

**Wagner Associates**  
5528 24<sup>th</sup> Street North  
Arlington, VA 22205-3113  
Tel: 703-532-7629  
Fax: 425-790-3369  
Dan.Wagner@comcast.net

July 16, 2012

Ms. Melissa Pettrey  
State of West Virginia  
Department of Administration  
Purchasing Division  
2019 Washington Street, East  
Charleston, WV 25305-0130

07/19/16 15:04:37  
WU Purchasing Division

Dear Ms. Pettrey:

**RFQ PTR 1600000004**  
**OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES**

Wagner Associates is pleased to submit to the West Virginia Division of Public Transit (DPT) this proposal to perform oversight monitoring services and conduct review of Federal Transit Administration (FTA) grant program subrecipients. Wagner Associates is the best qualified to perform these site visits and provide this technical assistance as:

- I know the Division's people, policies and subrecipients as I provided these services to the Division for the past nine years.
- I am well liked and respected by the Division's subrecipients.
- I assisted the Division in developing, testing and updating the Sections 5311, 5316, and 5317 compliance review workbooks.
- I developed compliance review programs and conducted on-site reviews for Alaska, Arizona, Massachusetts, Missouri, Montana, New Mexico, Oklahoma, South Carolina, Texas, and Vermont.
- For the DPT and Section 5307 grantees, I provided training in FTA circulars 5010.1D, 4220.1F, and 9300.1B after they were issued as a result of reauthorization.
- I am experienced in providing program support as I support the states of Alaska, Arizona, Massachusetts, Missouri, Montana, and New Mexico. I provided training in FTA requirements to Division subrecipients and to subrecipients in Alaska, Arizona, Maryland, Montana, New Mexico, North Carolina, South Carolina, Texas, and Vermont.

Ms. Melissa Pettrey

July 16, 2016

Page 2

- I helped the Division, Alaska, Massachusetts, Missouri, Montana, and New Mexico prepare for State Management Reviews.
- I am current on FTA requirements as I support the State Management Review and Triennial Review programs for FTA, including developing program guidance, developing and conducting training workshops, and conducting site visits of states and urban grantees. Thus, I have more than three years of work experience relating to the FTA 5311, 5310, and 5339 programs.
- I or an associate assisted Kanawha Valley Regional Transportation Authority, Mid-Ohio Valley Transit Authority, City of Weirton, and Eastern Panhandle Transit Authority prepare for Triennial Reviews.
- I provided technical assistance to New River Transit Authority in developing policies and procedures to ensure compliance with FTA requirements.

I appreciate the opportunity to submit this proposal and we look forward to working with you on this project.

Sincerely,  
Wagner Associates



Daniel W. Wagner



Purchasing Division  
 2019 Washington Street East  
 Post Office Box 50130  
 Charleston, WV 25305-0130

State of West Virginia  
 Request for Quotation  
 34 - Service - Prof

Proc Folder: 175405

Doc Description: Addendum No. 1

Proc Type: Central Master Agreement

Date Issued	Solicitation Closes	Solicitation No	Version
2016-07-06	2016-07-21 13:30:00	CRFQ 0805 PTR1600000004	2

**BID RECEIVING LOCATION**

BID CLERK  
 DEPARTMENT OF ADMINISTRATION  
 PURCHASING DIVISION  
 2019 WASHINGTON ST E  
 CHARLESTON WV 25305  
 US

**VENDOR**

Vendor Name, Address and Telephone Number:

*Daniel W Wagner dba Wagner Associates  
 5528 24TH Street North  
 Arlington VA 22205-3113*

**FOR INFORMATION CONTACT THE BUYER**

Melissa Pettrey  
 (304) 558-0094  
 melissa.k.pettrey@wv.gov

Signature *Daniel W Wagner*

FEIN # *27-1897472*

DATE *7/16/2016*

All offers subject to all terms and conditions contained in this solicitation

**ADDITIONAL INFORMATION:**

Addendum No. 1  
To publish vendor questions and responses.

\*\*\*\*\*

The West Virginia Purchasing Division is soliciting bids on behalf of the West Virginia Department of Transportation, Division of Public Transit to establish an Open-end contract for a qualified service provider to provide oversight monitoring services and conduct review of Federal Transit Administration Grant Program Sub-recipients per the specifications and Terms and Conditions as attached.

INVOICE TO		SHIP TO	
AUTHORIZED RECEIVER PUBLIC TRANSIT DIVISION OF BLDG 5 RM 906 1900 KANAWHA BLVD E CHARLESTON US	WV25305-0432	AUTHORIZED RECEIVER PUBLIC TRANSIT DIVISION OF BLDG 5 RM 906 1900 KANAWHA BLVD E CHARLESTON US	WV 25305-0432

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES	0.00000	<i>See Exhibit A</i>		<i>\$320,450.00</i>

Comm Code	Manufacturer	Specification	Model #
94131504			

Extended Description :  
OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES

**SCHEDULE OF EVENTS**

Line	Event	Event Date
1	Vendor Question Deadline @ 10:00 AM	2016-07-05

**ADDENDUM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: PTR1600000004**

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

**Addendum Numbers Received:**

(Check the box next to each addendum received)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> ] Addendum No. 1 | <input type="checkbox"/> ] Addendum No. 6  |
| <input type="checkbox"/> ] Addendum No. 2            | <input type="checkbox"/> ] Addendum No. 7  |
| <input type="checkbox"/> ] Addendum No. 3            | <input type="checkbox"/> ] Addendum No. 8  |
| <input type="checkbox"/> ] Addendum No. 4            | <input type="checkbox"/> ] Addendum No. 9  |
| <input type="checkbox"/> ] Addendum No. 5            | <input type="checkbox"/> ] Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

*Daniel W Wagner dba  
Wagner Associates*

\_\_\_\_\_  
Company

*Daniel W Wagner*

\_\_\_\_\_  
Authorized Signature

*7/16/2016*

\_\_\_\_\_  
Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.

# Wagner Associates

## RFQ PTR 1600000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES

### Table of Contents

EXHIBIT A: OVERSIGHT MONITORING SERVICES/CONDUCT REVIEWS.....	1
DESIGNATED CONTACT/CERTIFICATION AND SIGNATURE.....	3
CONTRACT MANAGER.....	4
CERTIFICATION OF PRIMARY PARTICIPANT REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS.....	5
CERTIFICATION OF RESTRICTIONS ON LOBBYING.....	6
PURCHASING AFFIDAVIT.....	7
QUALIFICATIONS: WORK HISTORY .....	8
QUALIFICATIONS: MANAGEMENT AND TECHNICAL CAPACITY.....	10
EQUAL EMPLOYMENT OPPORTUNITY STATEMENT.....	13
DISADVANTAGED BUSINESS STATEMENT .....	13
APPENDIX A: RESUMES .....	14
APPENDIX B: REFERENCES.....	23

**Exhibit A****Oversight Monitoring Services/Conduct Reviews**

<b>Task</b>		<b>Unit of measure</b>	<b># of Units</b>	<b>Unit Price</b>	<b>Extended Price</b>
4.1.1	<b>5311 Workbook Revision</b>	<b>Cost Per Each Workbook</b>	<b>1</b>	<b>\$1,000.00</b>	<b>\$1,000.00</b>
4.1.2	<b>5310 Workbook Development</b>	<b>Cost Per Each Workbook</b>	<b>1</b>	<b>\$1,000.00</b>	<b>\$1,000.00</b>
4.1.3	<b>5339 Workbook Development</b>	<b>Cost Per Each Review Workbook</b>	<b>1</b>	<b>\$1,000.00</b>	<b>\$1,000.00</b>
4.1.4	<b>Sections 5311 and 5339 Reviews</b>	<b>Each review, Total 18 Reviews</b>	<b>18</b>	<b>\$4,650.00</b>	<b>\$83,700.00</b>
4.1.5	<b>5311 and 5339 Training Workshops</b>	<b>Cost per each workshop</b>	<b>3</b>	<b>\$5,000.00</b>	<b>\$15,000.00</b>
4.1.6	<b>Provide 5311 &amp; 5339 Technical Assistance</b>	<b>Cost per 1 hour, 150 hours Total</b>	<b>150</b>	<b>\$125.00</b>	<b>\$18,750.00</b>
4.2.1	<b>General Change/Reauthorization Review</b>	<b>Cost per 1 hour, 150 hours Total</b>	<b>150</b>	<b>\$125.00</b>	<b>\$18,750.00</b>
4.2.2	<b>Management Plans and Program Guides: Technical Assistance</b>	<b>Cost per 1 hour, 300 hours Total</b>	<b>300</b>	<b>\$125.00</b>	<b>\$37,500.00</b>
4.2.3	<b>New Laws, Regulations, Circulars or Guidance: Technical Assistance</b>	<b>Cost per 1 hour, 150 hours Total</b>	<b>150</b>	<b>\$125.00</b>	<b>\$18,750.00</b>
4.2.4	<b>FTA State Management Review: Assist in preparing, responding and resolving findings</b>	<b>Cost per 1 hour, 300 hours Total</b>	<b>300</b>	<b>\$125.00</b>	<b>\$37,500.00</b>
4.2.5	<b>Policies and Grant Requirements: Technical Assistance</b>	<b>Cost per 1 hour</b>	<b>150</b>	<b>\$125.00</b>	<b>\$18,750.00</b>

4.3.1	<b>FTA Review/Response: Technical Assistance</b>	<b>Cost per 1 hour</b>	150	\$125.00	\$18,750.00
<b>Exhibit A (continued)</b>					
<b>Oversight Monitoring Services/Conduct Reviews</b>					
4.3.2	<b>Triennial DBE Goal Development: Technical Assistance</b>	<b>Cost per 1 hour, 150 hours Total</b>	150	\$125.00	\$18,750.00
4.3.3	<b>Urbanized Area Formula Program: Technical Assistance</b>	<b>Cost per 1 hour, 150 hours Total</b>	150	\$125.00	\$18,750.00
4.4.1	<b>Meetings with DPT</b>	<b>Cost per 1 hour, 100 hours Total</b>	100	\$125.00	\$12,500.00
<b>Total Bid Amount</b>					\$320,450.00

Quantities listed are only an estimate. There is no guaranteed purchase amount. The agency may buy more or less as needed.



**DESIGNATED CONTACT:** Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

Daniel W Wagner, Principal  
(Name, Title)  
Daniel W Wagner, Principal  
(Printed Name and Title)  
5528 24th Street North, Arlington VA 22205  
(Address)  
703-532-7629 / 425-790-3369  
(Phone Number) / (Fax Number)  
Dan.Wagner@comcast.net  
(email address)

**CERTIFICATION AND SIGNATURE:** By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

Daniel W Wagner dba Wagner Associates  
(Company)

Daniel W Wagner, Principal  
(Authorized Signature) (Representative Name, Title)

Daniel W Wagner, Principal  
(Printed Name and Title of Authorized Representative)

7/16/2016  
(Date)

703-532-7629 / 425-790-3369  
(Phone Number) (Fax Number)

REQUEST FOR QUOTATION  
Provide Oversight Monitoring Services and Conduct Review of Federal Transit  
Administration Grant Program Sub-recipients

---

**11.4 CONTRACT MANAGER:** During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

Contract Manager: Daniel W Wagner  
Telephone Number: 703-532-7629  
Fax Number: 425-790-3369  
Email Address: dan.wagner@comcast.net

# ATTACHMENT "C"

REQUEST FOR QUOTATION  
Provide Oversight Monitoring Services and Conduct Reviews of  
Federal Transit Administration Grant Program Sub-recipients

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## CERTIFICATION OF PRIMARY PARTICIPANT REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

The Primary Participant (applicant for an FTA grant or cooperative agreement, or potential contractor for a major third party contract), Daniel W Wagner dba Wagner Associates  
(COMPANY NAME) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

If the primary participant (applicant for an FTA grant, or cooperative agreement, or potential third party contractor) is unable to certify to any of the statements in this certification, the participant shall attach an explanation to this certification.)

The primary participant (applicant for an fta grant or cooperative agreement, or potential contractor for a major third party contract), Daniel W Wagner dba Wagner Associates, certifies or affirms the truthfulness and accuracy of the contents of the statements submitted on or with this certification and understands that the provisions of 31 u.s.c. sections 3801 et seq. Are applicable thereto.

Daniel W Wagner, Principal  
Signature and Title of Authorized Official

# ATTACHMENT "D"

## REQUEST FOR QUOTATION Provide Oversight Monitoring Services and Conduct Review of Federal Transit Administration Grant Program Sub-recipients

### CERTIFICATION OF RESTRICTIONS ON LOBBYING

The undersigned (Vendor, Contractor) certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. [as amended by "Government Wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. [Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Vendor, Daniel W Wagner dba Wagner Associates, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Vendor understands and agrees that the provisions of 31 U.S.C. § 3801, et seq., apply to this certification and disclosure, if any.

2/16/2016  
Date

Daniel W Wagner  
Authorized Signature

Principal  
Title

STATE OF WEST VIRGINIA  
Purchasing Division

# PURCHASING AFFIDAVIT

**MANDATE:** Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

**EXCEPTION:** The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

**DEFINITIONS:**

**"Debt"** means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

**"Employer default"** means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

**"Related party"** means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

**AFFIRMATION:** By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (W. Va. Code §61-5-3) that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

**WITNESS THE FOLLOWING SIGNATURE:**

Vendor's Name: Daniel W. Wagner dba Wagner Associates  
Authorized Signature: Daniel W. Wagner Date: 7/16/2016

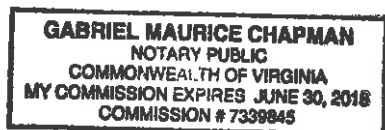
State of VA

County of Arlington, to-wit:

Taken, subscribed, and sworn to before me this 16 day of July, 2016.

My Commission expires 30 June, 2018.

AFFIX SEAL HERE



NOTARY PUBLIC

Purchasing Affidavit (Revised 08/01/2015)

# Wagner Associates

## RFQ PTR 1600000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES

### QUALIFICATIONS: WORK HISTORY

#### 1. Relevant Education and Experience with FTA Programs

Mr. Wagner has extensive experience with the Sections 5311, 5310, 5339, and 5307 programs through his work with FTA supporting the State Management Review and Triennial Review programs and his work providing program support to states, such as West Virginia, Alaska, Arizona, Massachusetts, Missouri, Montana, and New Mexico with the administration of these programs.

Since 1994, Mr. Wagner has supported the FTA Triennial Review program. He conducts Triennial Reviews, assists the FTA with developing the annual Triennial Review Program Guide, and presents at Triennial Review workshops. To date, he has conducted over 100 Triennial Reviews.

Since 1995, Mr. Wagner has been working with the Section 5311 and 5310 programs, first on the development and implementation of the State Management Review program with FTA and then assisting states, including West Virginia, with the development and implementation of compliance review programs. After the passage of MAP-21, he worked with FTA to incorporate the Section 5339 program into the State Management and Triennial Review programs. To date, he has conducted over 50 State Management Reviews. He conducts State Management Review workshops for FTA and assisted FTA in the top-to-bottom review of the State Management Review program.

Mr. Wagner was awarded a Bachelor of Arts in Economics from The Catholic University of America, and was graduated summa cum laude and Phi Beta Kappa.

#### 2. Relevant Experience with On-Site Reviews

Mr. Wagner conducts on-site reviews for FTA, including State Management Reviews and Triennial Reviews. To date, he has conducted over 50 State Management Reviews and over 100 Triennial Reviews. He has conducted Triennial Reviews of FTA's largest and most complex grantees, including New York City Transit and Los Angeles County Metropolitan Transit Authority.

Mr. Wagner has developed on-site review workbooks and conducted on-site reviews of Sections 5311 and/or 5310 subrecipients for West Virginia, Alaska, Arizona, Massachusetts, Missouri, Montana, New Mexico, Oklahoma, South Carolina, Texas, and Vermont.

#### 3. Relevant Experience with State Management and Triennial Reviews

As stated above, Mr. Wagner has supported the FTA Triennial Review program since 1994 and the FTA State Management Review program since 1995. He has conducted

# Wagner Associates

## **RFQ PTR 160000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES**

over 100 Triennial Reviews and over 50 State Management Reviews. He assists FTA with the development of the annual Triennial Review and State Management Review guides and presents at State Management Review and Triennial Review workshops.

Mr. Wagner assisted West Virginia, Alaska, Massachusetts, Missouri, and Montana prepare for State Management Reviews.

Mr. Wagner assisted Kanawha Valley Regional Transportation Authority and the Mid-Ohio Valley Transit Authority prepare for Triennial Reviews. As a result of the assistance he provided, both providers received no deficiencies from FTA. Mr. Clare with Milligan and Company, LLC conducts Triennial Reviews and State Management Reviews for FTA. He prepared the Eastern Panhandle Transit Authority and City of Weirton for their recent Triennial Reviews.

#### **4. Relevant Experience with Provision of Training**

Annually, Mr. Wagner presents at FTA State Management Review and Triennial Review workshops. He has provided training in FTA requirements to Section 5311, 5310, or 5339 subrecipients in West Virginia, Alaska, Arizona, Maryland, Montana, New Mexico, North Carolina, South Carolina, Texas, and Vermont. Most recently, he and Ms. Beauvais, a proposed subcontractor, provided training in the FTA Tribal Transit Program, Asset Management, Procurement, and Americans with Disabilities Act (ADA) requirements at the 2016 Arizona Transit Association conference.

# Wagner Associates

## RFQ PTR 160000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES

### QUALIFICATIONS: MANAGEMENT AND TECHNICAL CAPACITY

#### 1. Organization Structure and Experience with the FTA Sections 5311, 5310, 5307, and 5339 Grant Programs/Regulations and 2. Proposed Resources

Wagner Associates has the management and technical qualifications to perform all the required tasks. Mr. Wagner has assembled a project team that is uniquely qualified to provide this assistance. Full resumes are attached in Appendix A.

Mr. Wagner will serve as the project manager and will direct and oversee all tasks. He has teamed with Milligan & Company, LLC and RAE Consultants to provide additional resources and expertise. If needed, he can reach out to additional colleagues for expertise on specific tasks.

**Mr. Daniel Wagner**, principal and founder of Wagner Associates, will serve as the project manager and will: develop and refine the compliance review workbooks; conduct the compliance reviews; conduct training workshops; provide technical assistance to DPT and its subrecipients; review subrecipients and programs for compliance with FTA regulations; review and develop management plans and program guides; provide technical assistance in the implementation of new FTA requirements; assist in preparing and responding to the FTA State Management Review; assist the DPT develop its Title VI plan; and assist Section 5307 recipients prepare for or respond to Triennial Reviews; and provide technical assistance as requested.

Mr. Wagner has over 35 years of management consulting experience. Since 1995, Mr. Wagner has been working with the Section 5311 and 5310 programs, first on the development and implementation of the State Management Review program with FTA and then assisting states, including West Virginia, with the development and implementation of compliance review programs. Mr. Wagner has supported the Triennial Review Program, FTA's comprehensive oversight review of Section 5307 recipients, since 1994. After the inception of the Section 5339 program in 2012, Mr. Wagner assisted FTA in incorporating Section 5339 program requirements into the State Management Review and Triennial Review programs. Currently, Mr. Wagner is incorporating the changes in the program resulting from the FAST Act into the State Management and Triennial Reviews.

Since 2005, he has provided program support to DPT. He has developed and revised compliance workbooks, conducted on-site compliance reviews, provided technical assistance to the DPT and subrecipients, reviewed State Management Plans, provided training, assisted in the development of DTP's Title VI plan, and assisted in the development of the Section 5311 program guide. He has provided support in meeting FTA requirements to the states of Alaska, Arizona, Massachusetts, Missouri, Montana, New Mexico, Oklahoma, South Carolina, Texas and Vermont, and has provided training



# Wagner Associates

## RFQ PTR 160000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES

in FTA requirements to subrecipients in West Virginia, Alaska, Maryland, Missouri, Montana, North Carolina, South Carolina, Texas and Vermont.

Mr. Wagner assisted Kanawha Valley Regional Transportation Authority and Mid-Ohio Valley Transit Authority prepare for recent Triennial Reviews. Both had no deficiencies. He provided technical assistance to New River Transit Authority in developing policies and procedures to ensure compliance with FTA Section 5307 requirements.

**Ms. Denise Bailey**, Principal with Milligan and Company, LLC will assist in the development of the Division's triennial DBE goal and, if DPT is selected for a DBE or Title VI review, help it prepare.

Ms. Bailey has over 30 years of experience, including over 25 years of experience providing program support to FTA. For FTA, she conducts DBE reviews and provides training in DBE program requirements for the National Transit Institute. She reviewed Title VI program submittals after the last revision to the Title VI circular and conducted Title VI reviews. She supports the State Management Review, Triennial Review, Procurement System Review, and ADA Review programs and conducts State Management Review and Triennial Review workshops.

**Mr. John Clare**, senior consultant with Milligan and Company, LLC will assist in helping Section 5307 recipients prepare for or respond to Triennial Reviews and, if DPT is selected for a Procurement System Review, help it prepare. He will assist in tasks as necessary and will be available to provide technical assistance.

Mr. Clare has over 35 years of experience in the public transit industry and project management. Currently, he conducts State Management Reviews, Triennial Reviews and Procurement System Reviews and conducts Triennial Review and Procurement System Review workshops for FTA. For the Division, he provided technical support to the Eastern Panhandle Transit Authority with the management of its ARRA-funded construction project, the development of a DBE program, grant management, and other tasks. He assisted the Mid-Ohio Valley Transit Authority with the development of a DBE program. He prepared the Eastern Panhandle Transit Authority and City of Weirton for their most recent Triennial Reviews. He developed and presented a one-day workshop in FTA procurement requirements for the Maryland Mass Transit Administration.

**Ms. Ann Beauvais**, principal with RAE Consultants, has over ten years of experience in the FTA state programs. She is available to conduct reviews, provide technical assistance, and perform other tasks as necessary.

Ms. Beauvais and Mr. Wagner support Arizona with the conduct of Section 5311 and 5310 site visits. She developed the Section 5310 program guide and application, supports a bus purchase consortium in Colorado, assisted several Colorado Section 5311

# Wagner Associates

## **RFQ PTR 1600000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES**

subrecipients develop FTA-compliant policies and procedures, and serves as a subject matter expert for Triennial Reviews. She managed the Section 5310 program for Colorado.

# **Wagner Associates**

## **RFQ PTR 1600000004 OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES**

### **EQUAL EMPLOYMENT OPPORTUNITY STATEMENT**

Mr. Wagner is an independent consultant and as such has no staff. He is committed to nondiscriminatory behavior in his dealings with others.

### **DISADVANTAGED BUSINESS STATEMENT**

Neither Wagner Associates nor its proposed subcontractors, Milligan & Company, LLC and RAE Consultants, is a disadvantaged business enterprise certified in West Virginia. Milligan & Company, LLC is a minority- and veteran-owned business. RAE Consultants is a woman-owned business that is applying for DBE certification in Colorado. Once certified, she can apply for certification in West Virginia.

**Wagner Associates**

**RFQ PTR 160000004  
OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES**

**APPENDIX A: RESUMES**

# Wagner Associates

**Daniel W. Wagner**, Principal, Wagner Associates  
Engagement Role: Project Manager/Lead Reviewer

*Education:* Bachelor of Arts in Economics, The Catholic University of America, graduated summa cum laude and Phi Beta Kappa

*Summary:* Mr. Wagner, principal and founder of Wagner Associates, has over 35 years of experience in management and performance reviews, compliance reviews, program evaluation, project planning, organization analysis, and financial analysis. Since 1994, he has supported FTA's oversight programs. Since 2000, he has provided support to state departments of transportation in FTA compliance.

## *Relevant Experience:*

### *State Departments of Transportation*

- Developed transit performance and compliance review programs and conducted reviews for **West Virginia, Alaska, Arizona, Massachusetts, Missouri, Montana, Oklahoma, South Carolina, Texas and Vermont.**
- Provided program support, advice and technical assistance to **West Virginia, Alaska, Massachusetts, Missouri, Montana and New Mexico** in FTA requirements.
- Assisted **West Virginia, Alaska, Massachusetts, Missouri, and Montana** to prepare for State Management Reviews.
- For **Vermont**, recommended strategies to better coordinate service delivery to reduce redundant service and leverage multiple transportation funding sources. Assisted two Section 5311 subrecipients in developing procedures for implementing the new coordinated service delivery model, including developing cost allocation plans that allow the providers to more easily bill programs for services. Led the effort to assist eight other Vermont transit providers in developing cost allocation plans.
- Conducted a management and compliance review of the **Rhode Island** Public Transit Authority's (RIPTA) ADA transportation program and assisted in the evaluation and development of a training program for paratransit operators for RIPTA.

### *Federal Transit Administration*

- Conducts *State Management Reviews*. Serves as a lead reviewer and instructor for *State Management Reviews*. Works with FTA to develop the annual *State Management Review* contractor guide and workshop presentation. Conducts special projects. Co-developed the first *Tribal Transit Program* presentation. Served on the team that developed the original *State Management Review* program. Has supported the program since 1995. To date, has conducted over 50 *State Management Reviews*.
- Conducts *Triennial Reviews*. Works with FTA to develop *Triennial Review* contractor guide and workshop presentation. Serves as a workshop instructor. Has supported the program since 1994 and has conducted over 100 *Triennial Reviews*,

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including reviews of some of FTA's largest grantees—New York City Transit, Los Angeles County Metropolitan Transportation Authority, Massachusetts Bay Transportation Authority, New Jersey Transit Corporation, Maryland Transit Authority, Central Puget Sound Regional Transit Authority (Sound Transit), Dallas Area Regional Transit (DART), Metropolitan Transit Authority of Harris County (Houston Metro), Bay Area Rapid Transit (BART), Regional Transportation District (RTD Denver), Metropolitan Transit System (San Diego), Utah Transit Authority (Salt Lake), Regional Transit Authority (New Orleans RTA), and Commuter Rail Division of the Regional Transportation Authority (Metra).

- Conducted *ADA Complementary Paratransit Reviews*.
- Conducted *Drug and Alcohol Program Audits*.
- Conducted *ADA Key Station Reviews*.

### *Training*

- Serves as an instructor at *State Management Review* and *Triennial Review* workshops.
- Developed and presented training programs in FTA requirements for subrecipients in **Alaska, Arizona, Maryland, Missouri, Montana, New Mexico, North Carolina, Oklahoma, South Carolina, Texas, Vermont and West Virginia**.
- Conducted two-day workshops on FTA requirements for **North Carolina** and **Maryland** state staff.
- Presented on conducting compliance reviews at a Transportation Research Board Rural Transit Conference.

# Wagner Associates

**M. Denise Bailey**, Principal, Milligan & Company, LLC  
Engagement Role: DBE and Title VI Compliance

*Education:* Bachelor of Science, Commerce & Engineering, Drexel University, Philadelphia, PA

*Summary:* Ms. Bailey has over 30 years of work experience, including over 25 years of experience in government compliance. She is responsible for the firm's government consulting engagements with various entities, including the *Federal Transit Administration, State Departments of Transportation, Southeastern Pennsylvania Transportation Authority, National Transit Institute*, and the *Federal Aviation Administration*. She has expertise in civil rights, grants management, contract compliance, training, and construction scheduling.

## *Relevant Experience:*

### *US Department of Transportation – Federal Transit Administration*

- Principal in charge for *Triennial Reviews* and *State Management Reviews*
- Principal in charge for *Disadvantaged Business Enterprise, Title VI* and *Equal Employment Opportunity* reviews
- Principal in charge for *ADA* reviews
- Project manager for *Procurement System Reviews*. Developed and maintained *Best Practices Procurement Manual*.
- Project manager for *Drug and Alcohol Audits*
- Senior consultant for *Financial Management Oversight Reviews*
- Project manager for evaluation of emergency preparedness plans for the Office of Civil Rights

### *State Departments of Transportation*

- Project manager for reviews of internal control, compliance and performance of subrecipients for the *South Carolina Department of Transportation*
- Project manager for analysis of capital project funding, review of internal controls, and development of a comprehensive process and procedures manual for the Capital Programming Division to strengthen internal controls over the federal funding process for *Maryland Transit Administration Office of Planning*
- Project manager for drug and alcohol audits of *Maryland Transit Administration* contractors
- Instructor at workshop in FTA requirements for the *Maryland Transit Administration*
- Project manager for evaluation of current state transit agency needs and long-term funding solutions for highway and transit for the *Pennsylvania Department of Transportation - Funding Reform Commission*

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- Project analyst for DBE Supportive Services Center – Eastern Pennsylvania for the *Pennsylvania Department of Transportation*

*National Transit Institute* – Serves as lead trainer for the *DBE Training Program*.  
Updates course materials to reflect recent changes in the USDOT regulation.

*Federal Aviation Administration* – Served as project manager and lead reviewer on DBE program reviews of airport sponsors.

*Pennsylvania Office of the Budget* – Served as principal-in-charge of engagement to review grant applications and monitor financing and construction of projects receiving redevelopment assistance grants from the state.

### *Engineering Engagements*

*Philadelphia International Airport* – Conducted an efficiency review of the Planning and Development Department that addressed the planning, design and construction units.

*I-95 Delaware Expressway* – Served as schedule engineer for the I-95 Delaware Expressway program which included ten separate contracts worth over \$120 million. Developed and monitored design and construction schedules, problem-solved and interfaced with prime contractors, subcontractors, owners and affected agencies.

*City of Philadelphia* – Provided construction inspection services at the Philadelphia International Airport for various construction projects, including roadway and apron work, HVAC renovation, cooling tower installation and building renovation.

### *Professional Affiliations:*

Women's Transportation Seminar, Philadelphia Chapter - Past President  
American Public Transportation Association (APTA)  
Conference of Minority Transportation Officials  
Pennsylvania Highway Information Association (PHIA)

### *Publications, Presentations & Research Projects:*

- Report on Transit Emergency Preparedness for Minority, Low-Income, and Limited English Proficient Persons
- BRT Evaluation of Port Authority of Allegheny County's West Busway



## Wagner Associates

**John R. Clare**, Senior Consultant, Milligan & Company, LLC  
Engagement Role: Triennial Reviews and Procurement Compliance

*Education:* Master of Arts in Public Administration, State University of New York at Albany; Bachelor of Arts, Political Science, American University

*Summary:* Mr. Clare, a senior consultant with Milligan, has over 40 years of experience in the public transit industry and in project management. Before becoming a consultant, he provided project management oversight of several design and construction projects and held a number of senior management positions with the Central New York Regional Transportation Authority.

*Relevant Experience:*

### *Federal Transit Administration*

- Serves as a lead reviewer and instructor for *State Management Reviews*
- Serves as a lead reviewer and instructor for *Triennial Reviews*
- Serves as a lead reviewer and instructor for *Procurement System Reviews*

*Maryland Mass Transit Administration* – Developed and provided a one-day training workshop on FTA procurement requirements to state staff and subrecipients.

*West Virginia Department of Transportation* – Prepared the Eastern Panhandle Transit Authority and the City of Weirton prepare for Triennial Reviews. Provided technical support to the Eastern Panhandle Transit Authority with the management of its ARRA-funded construction project, the development of a DBE program, grant management, and other tasks.

*Mid-Ohio Valley Transit Authority* – Assisted with the development of a DBE program.

*Onondaga County, New York* – As a project management consultant, oversaw five major capital improvement projects. Prepared, selected and negotiated professional service contracts; reviewed bid documents; and oversaw design engineers and contractors to ensure projects were done in compliance with government regulations and in accordance with contract requirements.

*Central New York Regional Transportation Authority* – Held a number of senior management positions responsible for project development, project management, contract administration, procurement, proposal preparation, selection and negotiation of professional service contracts, capital planning and construction, grant preparation, grant administration, governmental relations and marketing. As the manager responsible for assuring compliance with FTA regulations, served as the point person responsible for FTA *Triennial Reviews*. At the invitation of FTA, moderated a training session on “Surviving a Triennial Review” at a joint Region I and II conference. Also at the request

## Wagner Associates

of FTA, managed a national bus purchase consortium and a statewide alternative fuels bus purchase consortium. Served as the project manager for multiple capital construction projects, including an Intermodal Transportation Center project. Developed, implemented and evaluated a wide range of innovative programs to improve the efficiency and effectiveness of transit operations, including demand responsive transportation systems, bus air conditioning effectiveness programs, a brake retarder demonstration, an automated bus diagnostic system, and a wheelchair lift life cycle cost project.

*Syracuse Metropolitan Transportation Council – Metropolitan Planning Process.* For over 25 years, served as a representative on the Syracuse Metropolitan Transportation Council, the metropolitan planning organization for the Syracuse metropolitan area. Served as chairman of the executive committee, first alternate for the policy committee, and a member of the planning committee, the capital projects subcommittee, and the transit subcommittee. Assisted the MPO during *Planning Certification Reviews* conducted by the FTA and the Federal Highway Administration.

# Wagner Associates

**Ann Beauvais, Principal, RAE Consultants**  
Engagement Role: Reviews

*Education:* Master of Public Administration, University of Colorado; Bachelor of Arts, English and Communications, Fort Lewis College

*Summary:* Ms. Beauvais, a principal with RAE Consultants, Inc., specializes in transit grant administration, regulatory compliance, and transit vehicle procurement. She has over ten years of experience in public transportation, including successfully managing the various requirements of federal transit grant administration in state and local government environments. She serves as a senior project manager on numerous state and local transit grant management projects, with an emphasis on assisting rural and medium-size transit agencies with federal regulatory compliance requirements.

*Relevant Experience:*

*Grant Administration and Compliance:*

For the Arizona Department of Transportation, Ms. Beauvais conducts compliance reviews of Section 5311 and 5310 subrecipients. She developed grant application processes and procedures for the Sections 5310, 5311, 5316, and 5317 programs, revised the State Management Plan, prepared the state for its 2012 and 2015 State Management Reviews, streamlined all aspects of grant management practices, reconciled FTA grants, and altered grant management processes to meet MAP-21 requirements.

She serves as a subject matter expert (SME) in Technical Capacity/Grant Administration for FTA Triennial Reviews.

She assisted Colorado Section 5311 and 5310 subrecipients (Town of Snowmass Village, Town of Crested Butte, Town of Winter Park, Eagle County, and Amblicab) develop FTA-compliant procedures.

For the Montana Department of Transportation, she developed a grantee Financial Management Guide for the FTA grant programs.

She prepared the Towns of Crested Butte and Winter Park, CO, and the City of Farmington, NM, for compliance reviews.

She served as the Section 5310 Program Manager for the Colorado Department of Transportation, overseeing and administering approximately \$1.5 million annually in grants to both urban and rural public and nonprofit agencies. She monitored Civil Rights compliance for all state-administered FTA grant programs, with specific emphasis on Disadvantaged Business Enterprise (DBE) and Title VI. She assisted in the development of an online application process and corresponding grantee guidance that streamlined requirements for all four state-administered FTA formula grant programs (5310, 5311, 5316, and 5317).

# Wagner Associates

## *Procurement*

Ms. Beauvais assists rural and medium size transit agencies in Colorado (10 to 100+ buses) conduct procurements for buses, equipment, and services. This assistance includes writing specifications and scopes of work, developing bid documents, overseeing the procurement process from advertising to award, and conducting price analyses.

She serves as the Colorado Mountain Purchasing Consortium (CMPC) program administrator conducting procurements and managing contracts for cutaway bus (seven vehicle classes) and large transit bus (29- to 40-foot) joint procurements. The CMPC comprises ten grantees in Colorado, Wyoming, and New Mexico which have joined together to purchase buses under a consortium model.

While at CDOT, she procured or oversaw procurement-related activities for all transit capital equipment. She conducted statewide FTA-funded transit vehicle procurements with an emphasis on light-duty, body-on-chassis buses, and accessible minivans, including developing specifications and bid documents, conducting procurement processes with the CDOT Purchasing Office, and inspecting vehicles both at plant and at delivery. She oversaw processes for all FTA-funded direct transit capital (vehicle, software, etc.) purchases made by local agencies in the Section 5311 program, including assisting with specification writing, proposal development, procurement process, and federal requirements.

## *Grant Writing*

She has secured various operating and capital project awards via grant writing services for Disability Services Inc., Mountain Express (Crested Butte), Town of Mt. Crested Butte, Gunnison Valley RTA and Dolores County. She has secured funding under FTA programs 5304, 5310, 5311, and 5339; the State of Colorado FASTER program; and the FHWA Transportation Alternatives Program (TAP) program.

## *Training:*

FTA 2015 State Management Review Workshop  
FTA 2014 Triennial Review Workshop  
NTI Procurement Series II – Risk Assessment and Basic Cost or Price Analysis  
Small Urban and Rural Transit Center Business Plan Development  
NTI Introduction to Asset Management

## *Board Membership and Recognition:*

Colorado Association of Transit Agencies, Transit Administration Team of the Year, Fall 2015  
Colorado Association of Transit Agencies, Distinguished Service Award, Fall 2010  
Disability Services Inc. Colorado Springs, Board Member; 2013-Present

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## APPENDIX B: REFERENCES

**Compliance Monitoring Services, Alaska Department of Transportation and Public Facilities.** Mr. Wagner works with the state to develop and implement a comprehensive oversight program for recipients of FTA and state funds. He works with the state to: develop a compliance review package; conduct desk reviews and site visits, prepare draft and final reports; follow up with recipients on closing of deficiencies; conduct detailed program reviews in the areas of civil rights, financial management, and procurement, when necessary; conduct workshops; provide technical assistance to the state and recipients; and prepare for FTA oversight reviews, including state management reviews. He supported the State in the development of an oversight module for its grant management system. He is working with the State to rewrite its State Management Plan.

*Contact:*

Ms. Stephanie Bushong, Section 5311 Program Manager  
Alaska Department of Transportation and Public Facilities  
907-465-2883

*Duration:* October 2011 – present

**Compliance Monitoring Services, New Mexico Department of Transportation.**

Mr. Wagner provides support in meeting FTA requirements and conducts site visits of Section 5310 and 5311 subrecipients. Annually, he updates the Section 5310 and 5311 questionnaires. He prepared the State for two State Management Reviews, assisted in the development of the NMDOT Title VI plan, developed a Title VI plan template for Section 5310 and 5311 subrecipients, provided training to subrecipients in FTA requirements, and reviewed the State bus procurement for compliance with FTA requirements.

*Contact:*

Mr. David Harris, Director  
Transit and Rail Division  
New Mexico Department of Transportation  
505-699-4350

*Duration:* October 2010 – present

**Compliance Monitoring Services, Arizona Department of Transportation.**

Mr. Wagner and Ms. Beauvais conduct site visits of Section 5310 and 5311 subrecipients, provide training to subrecipients in meeting FTA requirements, develop and update the Section 5310 and 5311 site visit questionnaires, and provide technical assistance to subrecipients as requested.

## **Wagner Associates**

*Contact:*

Mr. Mike Normand, Director  
Transit Programs  
Arizona Department of Transportation  
602-712-8243

*Duration:* April 2013 – present