

# REQUEST FOR QUALIFICATIONS

Triennial Performance Audits

of

LAKE AREA PLANNING COUNCIL,

LAKE TRANSIT AUTHORITY,

and

LAKE LINKS



Issued by

**Lake Area Planning Council**

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## I. INTRODUCTION

### A. Statutory Requirement

The Lake Area Planning Council (APC), designated as the Regional Transportation Planning Agency for the Lake countywide region, is soliciting proposals to conduct performance audits of APC and of the transit operator under APC's jurisdiction, Lake Transit Authority (LTA). APC is statutorily required by Section 99246 of the California Public Utilities Code to designate entities other than itself or an operator to make a performance audit of its activities and the activities of each operator to whom it allocates funds. The intent of this RFQ is to procure performance audits for the fiscal years 2021/22, 2022/23, and 2023/24, the period ended June 30, 2024.

The audits must be conducted during fiscal year 2024/25 and must be conducted in compliance with relevant sections of the Transportation Development Act. APC further expects that the performance audits will be conducted consistently with the "Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities" issued by the California Department of Transportation.

### B. Regional Transportation Planning Agency

Lake Area Planning Council (APC) was formed as a joint powers agreement in 1972, as mandated by state law, the Transportation Development Act (TDA). Board membership consists of two county supervisors, a countywide public appointee, and one council member from each of the four incorporated cities. A representative of Caltrans serves on the Policy Advisory Committee with the seven directors. Acting as the Regional Transportation Planning Agency, APC disburses local, state and federal funds for transportation and provides regional planning. Occasionally the Council serves as a regional forum. The Council also serves as the Service Authority for Freeway Emergencies (SAFE) of Lake County, administering the call box program. Lake County lies within the coastal range of mountains approximately 100 miles north of San Francisco and 35 miles east of the Pacific Ocean. It is surrounded by Mendocino County on the west, Sonoma and Napa Counties to the south, and Yolo, Colusa and Glenn Counties on the east. State Highway 20 connects the area with both U.S. 101 and Interstate 5.

Standing Committees are:

- Policy Advisory Committee
- Executive Committee
- Technical Advisory Committee (TAC)
- Social Services Transportation Advisory Council (SSTAC)

Roles and responsibilities include:

- Administration of TDA
- Transportation Planning
- STIP Planning, Programming & Monitoring (State/Regional Transportation Improvement Program)
- Interagency Relations (Caltrans, CTC, others)
- Local Agency Support (Cities & County)

All staffing is contracted out. Davey-Bates Consulting (DBC) provides staff for Administrative and Fiscal Services. Dow & Associates provides Planning Services. Further information is available at [www.lakeapc.org](http://www.lakeapc.org)

C. Transit Operators

Article 4 Funds – Public Transit Operator

Transit Authority (LTA), a joint powers public agency, was established in February 1996 to administer public transit services for the Lake County area. Its members include the City of Clearlake, City of Lakeport, County of Lake, and a member-at-large. The LTA finances transit services through a combination of passenger fare revenue, Transportation Development Act (sales tax) funding and Federal Transit Administration funds.

LTA serves Lake County, which lies within the coastal range of mountains approximately 100 miles north of San Francisco and 35 miles east of the Pacific Ocean. LTA also provides interregional bus routes to Ukiah in Mendocino County to the west, and to Calistoga and St. Helena in Napa County to the south.

Lake Transit Authority (LTA) is the sole public transit operator. LTA subcontracts Paratransit Services Inc. for operations and Davey-Bates Consulting for Administration staff. Further information about LTA and a description of services can be found at LTA's website: <http://laketransit.org>.

Article 4.5 Funds – Community Transit Services Provider

Lake Links is a nonprofit organization that was designated as the CTSA for Lake County, California in March 2019 and contracts with the Lake Transit Authority for Community Transit Services. The mission of Lake Links is to coordinate, facilitate, develop and provide mobility options for those residents of Lake County, CA who cannot use or are unaware of existing public transportation resources. With this mission, Lake Links is focused on coordinating the limited resources in this dispersed, low-density, and high poverty-level county to enable those who need transportation assistance to access their destinations.

Lake Links serves Lake County, which lies within the coastal range of mountains approximately 100 miles north of San Francisco and 35 miles east of the Pacific Ocean. The programs administered by Lake Links provide transportation throughout Lake County as well as to neighboring counties. Further information about Lake Links can be found on their website: <https://www.lakelinks.org/>.

II. AUDIT COMPONENTS

The audit requires two separate components, presented in two separate audit reports:

- A. A performance audit of APC, for the three-year period ending June 30, 2024.
- B. A performance audit of LTA, for the three-year period ending June 30, 2024.
- C. A performance audit of Lake Links, for the three-year period ending June 30, 2024.

### III. SCOPE OF WORK

#### A. RTPA Performance Audit Tasks

The following tasks are required for the audit of APC.

- Determine Compliance with Legal and Regulatory Requirements
- Review Status of Prior Performance Audit Recommendations
- Review RTPA Functions

#### B. Operator (Article 4 & 4.5) Performance Audit Tasks

The following tasks are required for the audit of LTA and Lake Links.

- Determine Compliance with Statutory and Regulatory Requirements
- Review Status of Prior Performance Audit Recommendations
- Verify Performance Indicators
- Review Operator Functions

#### C. Deliverables

Consultant shall be responsible for the following deliverables.

- Draft electronic copies for each audit (APC, LTA and Lake Links, Inc.), provided to APC's Executive Director (refer to Contact Person, Page 4) for review and comment prior to finalization. The due date is no later than Friday, May 23, 2025, unless an alternate date is mutually agreed.
- After APC, LTA and Lake Links have had an opportunity to review and comment on the drafts, consultant will provide three (3) bound printed copies of the final written reports for each audit and one electronic copy, delivered to APC's Executive Director (Page 4). The due date is no later than Friday, May 30, 2025, unless an alternate date is mutually agreed.
- An oral presentation of the final report to APC's governing board on Wednesday, June 11, 2025, in person or by remote access teleconference.

#### D. Budget and Contract

Selection will be based on professional qualifications and experience, rather than on price. Since the source of funds is local, not state or federal, the following disclosure is made. The total budget allocated for the performance audits of both APC and LTA is **\$20,000**. The contract terms shall specify all items that will be charged to the project, including: hourly rates for principal(s) and staff to be assigned; their job classifications; fully weighted rates; and any direct costs. The contract will not exceed \$20,000. If subcontractors are to be used, the itemizing of subcontract costs shall follow the same format as for the prime contractor.

### IV. STATEMENT OF QUALIFICATIONS CONTENT

Submittal should include the following elements.

#### A. Letter of Interest

The letter should include the name, title, address, phone number, email address, and original signature of an individual with authority to negotiate on behalf of and to contractually bind the proposer, and who may be contacted during the period of evaluation. Only one letter (as a transmittal) need be provided to accompany all copies of the package.

B. Statement of Qualifications

The statement must include the following:

- Qualifications and experience of each professional who will participate in the project, including a resume for each member of the project team
- Designation of a project manager
- How team members will be delegated to the project
- If subcontractors are to be used, a description of each person or firm, their qualifications and experience, and the work to be delegated to them.

C. Project Proposal

A scope of work with proposed schedule of milestones and delivery dates is encouraged to assist the review panel with its recommendation of a contractor.

D. Consultant References

The submittal should list previous relevant projects conducted by the consultant, including at least two or three performance audits, with contact information, approximate dates of the work, and staff who performed it. One or two examples of the consultant's work may be provided if desired. If a subcontractor is proposed, two or three references for similar projects should be provided.

V. STATEMENT SUBMITTAL and CONTACT PERSON

Four (4) print copies and one electronic copy of the submittal must be received by **5:00 p.m. on March 28, 2025**. Late proposals will be returned unopened. Proposals may be either mailed or hand delivered to the project coordinator.

Written questions regarding this Request for Qualifications will be received by fax, e-mail, or U.S. mail. Questions should include the individual's name, the name of the firm, address, email, and telephone number. Please direct questions to the project coordinator:

Lisa Davey-Bates, Executive Director  
Lake Area Planning Council  
525 South Main St., Suite G  
Ukiah, CA 95482  
(707) 234-3314  
e-mail: [ldaveybates@dbcteam.net](mailto:ldaveybates@dbcteam.net)  
[www.lakeapc.org](http://www.lakeapc.org)

Answers will be posted on APC's website by the date listed in Section VII.

VI. STATEMENT EVALUATION and SELECTION

A. Qualifications Review

A review panel consisting of representatives of APC, LTA and Lake Links staff will evaluate the submittals and determine whether oral interviews will be needed. On conclusion of the panel's review or interviews, a recommendation will be made to APC's governing board, who will make the final selection of a contractor. APC

reserves the right to select a consultant based solely on written proposals.

B. Evaluation Criteria

Qualifications will be evaluated based on the following criteria (up to 20 points each):

- Knowledge of Transportation Development Act (TDA) and RTPAs
- Experience of firm with TDA performance audits
- Experience of firm's assigned individual or team with TDA performance audits
- Overall quality of statement of qualifications
- Ability to provide deliverables within APC's timeline and budget.

C. Contract Award

A contract will be negotiated with the individual or firm determined in the evaluation process to be best suited to perform this project. If a contract with terms acceptable to APC cannot be negotiated with the highest rated individual or firm, then staff shall commence the negotiation process with the next highest rated individual or firm.

VII. SCHEDULE OF EVENTS

A. Request for Qualifications

RFQ Release	Friday, March 7, 2025
Vendor Questions (if any) Due	Friday, March 14, 2025
Responses to Vendor Questions Posted	Monday, March 17, 2025
Vendor Proposals Due	Friday, March 28, 2025/5:00pm
Contract Executed and Notice to Proceed	Friday, April 4, 2025 - <i>target</i>

B. Project Scope of Work

Initial Meetings and Data Collection	April 2025
<i>APC Fiscal Audit Completed by CPA</i>	<i>April – May 2025</i>
<i>LTA Fiscal Audit Completed by CPA</i>	<i>March 2025</i>
Draft Performance Audit Reports Due	No later than May 23, 2025
Final Performance Audit Reports Due	No later than May 30, 2025
Presentation & Acceptance by Lake APC	June 11, 2025

VIII. GENERAL TERMS

A. Non-commitment of APC

This Request for Qualifications does not commit the Lake Area Planning Council to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract for services or supplies. The Lake Area Planning Council reserves the right to accept or reject any or all proposals received as a result of this request, to negotiate with any qualified individual or firm, or to modify or cancel in part or in its entirety the Request for Qualifications if it is in the best interest of the Council to do so.

B. Equal Opportunity

Prospective contractors should be aware that the Equal Employment Opportunity

Requirement of Executive Order 11246, as amended by Executive Order 11275, Title VII of the Civil Rights Act of 1964, the California Fair Employment Practices Act and other federal and state laws pertaining to equal employment opportunity are applicable to any contract awarded by the Lake Area Planning Council.

C. Other Terms

Additional terms will be specified in a contract to be negotiated with the selected consultant.