified under the Federal Reauthorization Moving Ahead for Progress in the 21st Century or "MAP 21". The program was continued, with some modifications in the recently authorized Fixing America's Surface Transportation (FAST) Act. FTA apportions a discretionary component and a small urban (population 50,000 to 200,000) formula component to governors of each State annually. The California State Department of Transportation, Division of Rail and Mass Transportation (DRMT) has been delegated the designated recipient responsibilities by the Governor and is the direct recipient for these funds. DRMT administers these funding components to

eligible sub-recipients which include public transit agencies. The Calaveras Transit Agency applies for these funds to support fleet replacement needs.

Required Records, Reports and Audits

Section 6.

6.01 Records & Reporting Requirements

The County Auditor, as determined by the Joint Powers Agreement, shall maintain accounting records of all CTA funds in accordance with the State Controller's Manual of Accounting Standards and Procedures for Counties. Such records shall be kept for a minimum of four years. Monthly, the Administrative Services Officer shall report the status of all funds to the Executive Director of the CTA.

6.02 Performance Reporting

Monthly Reporting
The Administrative Assistant generates reports from the transit tracking and management software, ZOOM!. These reports will be used to verify the Monthly Summary Report provided by the Transit Operations Manager included in the Monthly Invoice. The following reports are generated in ZOOM!

- Service Days Summary
- Board/Deboarding Summary Report
- Boarding's by Fare Type
- Vehicle Miles
- Vehicle Revenue Hours
- Estimated Revenue by Fare Type
- Sales Report

If there is a discrepancy between the ZOOM! reports and the documentation submitted by the Transit Operator, the Administrative Assistant will notify the CTA Executive Director and communicate with the Transit Operations Manager to determine the correct information.

Semi-Annual and Annual Reports
The Calaveras Transit Agency provides semi-annual reports, at fiscal mid-year and year-end, to the Calaveras Council of Governments (CCOG) and Calaveras Transit Agency (CTA) Board to evaluate and discuss the transit system's performance.

6.03 State Controller's Reporting

The Calaveras Transit Agency contracts with the County Auditor-Controller to complete the Transit Operator Financial Transaction Report and the Special District Financial Transaction Report. Government Code (GC) section 53891 requires the financial transactions of each local agency to be submitted to the State Controller's Office (SCO) within seven months after the close of the fiscal year. The financial reports are due January 31. The report must contain underlying data from audited financial statements prepared in accordance with generally accepted accounting principles, if this data is available.

6.04 Annual Fiscal and Compliance Audits

In compliance with the Transportation Development Act (TDA), the CCOG must annually designate an independent auditor to conduct a Fiscal and Compliance Audit for public transit activities.

6.05 Triennial Performance Audits of Transit Operators

As the Regional Transportation Planning Agency, the CCOG is statutorily required to triennially designate an independent entity to conduct a performance audit of the transit system and transit operator pursuant to Public Utilities Code Section 99246.

Performance audits evaluate the efficiency, effectiveness and economy of the operations of the Public Transit System. Performance audits must be in compliance with the Transportation Development Act and consistent with the requirements in the Performance Audit Guidebook issued by the California Department of Transportation.

The CCOG conducts a formal Request for Proposals process to hire an independent auditor to conduct a performance audit of both the CCOG and Public Transit System. The State requires the submittal of the CCOG performance audit, and verification that a performance audit was conducted on the Transit Operator. The CCOG shall approve both the CCOG and Transit performance audits. The CCOG performance audit shall be submitted to the Director of Caltrans by July 1, 1980, and by July 1 triennially thereafter. (Refer to CCR Section 6662.5 and PUC Section 99248)

6.06 Title VI Nondiscrimination Policy

The Calaveras Transit Agency (CTA) is committed to ensuring that no person is excluded from participation in or denied the benefits of its services or programs on the basis of race, color or national origin as afforded under Title VI of the Civil Rights Act of 1964. CTA, as a federal grant recipient, is required by the Federal Transit Administration (FTA) to conform to Title VI of the Civil Rights Act of 1964 and its amendments. The CTA is committed to enforcing the provisions of Title VI and protecting the rights and opportunities of all persons associated with, or affected by, their programs.

Section 601 under Title VI of the Civil Rights Act of 1964 states the following:

“No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.”

Chapter III of FTA Circular 4702.1B addresses the general reporting requirements for recipients and subrecipient’s of Federal Transit Administration (FTA) funding to ensure that their activities comply with DOT Title VI regulations. In accordance with 49 CFR Section 21.7(a), every application for financial assistance from FTA must be accompanied by an assurance that the applicant will carry out the program in compliance with DOT’s Title VI regulations. This requirement shall be fulfilled when the applicant/recipient submits its annual certifications and assurances to FTA.

FTA requires that all direct and primary recipients document their compliance with DOT’s Title VI regulations by submitting a Title VI Program to their FTA regional civil rights officer once every three years or as otherwise directed by FTA. For all recipients (including sub-recipients), the Title VI Program must be approved by the recipient’s board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to FTA. Sub-recipients shall submit Title VI Programs to the primary recipient from whom they receive funding to assist the primary recipient in its compliance efforts.

CTA is a subrecipient of FTA funds, while the California Department of Transportation (Caltrans) is the primary recipient. Therefore, Caltrans develops policies for the submittal of Title VI Programs. CTA originally adopted a Title VI Program on May 2, 2018 to comply with this requirement and to guide the CTA in its administration and management of Title VI-related activities, and details how CTA meets the requirements as set forth in FTA Circular 4702.1B. That document is periodically updated to maintain compliance and as directed by Caltrans. (Appendices VI- Calaveras Transit Agency Title VI)

The CTA will take positive and realistic affirmative steps to ensure that all persons and/or firms wishing to participate in its programs are given an equal and equitable chance to participate. In addition, the CTA will take reasonable steps to provide meaningful access to services for persons with Limited English Proficiency.

CTA’s contractors and subcontractors are required to prevent discrimination and ensure

nondiscrimination in all of their programs, activities and services.

The CTA is responsible for providing leadership, direction and policy to ensure compliance with Title VI of the 1964 Civil Rights Act in respect to its services or programs. Any person(s) who feels that they have been discriminated against is encouraged to report such violations in writing to: Calaveras Transit Agency, 444 E. Saint Charles Street, Suite A, P. O. Box 280, San Andreas, CA 95249. See Appendices VI or Calaveras Connect website for Title VI Complaint forms.

6.07 Disadvantaged Business Enterprise (DBE)

When applicable the CTA meets Disadvantaged Business Enterprise (DBE) requirements according to State and Federal guidance. These include both annual reporting requirements as well as requirements for third party contracts.

It is the policy of the U.S. Department of Transportation that minority-and women-owned business enterprises (hereby referred to as DBE's) as defined in 49 CFR Part 23, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds. CTA will never 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.

As a Federal Transit Administration (FTA) funding subrecipient, CTA is required to execute a Disadvantaged Business Enterprise (DBE) Implementation Agreement with the California Department of Transportation (Caltrans) Division of Rail and Mass Transportation (DRMT) for all contracting opportunities. The Implementation Agreement must be updated only if DRMT issues an updated Agreement as a result of changes in federal or state guidance, or CTA has made changes to Agency information in the Agreement.

Semi-Annual DBE Reporting - As stipulated in the DBE Implementation Agreement, CTA must submit the Disadvantaged Business Enterprise Awards-Commitments and Actual Payments form twice yearly to the District Transit Representative at DRMT.

6.08 Drug & Alcohol Policy

Calaveras Transit Agency is required to have an adopted Drug and Alcohol Plan in order to receive any Federal Transit Administration (FTA) funds. The Plan itself is developed by the Contractor, as it is responsible for implementing the Plan with its employees. The Policy must address the latest requirements of FTA and Caltrans. (Appendices VII- Drug & Alcohol Policy)

Accounting Overview

Section 7.

7.01 Fraud Policy

This policy applies to any fraud or suspected fraud involving employees, officers, as well as members, vendors, consultants, contractor funding sources and/or any other parties with a business relationship with CTA. Any investigative activity required will be conducted without regard to the suspected wrongdoer's length of service, position/title, or relationship with CTA.

The Executive Director is responsible for the detection and prevention of fraud, misappropriations, and other irregularities. Fraud is defined as the intentional, false representation, or concealment of material facts for the purpose of inducing another to act upon it to his or her injury. The Executive Director must be familiar with the types of improprieties that might occur within his or her area of responsibility and be alert for any indication of irregularity.

Any fraud that is detected or suspected must be reported immediately to the Executive Director or, alternatively, to the Chair of CTA. The CTA Chair is responsible for the coordination of all investigations.

Actions Constituting Fraud
The term fraud, misappropriation, and/or other fiscal irregularities refer to, but are not limited to:

1. Any dishonest or fraudulent act.
2. Forgery or alteration of any document or account belonging to the CTA.
3. Forgery or alteration of a check, bank draft, or any other financial document.
4. Misappropriation of funds, securities, supplies, equipment, or other assets of the CTA.
5. Impropriety in the handling or reporting of money or financial transactions.
6. Disclosing confidential or proprietary information to outside parties.
7. Accepting or seeking anything of material value from contractors, vendors, or persons providing goods or services to the CTA.
8. Destruction, removal or inappropriate use of records, furniture, fixtures, and equipment.
9. Any similar or related irregularity.

Other Irregularities
Irregularities concerning an employee's moral, ethical, or behavioral conduct should be resolved by the Executive Director and Chair of CTA. If there is a question as to whether an action constitutes fraud, contact the Executive Director or the Chair of CTA for guidance.

Investigation Responsibilities
Upon notification by the Executive Director the CTA Chair will oversee and coordinate the investigation of all suspected fraudulent acts as defined within this policy. If an investigation substantiates that fraudulent activities have occurred, the Executive Director will issue reports to appropriate designated personnel and, if appropriate, to the Council. Decisions to prosecute or refer the examination of results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made in conjunction with legal counsel and senior management, as will final dispositions of the case.

If suspected fraud or other wrongdoing involves programs funded in whole or in part with federal funds, additional responsibilities, such as special reporting and disclosure to the awarding agency, may apply to the organization. It is the policy of the CTA to fully comply with all additional reporting, disclosure and other requirements pertaining to suspected acts of fraud as described in award documents.

Confidentiality
The Executive Director treats all information received confidentially. Any employee who suspects dishonest or fraudulent activity will notify the Executive Director or CTA Chair immediately and should not attempt to personally conduct investigations or interviews related to any suspected fraudulent act (See Reporting Procedures Section below).

Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. This is important to avoid damaging the reputations of persons suspected but subsequently found innocent of wrongful conduct and to protect CTA from potential civil liability. As part of this confidentiality policy, the CTA may conduct closed meetings at which time such matters may be discussed. All meetings conducted in closed session will be in compliance with the Brown Act.

Reporting Procedures
An employee or complainant who discovers or suspects fraudulent activity will contact the Executive Director or the Chair of CTA immediately. The employee or other complainant as well as information provided will remain confidential. All inquiries concerning the activity under investigation from the suspected individuals, his or her attorney or representative, or any other inquirer should be directed to the CTA legal counsel. No information concerning the status of an investigation will be given out. The proper response to an inquiry is "I am not at liberty to discuss this matter." Under no circumstances should any reference be made to the "the allegation", "the crime", "the fraud", "the forgery", "the misappropriation", or any other specific reference.

7.02 Financial Functions

Financial records shall be maintained in accordance with generally accepted accounting principles, applicable grant agreements, 2CFR Part 225 and applicable state regulations governing special districts.

CTA shall organize and assign work duties and responsibilities so that no single employee performs a complete accounting cycle. In addition, established procedures shall require proper authorizations by designated officials for all actions taken.

CTA accounting functions are performed by the Executive Director and contracted CCOG staff who manage and process all financial information. The positions responsible for fulfilling the financial and accounting functions are as follows:

Executive Director- Serving as CTA Chief Administrative Officer
County of Calaveras – Auditor Controller & Treasurer Tax-Collector
CCOG Administrative Services Officer
CCOG Transportation Planner
CCOG Administrative Assistant

Calaveras County Auditor-Controller's staff play an integral role in auditing the records and processing requests submitted on behalf of the CTA. The Calaveras County Treasurer Tax-Collector treasures CTA monies.

Funds and Account Groups
The Calaveras Transit Agency shall maintain separate and distinct funds, as follows:

CTA Transit fund 6200: This fund shall be managed as a general fund used to account for all projects and CTA operations and capital budget expenditures.

CTA Capital Reserve fund 6250: This reserve fund will be used for capital purchases.

The primary responsibilities of the accounting functions consist of:
- General Ledger
- Budgeting
- Cash Management
- Asset Management
- Grant and Contract Administration
- Purchasing
- Accounts Receivable and Billing

Cash Receipts
Accounts Payable
Payroll and Benefits
Financial Statement Processing
External Reporting of Financial Information
Account Reconciliation
Compliance of Government Reporting Requirements
Annual Audits
Leases
Insurance

Records and Reports
CTA shall keep and maintain complete and accurate financial records and prepare required reports in accordance with uniform system of accounts and records, adopted by the State Controller of the State of California, California Office of Emergency Services, and the Internal Revenue Service.

Staff will provide the Board with financial reports reflecting all fund account activity on a biannual basis.

Processing of Checks and Cash Received in the Mail
Funds received directly to the CTA office are centralized to ensure that funds are appropriately directed, recorded, and deposited on a timely basis.

Mail is opened by the Administrative Assistant or by the Administrative Services Officer in the absence of the Administrative Assistant. Checks received are delivered to the Administrative Services Officer who reviews and initials the deposit slip. Deposit slips are signed and approved by the Executive Director, or in their absence the Administrative Services Officer. A copy of the deposit slip is maintained by the Administrative Services Officer.

7.03 Deposits

Checks via Mail
Checks received through the mail are processed and taken to the County Auditor's office the same day they are ready, if prior to 2:00 pm. If it is after 2:00 pm, the check, Deposit Permit, and associated paperwork is locked into the CTA drawer until the next day a deposit can be made. Once the deposit has been made the marigold copy of the Deposit Permit and the invoice/backup are filed in the Month folder the deposit was made, in the CTA drawer.

Cash/Checks via Transit Operator
The Transit Operator will notify Staff when a deposit is ready (bi- weekly). Staff will pick up the deposit from the Transit Operations Center. The deposit should include: A Deposit Count Sheet, invoices submitted by Calaveras Connect to support checks being deposited and the monies and checks to be deposited. The deposit is counted by two CTA staff members.
A Deposit Permit will be filled out by CTA. The Administrative Services Officer will initial, and the Executive Director will sign and approve the Deposit Permit, in the absence of the Executive Director the Administrative Services Officer may sign the Deposit Permit.
The Deposit should be taken directly to the County for processing. If the deposit cannot be made the same day the monies and forms/backup shall be locked up until such a time as the deposit can be made. Once the deposit has been made a copy of the Deposit Permit and the deposit count sheet are filed in the Month folder the deposit was made, in the CTA drawer.

Token Transit
Token Transit is a website/app through which transit fare may be purchased. Revenue from this app is electronically deposited directly to the CTA account at the County Tax Collector's office on Tuesdays. On Monday the Administrative Services Officer receives an email of the deposit to be made that week. The Treasurer Tax-Collector's office will email Tuesday morning with the deposit total. A Deposit Permit

will be filled out by CTA. The Administrative Services Officer will initial, and the Executive Director will sign and approve the Deposit Permit, in the absence of the Executive Director the Administrative Services Officer may sign the Deposit Permit.

The Deposit should be taken directly to the County for processing. If the deposit cannot be made the same day the monies and forms/backup shall be locked up until such a time as the deposit can be made. Once the deposit has been made a copy of the Deposit Permit and the deposit count sheet are filed in the Month folder the deposit was made, in the CTA drawer.

Reconciliation of Deposits
Monthly, the Administrative Services Officer shall reconcile the listings of receipts to the County Auditor Controller as contracted, as reflected on the month end reports. Any discrepancies are immediately corrected through the County Auditor Controller's Office as appropriate. A Request for Correction form will be completed by Staff and submitted to the County Auditor Controller.

Use of Post Office Box
All invoices prepared by CTA will include a reference to the post office box to which payments should be sent.

The CTA currently uses the CCOG Post Office Box:
P.O. Box 280
San Andreas, CA 95249

7.04 Accounts Payable and Accounts Receivable

The recording of asset expenses and the related liability is performed by an employee independent of ordering and receiving. The amounts recorded are based on the vendor invoice for the related goods and services. The vendor invoice should be approved by the Administrative Services Officer or the Executive Director prior to being processed. Invoices and related general ledger account distribution codes are reviewed at month end.

The primary objective for accounts payable and cash disbursement is to ensure that:

1. Disbursements are properly authorized
2. Invoices are processed in a timely manner
3. Vendor/ contractor credit terms and operating cash are managed for maximum benefits

Recording of Accounts Payable
All valid accounts payable transactions, properly supported with the required documentation, shall be recorded as accounts payable in a timely manner. Accounts payable are processed on a bi-weekly basis or as needed.

Establishment of Control Devices
Control of invoices is established by the Administrative Services Officer upon receipt of the invoice by the Administrative Assistant. The Administrative Assistant processes the accounts payable claims and all invoices are submitted for review by the Administrative Services Officer and forwarded for approval by the Executive Director. Payment for invoices may be held pending grant reimbursement. The Administrative Services Officer is authorized to sign time sensitive claims in the absence of the Executive Director.

Preparation and Processing of Accounts Payable (A/P)

Preparation of A/P Batches
Prior to any account payable claims being submitted for payment, a package called a "A/P Batch" shall be assembled.

Each A/P Batch shall contain the following:

1. Batch cover sheet
2. Original invoice
3. Any other supporting documentation deemed appropriate

Processing of A/P Batches
The following procedures shall be applied to each A/P Batch by the Administrative Assistant and Administrative Services Officer:

1. Check for mathematical accuracy.
2. Properly code each invoice with the organization key and object code.
3. Obtain the review approval of the Executive Director prior to submission to the County Auditor's office for processing and payment.

Approval by the Executive Director indicates his/her acknowledgement of satisfactory receipt of the goods or services as invoiced, agreement with all term appearing on the vendor invoice, agreement with the general ledger coding, agreement with all funding terms and contracts.

Operations Contractor Invoices
Operations Contractor Invoices along with Monthly Summary Reports are received by the Executive Director no later than the 10th of the month following the billed period. These invoices are forwarded to the Administrative Assistant for review of mathematical accuracy, and verification of information contained within including reported hours. The Administrative Assistant codes the invoice and forwards it to the Executive Director for review and approval. Once approved the Administrative Assistant includes it in an A/P Batch.

Purchasing Procedures

Section 8.

8.01 Purchasing Procedures

The Administrative Assistant is responsible for ordering and the purchase of supplies and materials at the direction of the Executive Director. Staff will prepare a list of items and submit the request to the Administrative Assistant based upon need. The Administrative Assistant will prepare the Purchasing Order form for approval within the purchase limits identified below.

8.02 Equipment and Supplies

In general, the following procedures shall be followed by the CTA Staff in securing equipment, supplies, and in the award and execution of service contracts:

1. Single items costing more than $100 and less than $500 must be authorized prior to purchase, by the Executive Director.

2. Any one item of equipment costing $5,000 or more must be approved by the CTA prior to purchase. The purchase of equipment or supplies that are not fixed assets and that cost less than $5,000 may be authorized by the Executive Director.

3. Any fixed asset (a single item of property costing $5,000 or more) must be recorded on the CTA Asset Inventory when purchased.

4. It is the responsibility of the Executive Director to ensure that all purchases are made at the most favorable price for the CTA consistent with efficient operation.

All invoices for services rendered will be accounted for by the Administrative Services Officer according to the cost allocations for the given fiscal year. All invoices processed for payment by the Administrative Assistant and/or Administrative Services Officer will be submitted to the Executive Director for authorization to process. The Executive Director shall supervise and direct the purchasing and contract payment process including making the final determination on any proposed purchase or payment where budgetary or other contractual conditions may result in denial.

8.03 Calaveras Connect Fare Media

Fare Media, or Tickets, should be ordered one year's supply at a time. Additional orders can be made if needed per the Executive Directors instruction and transit operation's needs.

A purchase order with a vendor Quote must be initialed by the Administrative Services Officer, then presented to the Executive Director for approval. Once approved the order may be placed with the vendor. Each ticket shall have a unique identifying number or code for tracking purposes.

There are eight types of Tickets printed:

Month Pass	One-Zone Ticket
Discounted Month Pass	Discounted One-Zone Ticket
Student Month Pass	All-Zone Ticket
Day Pass	Discounted All-Zone Ticket

Receiving
Once tickets are received from the printer, two Staff members will count and verify the amount received is the amount ordered and verify the ticket range numbers are correct. As the tickets are counted/verified the ticket logs must be initialed.

Tickets are kept in a locked drawer. The Administrative Services Officer and the Executive Director each have a key for the cabinet.

Distributing
The Transit Operator will submit a request for tickets to CTA quarterly along with a current Ticket Inventory Spreadsheet. CTA staff will reconcile the Ticket Inventory to ZOOM! and prepare the ticket order, marking the ticket logs as “distributed to Paratransit” with the date and initialed by two Staff members. Tickets are then delivered to the Transit Operator and the updated Ticket Inventory is emailed to the Transit Operator.

Ticket Sales
Tickets are sold through various locations including the Customer Service Center, Bus Drivers, Token Transit and the CTA Office. All sales by the Customer Service Center, Drivers, or the CTA office are to be input into ZOOM! immediately as of time of transaction. Orders for tickets/passes (from Agencies) should be input as they are distributed.

Reconciliation
The Administrative Assistant will collect the unused Monthly Passes from the Transit Operator quarterly. The Transit Operator will provide the unused passes, and a current Ticket Inventory spreadsheet. The Administrative Assistant will compare a Sales Report from ZOOM! to verify all tickets have been accounted for as sold or are being returned. Once the returned passes have been reconciled. The Administrative Assistant will notate in the Ticket Inventory spreadsheet which passes have been verified as sold or returned.

8.04 Contracted Services

For purchases of goods or services, CTA staff shall follow the CTA Procurement Manual, included as Appendices II to this Policies and Procedures Manual.

Information Sharing

Section 9.

9.01 Web-based Posting

Website
CTA maintains a website regarding Calaveras Connect services. The Tech Services Contractor and CTA Administrative Assistant are responsible for maintaining and troubleshooting issues with the website; including but not limited to updating Schedule, Route, and Fare information, Title VI documentation, and access to CTA meeting Agendas and Minutes. Additional information may be posted as deemed necessary by the Executive Director. Any updates or changes to the website or content contained therein, shall be approved by the Executive Director prior to posting it live.

Comments/Questions/Requests: All comments, questions, and requests regarding the Calaveras Connect website, or made through the website, shall be presented to the Executive Director for direction and maintained in records. Any and all comments that could be considered Unmet Transit Needs will be maintained in a log, by the Administrative Assistant, to be reviewed and considered during the Annual Unmet Transit Needs process.

Facebook
CTA maintains a Facebook page as a source of information for the public. The Administrative Assistant and Transit Operations Contractor are responsible for monitoring posts and comments to the Calaveras Connect Facebook page. The focus of the Facebook page is to make available relevant and current information on transit service i.e. delays, route changes, or special event services.

Comments/Questions/Requests: All Questions and requests made through the Calaveras Connect Facebook page should be responded to in a timely manner. The Transit Operations Contractor is tasked with being the first responder to questions pertaining to routes and service. If the Transit Operations Contractor is unable to or believes the CTA better able to respond, they will notify the CTA Administrative Assistant and/or Executive Director. Any and all comments that could be considered Unmet Transit Needs will be maintained in a log, by the CTA Administrative Assistant, to be reviewed and considered during the Annual Unmet Transit Needs process.

9.02 Newspapers

Public Notices
Public notices will be ran/published in events of service changes and interruptions. CTA should maintain a distribution list for public notices that includes member agency staff, Board members, local news outlets, Social Services Transportation Advisory Council (SSTAC) members, and other members of the public or other agencies who have requested such notices.

Advertisements
Advertisements may be placed/ran in numerous formats, including Facebook, local websites, community newspapers and publications. Records of these Advertisement shall be maintained.

9.03 Public Records Requests

Generally, the following types of records can be provided to persons based on a simple verbal request to a staff member:

- Bound CTA reports
- Information bulletins
- Fact sheets
- Board agendas, resolutions, and reports
- Committee agendas and reports

- Letters in support of, or opposition to, bills

Requests from members of the public for compilations of CTA records, a large number of copies, or records that contain confidential or sensitive information should be referred to the Executive Director. If the following types of records are requested, the staff member should refer the request to the Executive Director:

- Requests for all records of a certain type or category
- Requests for compilations of data
- Requests for accounting or financial records
- Requests for records containing trade secret, confidential, or proprietary information or marked "confidential" or "trade secret" or "proprietary"
- Requests for records containing social security numbers or private individual's phone number or addresses
- Requests for copies of proposals and/or cost estimates from proposers
- All written requests for CTA public records referring to the California Public Records Act or the federal Freedom of Information Act
- All requests from attorneys for records

The above list is not exhaustive. If a staff member is unsure whether a particular type of record should be released, the staff member should refer the request to the Executive Director who will prepare an appropriate response.

Timing on responses to public record requests is very important. Under the law a response must be provided to the requester within ten (10) calendar days. If a staff member is unable to meet this deadline, the staff member should immediately contact the Executive Director.

9.04 Use of Logo

Use of text, Calaveras Transit Agency or Calaveras Connect logos, photos and other graphics is prohibited without the express written permission of Calaveras Transit Agency. Use of the Calaveras Connect logo is prohibited for any non-governmental purpose.