



West Virginia Purchasing Division

2019 Washington Street, East
Charleston, WV 25305
Telephone: 304-558-2306
General Fax: 304-558-6026
Bid Fax: 304-558-3970

The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at ***wvOASIS.gov***. As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at ***WVPurchasing.gov*** with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

Header

List View

General Information | Contact | Default Values | Discount | Document Information

Procurement Folder: 175405

SO Doc Code: CRFQ

Procurement Type: Central Master Agreement

SO Dept: 0805

Vendor ID: 000000187028

SO Doc ID: PTR1600000004

Legal Name: CALYPTUS CONSULTING GROUP INC

Published Date: 7/6/16

Alias/DBA:

Close Date: 7/21/16

Total Bid: \$299,180.00

Close Time: 13:30

Response Date: 07/21/2016

Status: Closed

Response Time: 10:33

Solicitation Description: Addendum No. 1
OVERSIGHT ASSISTANCE

Total of Header Attachments: 0

Total of All Attachments: 0



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

**State of West Virginia
 Solicitation Response**

Proc Folder : 175405
Solicitation Description : Addendum No. 1
Proc Type : Central Master Agreement

Date issued	Solicitation Closes	Solicitation No	Version
	2016-07-21 13:30:00	SR 0805 ESR07211600000000263	1

VENDOR
000000187028 CALYPTUS CONSULTING GROUP INC

FOR INFORMATION CONTACT THE BUYER
 Melissa Pettrey
 (304) 558-0094
 melissa.k.pettrey@wv.gov

Signature X **FEIN #** **DATE**

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

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES	0.00000			\$299,180.00

Comm Code	Manufacturer	Specification	Model #
94131504			

Extended Description :	OVERSIGHT ASSISTANCE FOR BUS AND BUS FACILITIES
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Oversight Assistance for Bus and Bus Facilities

**Submitted to:
West Virginia Department of Transportation
Division of Public Transit**

**July 21, 2016
CRFQ 0805 PTR1600000004**



Submitted by:
Calyptus Consulting Group, Inc.
43 Thorndike Street
Cambridge, MA 02141
P: 617-577-0041
F: 617-577-0042
E: gharris@calyptusgroup.com
www.calyptusgroup.com
Contact Name: Dr. George L. Harris

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Cover Letter

July 21, 2016

Department of Administration, Purchasing Division
2019 Washington Street, East
Charlestown, WV, 25305-0130

Ref: Oversight Assistance for Bus and Bus Facilities: CRFQ 0805 PTR1600000004

Dear Ms. Melissa Pettrey:

Calyptus Consulting Group, Inc. is pleased to submit its response to the referenced RFQ. We are a small business specializing in public sector transit and operational improvement. We have reviewed the scope of work and we are offering an optimal solution to West Virginia Department of Transportation, Division of Public Transit. We supported the design of the current State Management Review (SMR), and have conducted over 120 Procurement System Reviews (PSRs) and 200 Triennial Reviews for FTA grantees. We have conducted reviews of sub-recipients in Wisconsin, California, Michigan, and Georgia and have conducted FTA Triennial Reviews for four (4) of the subject West Virginia DOT subrecipients during 2015. Calyptus is committed to exceeding your objectives for this project, and we submit our quote in the attached Exhibit A: Pricing for Public Transit which fully satisfies all your mandatory requirements. Our unique capabilities include:

- Experience as an FTA triennial reviewer since 2012 (have conducted 200 reviews)
- Experience as an FTA procurement system reviewer since 1996 (have conducted 125 reviews)
- Experience as an FTA TED reviewer (Title VI, Equal Employment Opportunities and Disadvantaged Business Enterprise) conducting focused civil rights compliance reviews since 2015
- Experience delivering technical assistance to FTA grantees to improve performance and regulatory compliance
- Experience developing sub-recipient oversight programs and undertaking reviews to monitor compliance with FTA requirements passed through to local capital and operating projects
- Being a small business as defined by the SBE; having a potential DBE in CA that is used for Triennial Review work; also willing to review DBE participation at the time of task order awards
- Over 25 years' experience providing bespoke and off-the-shelf training solutions, including seminars
- A library of best practice templates, tools, checklists and forms to support West Virginia transit authorities
- Having performed similar projects for transit providers, Federal Government, State and Local Government, County Government, and private industry.

We do not intend to utilize the services of any sub-consultants or subcontractors in the performance of this work. The address of our firm is provided on the cover page of this proposal. I am the primary point of contact for this proposal and am legally authorized to bind the firm. We look forward to providing services to the West Virginia Department of Transportation, Division of Public Transit.

Sincerely,



Dr. George L. Harris, President

43 Thorndike Street Cambridge MA0-2141 | (617)577-0041 | gharris@calyptusgroup.com | www.calyptusgroup.com

Designated Contact


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: George L. Harris
Telephone Number: 617-577-0041
Fax Number: 617-577-0042
Email Address: gharris@calyptusgroup.com

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.

 President

(Name, Title)
Dr. George Harris, President

(Printed Name and Title)
43 Thorndike Street Suite S-2-4 Cambridge, MA 02421


(Address)
617-577-0041/617-577-0042

(Phone Number) / (Fax Number)
gharris@calyptusgroup.com

(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.

Calyptus Consulting Group, Inc.

(Company)


(Authorized Signature) (Representative Name, Title)
George L. Harris, President

(Printed Name and Title of Authorized Representative)
7/21/2016

(Date)
617-577-0041/617-577-0042

(Phone Number) (Fax Number)

Revised 05/04/2016

Addendum Acknowledgement Form

ADDENDUM ACKNOWLEDGEMENT FORM SOLICITATION NO.:

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 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.

Calyptus Consulting Group, Inc.

Company



Authorized Signature

7/21/2016

Date

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

Qualifications Vendor Work History

1. Detail relevant education and experience with FTA programs:

Calyptus Consulting Group has a core competence in public sector compliance reviews and training. For years, members of the company have participated in transportation industry oversight activities and workshops. We have written numerous articles for industry publications including those that serve the charter bus industry. We have been asked on many occasions to present the perspective of the Procurement System Review process to attendees at FTA Oversight Conferences.

Calyptus has a deep, established relationship with FTA. Since 1996, we have worked closely with FTA as a Procurement System Review (PSR) contractor, a Triennial Review contractor and contractor performing Title VI, Equal Employment Opportunities (EEO) and Disadvantaged Business Enterprise (DBE) compliance reviews (TED Reviews). We are a valuable member of the Oversight Team assisting in the development of criteria for the Triennial and State Management Reviews (SMRs) and the creation of a risk assessment for use by the regions. We have worked with all of the Oversight Teams and key managers at Headquarters and in all of the FTA regions. We have performed special projects for FTA at the Washington Metropolitan Area Transit Authority (WMATA), Greater Cleveland Regional Transit Authority, Greater Bridgeport Transit, and IndyGo in a quick response mode. Calyptus accompanied the FTA Administrator to Capitol Hill to provide support to Congressional inquiries regarding one large FTA grantee.

We have appreciable experience working within FTA Region 3 and completed Triennial Reviews for the following grantees during 2015: Eastern Panhandle Transit Authority, Mountain Line (Monongalia County Urban Mass Transit Authority), Tri-State Transit Authority, and Weirton Transit Corporation. We provided follow-up technical assistance to Weirton Transit to support their development of revised grants management procedures, procurement procedures and oversight monitoring procedures.

We believe that our assessment skills are second to none, because we employ qualified individuals that focus on continuous improvement, teamwork, and effective communication. We give useful recommendations and support materials and are sensitive to grantees' implementation issues. We developed the procurement circular used by Lower Manhattan Regional Office grantees in managing procurements under FTA and Federal Emergency Management Agency grants using the Common Rule and FTA Circular 4220.1F as baselines.

Specifically we have completed the following work for the FTA:

FTA Oversight Office Support – 1996 to Present

- **Proposed Strategy:** We developed a complete strategy for the office, including staffing, metrics, and infrastructure. The aim of the strategy was to provide the Department of Transportation (DOT) Administration with the ongoing goals and approaches of the office on a yearly basis.
- **Organizational Structure:** We benchmarked other Oversight Offices in the Environmental Protection Agency, Department of Defense, and other DOT functions. We proposed a different organizational structure for Headquarters based on the extent of the current oversight programs, grantee and regional needs and level of importance.
- **Metrics:** We developed and proposed a set of metrics to be used by the Oversight Office to measure performance of its program. Timeliness, quality, and improvement were key aspects of the metrics proposed. The number of repeat findings was also a key metric.

- **Performance Dashboards:** We extracted data from OTrak and developed an Access-based report that would be available to FTA staff to monitor and measure performance. Summaries of oversight results were highlighted in a management report and dashboard that would track open deficiencies and report status overall by program and by grantee/region.
- **Developed Risk Assessment:** We developed the scoring methodology for the new risk management system and reviewed every aspect of the oversight program in terms of developing the most important elements for evaluation and weighting of each element.

State Management Reviews

We developed the areas for State Management Reviews in the guidelines for contractors, grantees, and regional staff. We reviewed all oversight areas and provided feedback to the SMR Project Manager and team.

Triennial Reviews

Calyptus was selected as a Triennial Review contractor in 2013 and has performed reviews for over 200 grantees to date. We developed the areas for Triennial Reviews in the guidelines for contractors, grantees and regional staff. We reviewed all oversight areas and provided feedback to the TR Project Manager and team. All members of the proposed project team have been involved in these reviews.

During 2015 we undertook Triennial Reviews in Region 3 including four (4) West Virginia transit systems: Eastern Panhandle Transit Authority, Mountain Line (Monongalia County Urban Mass Transit Authority), Tri-State Transit Authority, and Weirton Transit Corporation.

Enhanced Review Modules (ERMs)

In 2013, FTA implemented a more detailed review of grantee operations known as Enhanced Review Modules (ERMs). Calyptus has conducted over 100 of these enhanced reviews in the following topics:

- Financial Capacity
- Financial Management
- Procurement
- Title VI
- ADA
- DBE
- Maintenance
- Technical Capacity

Technical Assistance

Calyptus provides technical assistance to grantees while on site, ensuring that where deficiencies are found, staff are fully aware of issues and know how to implement corrective actions. We have a library of best practice examples, tools and templates that we share with grantees. In certain cases, FTA contracts Calyptus to provide additional technical assistance, requiring additional visits to the grantee and ongoing collaboration to design and implement new processes and procedures. In 2015 Calyptus provided technical assistance to Weirton Transit following their Triennial Review, including on-site training and development of procedures covering grants management, procurement and oversight monitoring procedures. Our support of other grantees has included the development of DBE goal methodology, DBE program, Title VI program and procurement training.

Procurement System Reviews

We have conducted over 120 reviews since 1996; developed guidance; made a number of changes to automated procedures and reporting; represented PSR contractors by making presentations at Oversight meetings. We have provided leading-edge support to all of our FTA oversight support activities that crossed FTA oversight program areas. We have a library of best practice forms and tools that we share with grantees. We have undertaken PSRs for several State agencies, including the State of Wisconsin and State of Michigan, including reviewing the state oversight of procurements completed by their sub-recipients. Dr. Harris has managed all of these reviews and Mr. Beekman has served as a consultant on them since 2006.

Title VI, EEO, DBE Reviews

FTA contracted Calyptus in 2015 to perform Civil Rights compliance reviews of grantees covering Title VI, Equal Employment Opportunities (EEO) and Disadvantaged Business Enterprise (DBE) areas. These reviews involve in-depth documentation review and a 3-4 day site visit at the transit agency to explore one Civil Rights topic. All members of the Calyptus project team have been involved with the delivery of these reviews.

Financial Management Oversight (FMO) Reviews

We reviewed invoices and payment processes for grantees. We have conducted joint PSR/FMO reviews over the course of our 18 years of support to FTA oversight.

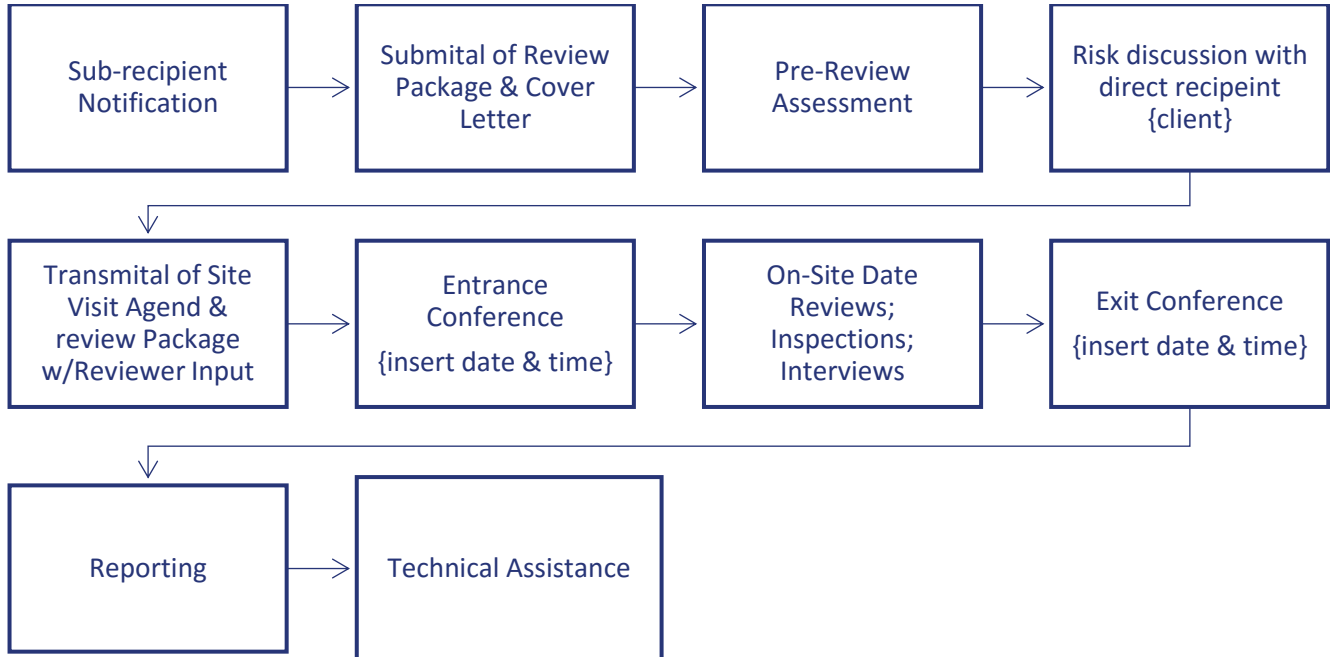
Proposed Organizational Assessment

Calyptus developed a generic way to evaluate organizational capacity reviews. This aids the assessment of grantees in the PSR, TR, and SMR programs.

2. Detail relevant experience with on-site reviews

Calyptus has extensive experience delivering on-site reviews of transit agencies, both directly for the FTA and for public sector clients who have contracted Calyptus to undertake their FTA sub-recipient oversight responsibilities. The process below outlines the steps taken by Calyptus when delivering sub-recipient compliance reviews for direct recipients of FTA funding. This aligns with the approach outlined by West Virginia DOT, Division of Public Transit for this Oversight Monitoring Services project.

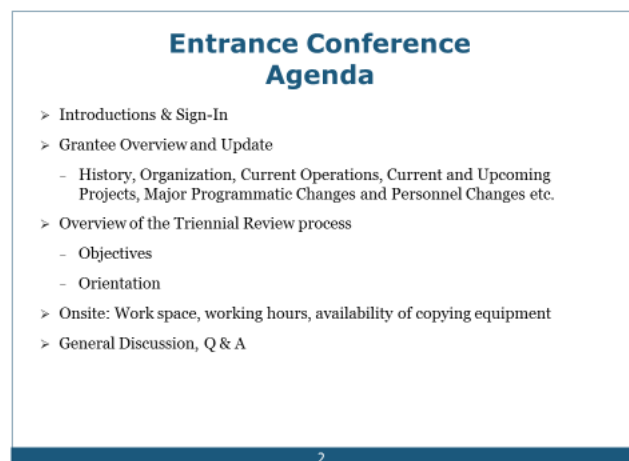
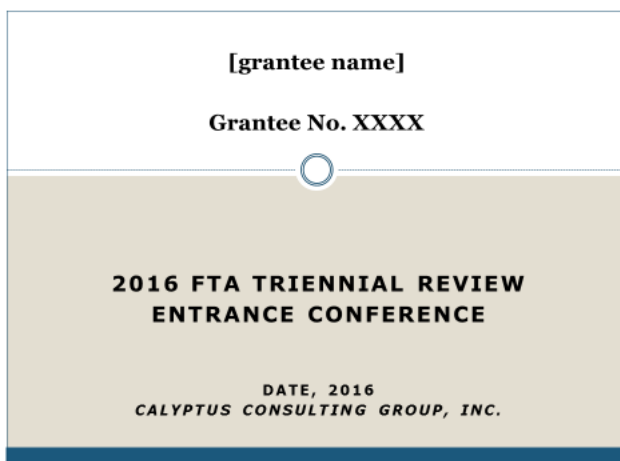
Review Process



During a site visit we first conduct an entrance conference to discuss the intention and flow of the review. A formal presentation is provided (see the template slides included below). We then interview all of the appropriate parties to establish the parameters and issues as necessary. We perform a thorough examination of each review area, with special attention paid to areas of risk identified during the pre-review. We perform inspections of vehicles and facilities, as necessary, and perform a contract file review to ascertain compliance with procurement, DBE, Title VI, ADA and other FTA regulations, as appropriate.

Below is the template Calyptus uses for Triennial Review entrance conferences, indicating the on-site review process and topic areas:

Entrance Conference Template



FTA Oversight Program

- **Comprehensive Reviews**
 - **Triennial Reviews**
- **Program-Specific Reviews**
 - Procurement System Reviews
 - Financial Management Oversight
 - Civil Rights
 - Safety and Security
- **Project-Level Reviews**
 - Project Management Oversight
 - Financial Capacity Assessment

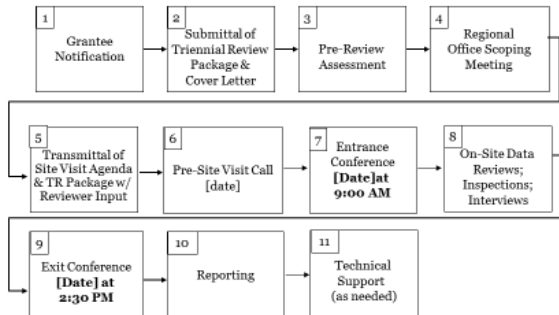
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Statutory and Regulatory Requirements

- Procurement Circular 4220.1F (Revised March 2013)
- Title VI Regulation 4702.1B (Revised October 2012)
- New 9030.1E to cover 5307 funding
- Grants Management Requirements 5010.1D (Revised August 2012)
- Environmental Justice Guidance 4703.1 (Revised August 2012)
- Enhanced Mobility of Seniors and Individuals with Disabilities Program 9070.1G (Revised June 2014)
- New DOT DBE Rule (Effective 2015)
- Super-Circular 2 CFR 200 (Effective 2015)
- New ADA Circular FTA C 4710.1 (November 4, 2015)

4

FTA Triennial Review Process



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Areas Reviewed

1. Financial Management & Capacity
2. Technical Capacity
3. Maintenance
4. Americans with Disabilities Act (ADA) – including ERM
5. Title VI
6. Procurement
7. Disadvantaged Business Enterprise (DBE)
8. Legal
9. Satisfactory Continuing Control
10. Planning/Program of Projects
11. Public Comment on Fare Increases & Major Service Reductions
12. Half Fare
13. Charter Bus
14. School Bus
15. Security
16. Drug-Free Workplace & Drug and Alcohol Program
17. Equal Employment Opportunity

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Site Visit Agenda Day 1: [Date, 2016]

9:00 – 9:30	Introductions and Entrance Conference	ADA ERM
9:30 – 10:30	Americans with Disabilities Act	
10:30 – 11:30	Legal Financial Management and Capacity <i>Review ECHO files</i>	
11:30 – 12:30	Technical Capacity	
12:30 – 1:30	Lunch	
1:30 – 3:00	Planning/Program of Projects Title VI Satisfactory Continuing Control	
3:00 – 5:00	Disadvantaged Business Enterprise Procurement <i>Review of Procurement Files</i>	

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Site Visit Agenda Day 2: [Date, 2016]

9:00 – 10:30	Maintenance <i>Facility Tour/Review of PM Records</i>	ADA ERM
10:30 – 11:30	Public Comment on Fare Increases & Major Service Reductions Half Fare Charter Bus School Bus Security	
11:30 – 1:00	Drug-Free Workplace and Drug and Alcohol Program Equal Employment Opportunity	
1:00 – 2:30	Lunch & Internal Discussions	
2:30 – 3:30	Exit Conference	

8

Source Documents Required for Onsite Review

- > **Financial**
 - > Echo Drawdowns, Transactions, and Underlying Transactions
- > **Procurement**
 - > Sample of Procurement File Documentation
- > **Maintenance**
 - > Selection of Vehicle Maintenance Records
 - > Selection of Facility and Equipment Maintenance Records
- > **Pre-Review Assessment Follow-Up Questions**
- > **Documentation for ADA Enhanced Review Module (ERM)**

8

Next Steps

- > Draft Report to FTA within 5 business days of the exit conference
- > Grantee may submit information relative to the findings:
 - > *Before the end of the site visit*
 - > *Before the issuance of Draft Report to FTA (within 5 business days from exit conference)*
 - > *After receipt of Draft Report from FTA*
 - > *After the issuance of Final Report*
- > FTA Regional Office reviews
- > Draft Report to [Grantee]
- > [Grantee] must submit comments on Draft Report to FTA and the Reviewing Contractor within 10 business days of receipt
- > Final Report to [Grantee] within 45 business days after exit conference

9

In addition to the site visit performed during FTA Triennial, PSR and TED compliance reviews, Calyptus has designed monitoring programs and delivered on-site sub-recipient reviews for grantees. An example project is described below:

Orange County Transit Authority (OCTA)

Calyptus has contracted with OCTA to conducted independent and objective reviews of four OCTA sub-recipients. As OCTA passes through FTA assistance to these local agencies, the objective of this review was to evaluate whether Irvine and ATN were administering FTA funded programs in accordance with applicable federal statutes, regulations, and guidance.

Additionally, Calyptus worked with OCTA staff to develop a sub-recipient monitoring program, including the same requirements as sought by West Virginia Division of Public Transit. These reviews covered compliance with 17 FTA grant requirement areas to evaluate whether sub-recipients are administering FTA-funded programs in accordance with applicable federal statutes, regulations, and guidance. Calyptus developed a program for assessing the level of risk associated with each sub-recipient, which would inform the frequency of desk-based and on-site reviews.

We undertook reviews of four OCTA sub-recipients, performing document reviews and site visits to each. We delivered final reports that included a full discussion of findings, conclusions, and recommendations. For each grant area, Calyptus categorized compliance as not deficient, deficient, or not applicable. If an area was found to be deficient, an explanation and recommendation to cure the deficiency was provided. For each deficiency, we provided best practices to be used for corrective actions. OCTA contracted Calyptus to make repeat visits every 18 months to two sub-recipients, in order to track progress and compliance.

3. Detail relevant experience with state management reviews and triennial reviews

Calyptus is involved with the development of State Management Review guidelines for contractors, grantees, and regional staff. We have participated in joint SMR/TRs with the States of Michigan, Georgia and Wisconsin. We are experts in the requirements for the FTA 5303, 5307, 5310, 5311, and 5339 programs as well as CMAQ requirements. As part of the TED compliance reviews, Calyptus has specifically investigated State oversight of Civil Rights compliance within 5311, 5310 and 5309 grant funding. This involved interviews with sub-recipients, review of the requirements listed within the State Management Plans, and review of sub-recipient monitoring documentation

kept by the State. Calyptus has Procurement System Reviews of State transit departments, including Michigan and Wisconsin. This involved review of sub-recipient procurement files, and State oversight documentation.

Calyptus Consulting was hired to conduct Triennial Reviews of transit grantees on behalf of the Federal Transit Administration (FTA) on the basis of Calyptus' extensive experience in FTA oversight monitoring. The Triennial Review is FTA's primary procedure to ensure grantee compliance with all applicable Federal grant requirements. Calyptus was an integral part of the recent redesign of the Triennial Review program to provide a streamlined, targeted approach to assessing compliance.

During the course of Triennial Reviews, Calyptus reviews the following areas for each grantee assigned (areas changed in 2014 reviews):

1. Legal
2. Financial
3. Technical
4. Satisfactory Continuing Control
5. Maintenance
6. Procurement
7. Disadvantaged Business Enterprise (DBE)
8. Planning/Program of Projects
9. Title VI
10. Public Comment Process for Fare and Service Changes
11. Half Fare
12. Americans with Disabilities Act (ADA)
13. Charter Bus
14. School Bus
15. Safety and Security
16. Drug-Free Workplace and Drug and Alcohol Program
17. Equal Employment Opportunity (EEO)

The review process is a detailed series of steps coordinated with FTA Headquarters, FTA Regional Offices and the grantees. The process begins with an annual kick-off meeting with Headquarters before Calyptus prepares a pre-review assessment package for each grantee to be reviewed.

Calyptus then performs an in-depth review of the grantee's written responses to the package and supporting documentation. This evaluation, combined with Calyptus' independent research on the grantee, forms a basis for the preliminary assessment of the grantee's compliance with grant requirements. An important part of the pre-review assessment phase is the identification of activities and events in the grantee's foreseeable future which may pose a potential risk to the grantee if not mitigated in advance.

Based on the pre-review findings, Calyptus develops recommendations for enhanced review modules, which provide for a deeper review of potential problem areas. These enhanced review modules are conducted in combination with the baseline review at the time of the site visit. Calyptus then holds a scoping meeting with the Regional Offices to determine which enhanced review modules will be conducted for each grantee.

Prior to going on-site, Calyptus performs additional research and analysis of grantee submissions and submits comments to the grantees in preparation for the on-site review. Calyptus then performs an in-depth on-site review over the course of two (2) days. This review utilizes a comprehensive approach that includes staff interviews, file review, facility and asset inspection and review of financial and accounting systems.

Based on the findings from the on-site review, Calyptus creates and presents a summary of preliminary findings that is presented at the closing conference. Once the Regional Office is satisfied with the findings, a report is developed documenting the findings and assigning corrective actions to the grantee for each problem area identified.

Calyptus provides ongoing technical assistance to the grantee in closing out findings. We also monitor grantees' adherence with corrective actions after the findings have been closed and assist grantees who are experiencing difficulties with program implementation issues, as required. Calyptus has conducted Triennial Reviews of the following grantees since beginning our oversight work in this area in 2013. Please note that our firm was assigned to Region 3 reviews in 2015, and we developed significant experience within this region as a result. The West Virginia transit systems reviewed in 2015 are highlighted.

Triennial Reviews performed by Calyptus Consulting Group (2013-16)

2013 – Regions 4, 7, 9, 10	2014 – Region 4
<ul style="list-style-type: none"> • City of Lewiston • City of Pocatello • Targhee Regional Public Transportation Authority • Metropolitan Transit Authority of Black Hawk County • University of Northern Iowa • Topeka Metropolitan Transit Authority • City of Lincoln • City of Sioux City • Golden Empire Transit District Bakersfield CA • Kings County Area Public Transit Agency • San Joaquin Regional Transit District • Southern California Regional Rail Authority • Escambia County Board of Commissioners • City of Tallahassee - Taltran • City of Greensboro • Piedmont Authority For Regional Transportation (PART) • City of Montgomery - Montgomery Area Transit System • City of Gadsden • City of Jacksonville • Franklin Transit Authority/City of Franklin • Jackson Transit Authority • Memphis Area Transit Authority • Martin County Board Of County Commissioners • Indian River County Board of County Commissioners • Goldsboro/Wayne Transportation Authority • City of High Point • City of Greenville • City of Winston-Salem • City of Rock Hill 	<ul style="list-style-type: none"> • City of Terre Haute • RTA Chicago • Washington County Transit • City of Anderson • City of Kokomo • Transit Authority of Northern Kentucky (TANK) • Clermont County Transit (CTC) • City of Sheboygan • City of Chippewa Falls • North Indiana Commuter Transport • Northwest Indiana Regional Planning Commission • Michigan City Transit • Bay Metro Transit Authority • Michigan Area Council of Governments (Michiana) • City of Waukesha Metro • City of Hartford • Indianapolis Public Transit (IndyGo) • River Valley Metro • County of Lorrain • City of Dekalb • Miami County Transit • Laketrans • City of Springfield • Portage Area Regional Transportation Authority • Steel Valley RTA • Gary Public Transportation Corp • Allen County RTA • Twin Cities Area Transportation Authority • Butler County RTA

2013 continued:

- Birmingham-Jefferson County Transit Authority
- Tuscaloosa County Parking And Transit Authority
- City of Asheville
- Western Piedmont Regional Transit Authority
- Metropolitan Transit Authority Nashville
- Nashville Regional Transportation Authority

2014 continued:

- City of Middletown
- City of Newark
- Danville Mass Transit
- Licking County Transit
- Kalamazoo Metro Transit
- City of Niles
- City of Beloit
- Richland County Transit Board
- Janesville Transit System

2015 – Regions 1, 3, 9

- Golden Gate Bridge, Highway, and Transportation District
- City of Santa Rosa
- Eastern Contra Costa Transit Authority
- Livermore-Amador Valley Transit Authority
- Central Contra Costa Transit Authority
- Western Contra Costa Transit Authority
- City of Visalia
- City of Madera
- Placer County, Department of Public Works
- Yuba-Sutter Transit Authority
- Sacramento Regional Transit District
- Yolo County Transportation District
- Redding Area Bus Authority
- San Diego Association of Governments (SANDAG)
- City of Fresno
- County of Lebanon Transit Authority
- Cumberland-Dauphin Transit Authority
- City of Winchester
- City of Charlottesville
- City of Harrisonburg
- Beaver County Transit Authority (BCTA)
- Southwestern Pennsylvania Commission
- Hazelton Public Transit
- Lehigh & Northampton Transportation Authority
- Erie Metropolitan Transit Authority
- Cambria County Transit Authority
- River Valley Transit (Formally Williamsport Bureau of Transportation)
- Greater Lynchburg Transit Authority
- Eastern Panhandle Transit Authority
- Tri-State Transit Authority
- Monongalia County Urban MTA (Mountain Line)
- City of Weirton (Weirton Transit Corporation)
- Brockton Area Transit Authority (BAT)
- Worcester Regional Transit Authority
- Cape Cod Regional Transit Authority
- Montachusett Regional Transit Authority

2016 – Region 1, 9, 10 (ongoing)

- City of Stamford
- Greater Bridgeport Transit Authority
- Greater New Haven Transit District
- Norwalk Transit District
- Valley Council of Governments
- Lowell Regional Transit Authority
- Merrimack Valley Regional Transit Authority
- Southeastern Regional Transit Authority
- Biddeford-Saco-Old Orchard Beach
- City of Bangor
- Greater Portland Transit District
- City of Nashua
- Manchester Transit Authority
- Butte County
- City of Elk Grove
- City of Fairfield
- City of Gardena
- City of Montebello
- City of Redondo Beach
- City of Roseville
- Gold Coast Transit
- Imperial County Transportation Commission
- Long Beach Public Transportation Company
- Monterey-Salinas Transit
- Municipal Transportation Agency
- Napa County Transportation Planning Agency
- Omnitrans
- Peninsula Corridor Joint Powers Board
- Riverside Transit Authority
- San Mateo County Transit District
- Santa Cruz Metro Transit District
- Sunline Transit Authority
- Ventura County Transportation Commission
- Alaska Railroad Corporation
- Fairbanks North Star Borough
- Municipality of Anchorage
- Josephine County (Grants Pass)
- Ben Franklin Transit

2015 continued:

- Pioneer Valley Transit Authority
- Northern New England Passenger Rail Authority
- Greater Attleboro-Taunton
- Chittenden County Transit Authority

2016 continued:

- Central Puget Sound Regional Transit Authority (Sound Transit)
- Puget Sound Regional Council
- City of Yakima

Procurement System Reviews performed by Calyptus Consulting Group (2008-14)

2008

- The Chicago Transit Authority (CTA)
- The Georgia Regional Transportation AUTHORITY (GRTA)
- The Central Florida Regional Transportation Authority (LYNX)
- The Metropolitan Atlanta Rapid Transit Authority (MARTA)
- The Massachusetts Bay Transportation Authority (MBTA)
- The Memphis Area Transit Authority (MATA)
- The Rhode Island Department of Transportation (RIDOT)

2009

- The Clermont Transportation Connection (CTC)
- The Central Ohio Transit Authority (COTA)

2010

- Follow-Up For The Chicago Transit Authority (CTA)
- The Flint Mass Transportation Authority (MTA)
- Follow-Up For The Gary Public Transportation Corporation (GPTC)
- The Metropolitan Transit Authority Of Harris County, Houston, Texas (METRO)
- The Los Angeles County Metropolitan Transportation Authority (LACMTA)
- The Michigan Department of Transportation (MDOT)
- Pace Suburban Bus, Chicago (PACE)

2011

- Review of the Construction Management at Risk (CMAR) Services RFP for the Town of Avon, CO
- The Chicago Transit Authority (CTA) ARRA Procurement System Review
- The Flint Mass Transportation Authority (MTA)
- The Foothill Transit ARRA Procurement System Review, The County of Los Angeles and 22 Member Cities in The San Gabriel and Pomona Valleys
- The Greater Cleveland Regional Transit Authority (GCRTA)
- The Lower Rio Grande Valley Development Council (LRGVDC), McAllen, TX
- Follow-Up PRS for the Massachusetts Bay Transportation Authority (MBTA)

2011 (continued)

- Follow-Up Procurement System Review for the Maryland Transit Administration (MTA)
- Follow-Up Procurement System Review for the Michigan Department of Transportation (MDOT)
- Northeast Illinois Regional Commuter Railroad Corporation (METRA), Chicago, IL
- The Metropolitan Washington Airports Authority (MWAA)
- The Southeastern Pennsylvania Transportation Authority (SEPTA)

2012

- The Bay County, FL (TPO)
- The Fresno Area Express (FAX)
- The Gary Public Transportation Corporation (GPTC)
- Lee County Transit (LEETRAN)
- The Martin County Board of County Commissioners (Martin County BOCC)
- The Massachusetts Bay Transportation Authority (MBTA)
- Northeast Illinois Regional Commuter Railroad Corporation (METRA), Chicago, IL
- Follow-Up Procurement System Review for Pace Suburban Bus, Chicago (PACE)
- The Puerto Rico Ports Authority (PRPA)
- Riverside County Transportation Commission (RCTC)
- The San Joaquin Regional Rail Commission (SJRRCC)
- The Santa Clara Valley Transportation Authority (VTA)
- The Transbay Joint Powers Authority (TJPA)
- The Wisconsin Department of Transportation (WisDOT)

2013

- The Capital Area Transportation Authority (CATA)
- The Los Angeles County Metropolitan Transportation Authority (LACMTA)
- Omnitrans, OmniLink, and OmniGo, San Bernardino Valley CA (OMNITRANS)
- The San Diego Association of Governments (SANDAG)
- Illinois Department of Transportation (iDOT)

2014

- The Wisconsin Department of Transportation (WisDOT)

Civil Rights Compliance Reviews performed by Calyptus Consulting Group (2015-16)

- Mendocino Transit Authority (DBE Review)
- North Dakota DOT (Title VI Review)
- Omaha Metro Area Transit (DBE Review)

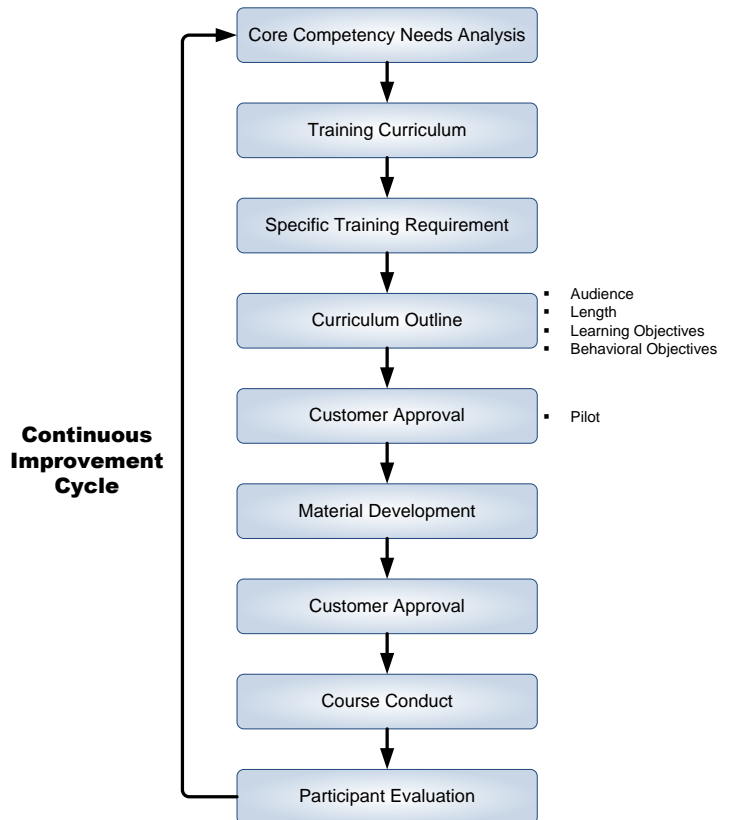
4. Detail relevant experience with provision of training related to the subjects in this RFQ

Training Approach

Calyptus Consulting Group (CCG) designs, develops, and conducts training for organizations across a wide spectrum of industries and government. Our training programs have involved needs assessments, course curriculum design, material development, course instruction, and post-program support. We have developed over 120 training programs available to be taught on-site, and 20 e-Learning programs.

CCG follows a consistent method when designing, developing, conducting and evaluating training. We begin by indicating the outcomes desired by the training based on skills or competency assessments. We conduct a pilot program (if requested) and make any necessary changes based on feedback. We then conduct the program in a “full-release” mode and ensure that data is collected and analyzed after every training offering to ensure that the materials and instruction are the best possible. We work with the customer to validate that the intended results were achieved.

The flow of the training process is outlined in this figure:

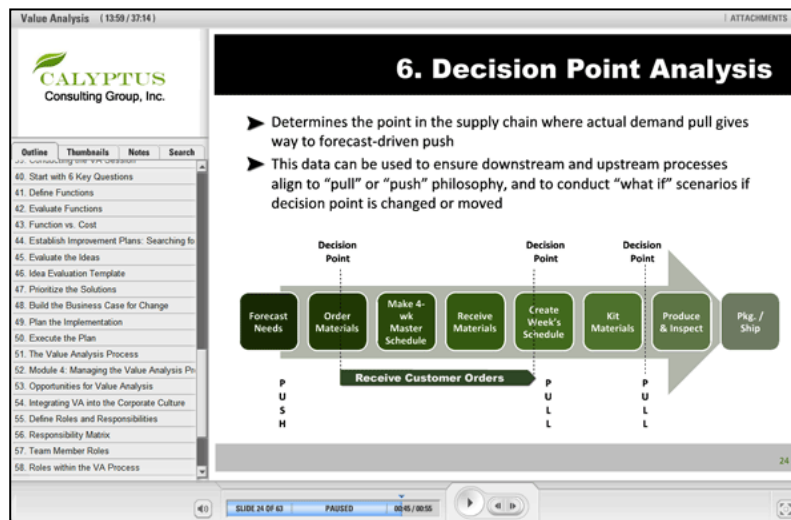


Creative multimodal approaches have been used to ensure active involvement by all participants. These include:

- Participant presentations
- Team/group exercises
- Self-assessments
- Case Studies
- Simulations
- Role playing
- Video/Multimedia case study review

In addition, e-Learning modules of completed training can be made available to provide training to new staff members or to those who were not able to attend the on-site sessions. Calyptus is actually converting many programs to this format in response to customer demand. We can create an eLearning version of the proposed training to be used for annual refresher courses for West Virginia sub-recipients. Our flash-automated e-Learning platform enables the following functionality:

- Voice narration
- Training Notes
- Interactions
- Videos
- Storytelling
- Animation
- Testing and Quizzes



FTA Training

Calyptus has significant experience conducting Procurement System Review and Triennial Review workshops for FTA grantees and sub-recipients. These trainings are typically 1 ½ days in length and cover all the FTA regulations which flow down to FTA grant sub-recipients. Since 2018 Calyptus has performed over 35 Procurement System Review training workshops and 10 Triennial Review Workshops.

Below are some quotes from participants at FTA training delivered by Calyptus:





"George is very knowledgeable and presents really well – I would attend more trainings if I knew he was teaching"
 "Use of examples was excellent"
 "Great class!"

Dr. George Harris was instrumental in encouraging the development of on-line webinar modules for FTA grantees, an approach that has been implemented for the first time this year. These webinars allow grantees who are unable to attend the Triennial Review workshop training to keep up-to-date with FTA requirements. Dr. George Harris delivered the FY16 FTA webinar on Procurement which can be accessed here: (<https://connectdotcpub1.connectsolutions.com/content/connect/c1/7/en/events/catalog.html?folder-id=1125732698>).


















Technical Assistance

Calyptus has developed a library of over 200 best practice documents which we share with grantees at the Triennial Review Workshop training and during on-site reviews. These are used by grantees to aid the development of corrective actions, and for generally improving the performance of their service. The following screenshots provide examples of some relevant templates and tools included in our library.







Technical Capacity

-  12. Example Grant Closeout Procedure
-  16. Grant Reporting and Accounting Procedures
-  20. Subrecipient+Contractor Oversight Procedures
-  24. Risk Management Procedure
-  31. GET Grant Administration Procedures- Final 030714
-  5001712 AGMT - San Marcos (12) (Repaired)
-  Annual Grants Management Calendar- example
-  CMS_Deliverable_Review_Process
-  Construction PM Monitoring Plan EX
-  Contractor Oversight procedures
-  Example of ATI report
-  F Subrecipient Compliance Checklist
-  FTA Subrecipient Monitoring Procedure
-  June_2015_Performance_Metrics
-  MAP21_essay_style_summary_v5_MASTER
-  Sample PMP
-  Subrecipient Agreement - San Marcos
-  Title_VI_Equity_Analysis_for_MOA_Siting










Financial Management and Capacity

-  2. Grant Management Procedure
-  2a. FFR Instructions
-  3. ECHO Draw Instructions
-  4. 3-5 yr financial plan
-  4a. Sample short term financial plan
-  12. Example Grant Closeout Procedure
-  16. Grant Reporting and Accounting Procedures
-  30. GET Financial Procedures- 031214
-  6041_SAFETEA-LU_ASMB_C-10_tag
-  ALI Tracking Sheet TEMPLATE 9.30.15
-  Cost Principles Comparison Chart
-  Echo Drawdown Calculation
-  FTA Guidance for Financial Plans
-  GET Grant Administration Procedures- Final 030714
-  P Allowable Costs and Cost Allocation Plan Review v1 rv112614-gh
-  Sample ALI Tracking Sheet
-  TIGER Grants GAO Report






















Maintenance





















-  1. Capital Asset Mgmt
-  10. Facility Maintenance Plan-example
-  18. FLEET & FACILITIES MANAGEMENT PLAN - 2013-2014
-  Facility Maintenance Plan
-  FTA_Report_No_0043 Rail Maitnenance Benchmarking
-  XYZ Maintenance Guidelines July 2007

Satisfactory Continuing Control

-  Transit Asset Management _ FTA_files
-  _Contingency Fleet Plan
-  1. Capital Asset Mgmt
-  18. FLEET & FACILITIES MANAGEMENT PLAN - 2013-2014
-  37a. Inventory Procedures
-  Asset Management Guide for Small Providers
-  Asset Management Guide
-  NC School Bus Safety Inventory
-  Transit Asset Management _ FTA

Procurement

 [56 Elements] PSR Report Template
 1 - Conflict of Interest Disclosure Form
 7 - Independent Cost Estimate Template - Copy
 7 - Independent Cost Estimate Template
 18 - Responsibility Determination Form
 21 - Fair and Reasonable Price Determination
 24 - SOW Template
 25 - Single Bid - Copy
 25 - Single Bid Analysis Template - Copy
 25 - Single Bid Analysis Template
 25 - Single Bid
 32 - Bid Opening Form
 33 - Responsiveness Checklist
 36 - Sample Proposal Evaluation Form
 38 - Sole Source Justification
 39 - Cost Analysis Template
 41 - Price Analysis Template
 42 - Procurement Summary Memorandum
 43 - Option Analysis Form
 44 - Change Order Review Checklist
 47 - Method of Procurement Decision Matrix - REV2012 (smaller)

 Contract File Indices
 Procurement Checklists
 PSR Appendices
 8. Price Analysis Form
 8a. Price Analysis Worksheet
 9. Piggybacking Checklist
 11. Santa Fe Procurement Manual
 11a. PARTA Procurement Procedure Manual 07182012-FINAL
 14. Contract Administrator Job Description
 19. Language to Include on Purchase Orders for FTA Clauses
 2013-03-08 TCC Decision Letter on Joint Procurements and Piggybacking
 Change Order Guidelines
 CM_GC procurement method best practices
 Contract File Indices
 Design Build procedures
 DRAFT_Pre-Award_and_Post-Delivery_Handbook_15-05-01
 FTA Federal Clauses and Certifications-NYSDOT ISSUED-Dec-1
 FTA_Circular_4220.1F_(List_of_Revisions)
 GET Procurement Manual-Final 030714
 NTI Contract Compliance Course

Calyptus has delivered a wide range of FTA technical assistance projects, supporting the design and implementation of new processes and procedures to ensure compliance with FTA funded requirements. These projects involve working directly with the grantee, often for some months after a Triennial Review to support their corrective action process. Many of these technical assistance projects include training grantee staff on FTA requirements through one-to-one, workshop or seminar formats. Some of the topics that we have delivered technical assistance on are included below:

- DBE payment monitoring
- DBE goal setting
- DBE program development
- Title VI plan development
- Grants management procedures
- Financial procedures
- Sub-recipient/ contractor monitoring
- Procurement procedures
- ADA complementary paratransit provisions
- Developing comprehensive FTA procedure manuals

In addition to our work directly with FTA, Calyptus has provided training on FTA requirements to a number of public sector requirements as part of wider consulting, process improvement projects. Two examples are provided below:

Georgia Department of Transportation

Calyptus created a procedure manual for GDOT sub-recipients that summarized information relative to the Section 5311 Non-Urbanized Area Formula Program including grant application requirements, forms, exhibits and certifications & assurances, program management requirements and forms, and other resources to enable applicants to request Federal Operating Assistance and/or Capital Assistance under the program. The Section 5311 program provides federal operating or capital funding to support rural and small urban (under 50,000 population)

transportation projects that serve the general public. Georgia DOT contracted Calyptus to help to develop their 5311 sub-recipient oversight program in response to an FMO finding.

The procedure manual created for GDOT described the requirements for sub-grant management so that grants and projects were accomplished in an efficient and complete manner. The full cycle of pre-award, award, post-award, and award closeout requirements of the FTA grants management process was covered.

The purpose of this procedure manual was as follows:

- To provide detailed guidelines to GDOT staff and sub-recipients about the Section 5311 Non-Urbanized Areas Program.
- To assist GDOT staff and sub-recipients in completing detailed quality applications and maximizing the probability of funding.
- To describe specific sub-recipient roles and responsibilities throughout the grant administration process and maximize the success of grant-funded projects.
- To provide staff with guidance on how to manage 5311 grants, particularly sub-recipient oversight.
- As part of this project, we trained all 64 sub-recipients on the FTA requirements for 5311 and how to ensure compliant systems.

The project involved eight tasks:

Task 1 Review the requirements of key Stakeholders including FTA, sub-recipients, the Georgia Intermodal Program Transit Office, and other GDOT requirements.

Task 2 Review current procedures, apply best practices, and develop a procedure outline.

Task 3 Write and deliver the Procedure Manual.

Task 4 Develop a list of resources needed for implementation.

Task 5 Create an oversight/monitoring module.

Task 6 Launch a communications plan.

Task 7 Develop training modules.

Task 8 Roll-out training and procedures.

The consulting services provided by Calyptus led to a more streamlined, accountable process that is clearly articulated in a comprehensive procedures manual. We helped GDOT execute, coordinate and leverage Federal grants to ensure the best quality of service to all customers in Georgia, including minority and rural riders.

Qualifications: Vendor Management and Technical Ability

1. Detail organization's structure and describe your experience with FTA Section 5311, 5310 and 5307/5339 grant programs/regulations:

Overview

Calyptus Consulting Group, Inc. was incorporated in June 1992 as an independent company focusing on improving transit management performance for clients. We are a small business operating from offices located in Cambridge, Massachusetts. Dr. George Harris is the company's president and principal. Since we are small, we can react quickly and responsively without the lag time experienced by large companies. We are a Subchapter C Corporation, registered in the Commonwealth of Massachusetts. In addition to our deep experience performing FTA compliance reviews, designing sub-recipient monitoring programs and providing technical assistance to grantees, we are widely respected in the supply chain and general management areas; and recognized by ISM (formerly National Association of Purchasing Management), NCMA (National Contract Management Association) and American Management Association (AMA), as a firm having unique acquisition and facilitation expertise.

Calyptus specializes in providing facilitation, consulting, and training solutions to clients to, ensure compliance with Federal regulations, improve quality, optimize processes and improve organizational performance. We assist Fortune 500 companies and government clients developing custom-made strategies that focus on and improve client capabilities, performance and goals. Our focus is to help our clients with the ever-changing dynamics of managing change. We review existing practice, identify opportunities and train client staff and assist in implementation of continuous improvement initiatives.

Our staff serves as temporary resources performing management, quality and systems functions. We perform organizational assessments, evaluating staffing, assigned roles and responsibilities, consolidation of tasks, and process improvement possibilities. Calyptus Consulting Group's consulting services encompass all best-in-class practices and approaches used in transit oversight.

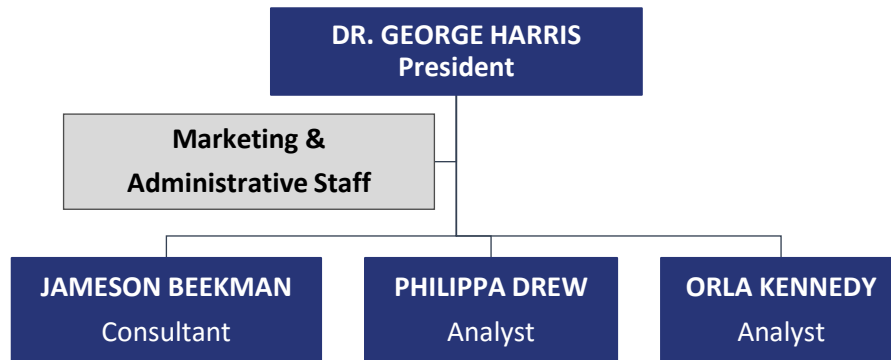
Corporate Mission and Philosophies

Calyptus has performed consulting and training services for public sector clients since 1992. Our mission is and has been to assist customers, improve their processes and add value to intended customers. Our underlining philosophies are:

1. Thoroughly engage with customers.
2. Be able to support, with data, all findings and recommendations.
3. Be the Subject Matter expert.
4. Bring together best practices for improvement.
5. Leave our customers with tools and processes to carry out after project completion.

Organizational Chart

The key personnel proposed for this effort include Dr. George Harris, Jameson Beekman, Philippa Drew and Orla Kennedy. All of these individuals have conducted triennial reviews, FTA training and technical assistance, Procurement and TED reviews for the FTA. In addition the team have worked with FTA grantees directly on consulting projects covering organizational assessments, compliance reviews, staff skill evaluations, policy and procedure reviews. The organizational chart for our firm is provided below.



Dr. Harris is the president of Calyptus and is the proposed project manager. He has managed all of the projects noted in this proposal. He has been a consultant since 1987 and held previous purchasing positions in the electronics industry. He is a C.P.M. and possesses a DBA in management.

Skills and Experience

Since 1996 Calyptus has worked as an FTA contractor designing and delivering FTA compliance reviews for recipients of FTA Section 5311, 5310 and 5307/5339 funding. As outlined in the Qualifications: Vendor Work History Section of this CRFQ response, we have in-depth experience both reviewing agency compliance with FTA regulations, and supporting grantees through training and technical assistance to improve practice. We are involved ongoing with the development of current SMR and Triennial Review contractor and grantee guidelines in response to changes in requirements and new regulations. We have developed a number of key processes and procedures for grantees, including DBE goal methodologies, DBE programs, Title VI plans, procurement procedures, grants management procedures and sub-recipient monitoring programs for direct recipients of FTA funding.

Calyptus provides a unique set of skills and experience, as well as capability that makes our firm superior over others in the market:

- All staff have masters and hold certificates in Purchasing, Quality, and Project Management
- Experience as an FTA triennial reviewer since 2012 (have conducted 200 reviews), including procurement, DBE and Technical Assistance enhanced review modules
- Experience as an FTA procurement system reviewer since 1996 (have conducted 125 reviews)
- Experience as an FTA TED reviewer (Title VI, Equal Employment Opportunities and Disadvantaged Business Enterprise) conducting focused civil rights compliance reviews since 2015
- Experience delivering technical assistance to FTA grantees to improve performance and regulatory compliance
- Experience developing sub-recipient oversight programs and undertaking reviews to monitor compliance with FTA requirements passed through to local capital and operating projects

- Being a small business as defined by the SBE; having a potential DBE in CA that is used for Triennial Review work; also willing to review DBE participation at the time of task order awards
- Over 25 years’ experience providing bespoke and off-the-shelf training solutions, including seminars
- Calyptus has examples of over 100 policies and procedures and tools to use to assist in our work.
- Plethora of current and recent projects from identical nature for transit providers, Federal Government, State and Local Government, County Government, and private industry.

For more information on the company, please visit our website at www.calyptusgroup.com.

Section 5311 Compliance Review Workbook - Example

In preparation for this CRFQ Calyptus undertook an initial review of the West Virginia Section 5311 Compliance Review Workbook, in conjunction with FTA Circular 9040.1G requirements. Our observations on each section are included below:

Overall Observations	
<p>The workbook follows the template of the FTA GIR package and then adds areas such as control environment, project management (outside of technical capacity), personnel, IT, planning and marketing, and Intercity Bus.</p> <p>a) The site visit results should include findings and corrective actions as well as SWOT analysis</p> <p>b) The findings should address whether there have been repeat findings</p> <p>c) Consideration should be given for high risk sub-recipients and the level of detail to be provided and analyzed on site</p> <p>d) Consideration should be given to whether questions lead to findings, recommendations or are opportunities to gather information about the sub-recipient for the Division of Public Transit (DPT). Those questions that lead to findings, and require corrective actions could be differentiated.</p> <p>e) Convert all question to qualitative rather than yes-no answers</p> <p>f) A fair number of questions will be validated by the on-site reviewer</p>	
Specific comments for each section:	
1) Legal and Governance:	<ul style="list-style-type: none"> • Consider relevance of Q5 • Ask whether Board approves purchases, budgets, grant application, Civil Rights and Drug and Alcohol matters • Consider relevance of Q17
2) Control Environment	<ul style="list-style-type: none"> • Add that Q2 is a requirement of FTA • Add a question on Single Audit and other audit responsiveness
3) Project Management/Grant Administration	<ul style="list-style-type: none"> • Extend Q2 to ask how the sub-recipient ensures that they have the appropriate number of staff and procedures to manage the FTA program
4) Financial Management	<ul style="list-style-type: none"> • Answer to Q1 must be evaluated based on cash flow standards • Extend Q5 to use of procurement standards • Q9 is now required by FTA as well • Extend Q12 to include monitoring of sub-grant line items • Q19 threshold is now \$750,000 • Extend Q22 to include how the agencies revise their CAP annually and how this affects requests for reimbursement and budget tracking • Extend Q31 to include how operating deficits are being funded

	<ul style="list-style-type: none"> • Add Q in Credit Card section on whether training is required before a card is assigned • Review Q86 in light of 2 CFR 200 requirements for retention • Extend Q88 to include flood insurance if sub-recipient is in 100-year flood zone • Extend Q89 on how damages to vehicles and other FTA funded asset are insured
5) Satisfactory Continuing Control	<ul style="list-style-type: none"> • Extend Q2 to ask whether there are leases involved and how market values were determined • Some questions like Q5 must be more direct • Extend Q11 to include vehicle out of service or scheduled for service • FTA has the same 20% reasonable estimate of spares, but only applies to large agencies with 50 vehicles in peak service • Q14 must be accompanied by detailed direction to the reviewer • Extend Q15 to include sales of vehicles or assets over \$5,000 and the credit back to the State/FTA • Add a question on whether a contingency fleet exists
6) Procurement	<ul style="list-style-type: none"> • Add a checklist for use to assist in answering Q2 • Q18 must be revised to consider results of evaluations under the RFP method • Include Buy America requirements and checklists • Procurement File Review Sheet: <ul style="list-style-type: none"> ○ A significant number of items are currently not included but are required by FTA depending on the method of procurement (micro, small purchase, IFB, RFP, sole source, single source, A&E, rolling stock)
7) Lobbying	<ul style="list-style-type: none"> • Add requirements to contractors
8) DBE	<ul style="list-style-type: none"> • Include a question on goals. Clarify if sub-recipient has accepted DPT's DBE goals. • Include a question on DBE program and designated DBELO. Clarify if sub-recipient has accepted DPT's DBE program, or do they have their own. • Extend Q1 to include whether reports included all required data on procurements and payments • Review Q3 in light of sub-recipient's/DPT's DBE program • Address how the agency communicated their plan to the community • Address how sub-recipient tracks DBE activity in contracts and enforces prompt payment, retainage and termination clauses where necessary.
9) Personnel	<ul style="list-style-type: none"> • No comments
10) EEO	<ul style="list-style-type: none"> • Extend Q1 to include asking the identity of the EEO Officer • Add question about utilization analysis • Add question about monitoring and reporting • Add question on EAP program • This section has to tie to the new FTA EEO Circular

11) Information Technology	<ul style="list-style-type: none"> • IT questions should be targeted to enterprise-wide, procurement, finance, capital assets, maintenance, scheduling • Add a question on backup of local servers, and email system
12) Operations and Service Provision	<ul style="list-style-type: none"> • Maintenance <ul style="list-style-type: none"> ○ Introduction should include the need for facility maintenance plan (in addition to equipment) if there are FTA funded facilities ○ Extend Q2 to ask if the plan has objectives or not, and state the thresholds for PMs ○ For Q8, ask if the checklists included in the maintenance plan were used ○ For Q21 ask whether objectives were set in the plan ○ For Q29, add the 80% requirement for PMs • Service Provision. This section lacks many required details, including those areas noted below <ul style="list-style-type: none"> ○ More detailed information needed for Q5 ○ Q26 and Q27, applies to complimentary paratransit only ○ 5311 Performance Indicators should be further benchmarked
13) Safety and Security	<ul style="list-style-type: none"> • This section will have to tie to the new FTA Safety circular
14) ADA	<ul style="list-style-type: none"> • Extend to how the documents how complaints are resolved • Q8 is incorrect • Q39 needs clarification to provide service to the first door is requested • The evaluation of Q37 answers must be provided • Integrate the guidance from the new ADA Circular 4710.1 • Q37 is a question that the reviewer should answer
15) Charter	<ul style="list-style-type: none"> • Charter Bus Exceptions table is best practice
16) School Bus	<ul style="list-style-type: none"> • No Comments
17) Intercity Bus (5311.1f)	<ul style="list-style-type: none"> • Include ADA accessibility and questions • Include fare structure • Include maintenance requirements
18) Planning and Marketing	<ul style="list-style-type: none"> • Service Eligibility <ul style="list-style-type: none"> ○ Include questions on marketing communications to Title VI and ADA passengers • Marketing <ul style="list-style-type: none"> ○ Include questions on marketing communications to Title VI and ADA passengers
19) Title VI	<ul style="list-style-type: none"> • Address need for Title VI Plan • Address LEP and LAP requirements • Address training requirements • Address the Safe Harbor provisions • Add “date closed” to Q5 • Address how the agency communicated their plan to the community
20) Planning and Coordination	<ul style="list-style-type: none"> • Include coverage of working with MPO resources and the STIP • Address coordination with 5310 program

21) Public Involvement	<ul style="list-style-type: none"> • Add question on whether there is an approved public comment procedure • Extend Q1 to include the need to define a major service change • Add a question on how public comments are received and processed/evaluated
22) SWOT	<ul style="list-style-type: none"> • More direction on use of the SWOT analysis is needed

2. Identify the proposed resources to conduct work

Assigned Project Team

Calyptus conducts its consulting studies using a team approach and the assembled team is experienced in conducting and assessing procurement function reviews assuring various analytical and survey roles to accomplish review objectives. The experience of all of the team members is as follows:

Individual	Role w/ Calyptus	Project Role	Years of Relevant Experience	Education / Certifications
Dr. George Harris	President	Project Manager	41	DBA, C.P.M., CPCM
Jameson Beekman	Consultant	Team Lead	10	MBA, C.P.M.
Philippa Drew	Analyst	Project Analyst	6	MA
Oral Kennedy	Analyst	Project Analyst	4	MA

More descriptive data is included on the resumes below. Note: We are not proposing the use of any subcontractors on this project.

Dr. George Harris will be the primary contract manager responsible for overseeing Calyptus’ responsibilities under this contract. Dr. Harris would be the primary point of conduct for all aspects of project management, including project status reporting, quality management, problem resolution, and assessment against project metrics. He will be supported by three key staff members who will together perform the technical assistance, review and monitoring of West Virginia’s FTA Grant Program sub-recipients. Staff resumes are provided below.

Resumes

DR. GEORGE L. HARRIS

Program/Project Manager

Education

Dr. Harris holds a DBA — NOVA Southeastern University; a B.S. (Business Management) from Georgetown University; and an M.B.A. (Government Procurement and Materials Management) from George Washington University.

General Experience

Dr. Harris specializes in the areas of transit management, procurement, materials management, oversight, and transportation grants management. He has established ways for transit organizations to evaluate their grants management effectiveness. He has performed consulting and training services for clients in the food, electronics, metal fabrication, financial services, oil/gas, mining, and capital equipment industries as well as for public sector clients. He is an expert in the management of transportation-related products and services.

Professional Experience

January 1992 to Present, President, Calyptus Consulting Group

Since 1992, Dr. Harris has been involved in a wide variety of consulting and training projects, as represented below:

- Conducted over 200 Triennial Reviews for the FTA.
- Completed full procurement systems reviews for over 120 rapid transit agencies in the United States.
- Participated in the revisions of the questions used in the workbooks for the TR and SMR as well as the PSR.
- Completed a comprehensive set of procedures and guidelines for the Georgia Department of Transportation encompassing all areas of the TR; completed training of all sub-grantees
- Developed a sub-recipient monitoring program for a large transit agency and helped implement the program by reviewing the first 2 sub-recipients.
- Reviewed DBE plans and suggested corrective action for over 200 grantees
- Led DBE and Title VI compliance reviews for the FTA
- Conducted organizational studies for Johnson & Johnson, State of Oregon Department of Human Studies, City of Portland (OR), City of Sacramento (CA), Texas A&M University, LoneStar College, Pepsi, and others.
- Conducted training of over 15,000 unique participants in the areas of procurement, quality, project management, general management and grants management
- Created a web-based self-assessment of lean management and ISO-9000 quality capabilities and performance.
- Developed strategic plan and metrics for the FTA oversight office
- Developed eLearning modules to support the compliance of FTA grantees and the closeout of the findings by the regional office
- Created ten key performance measurements for clients and instituted policy deployment, developed and trained over 300 managers in implementing organizational objectives.
- Created tools to assess and establish total cost savings, functional headcount, key processes, risks, inventory stocking, and supply chain effectiveness.
- Dr. Harris has directed or collaborated in the development and preparation of over 130 on-site training programs.

JAMESON BEEKMAN

Consultant

Education

Mr. Beekman holds an MBA from Bryant University in Smithfield, RI with a concentration in Operations Management and a BA in Psychology from American University in Washington, DC.

General Experience

Mr. Beekman specializes in transit management, compliance, data analysis, process mapping, and training. He has developed comprehensive analysis and strategies across several different industries including retail, human services, insurance, and government. He has performed consulting and training services for both private sector and government clients. He has extensive experience in inventory control and operations.

Representative Consulting and Training Experience

Since 2006, Mr. Beekman has been involved in a wide variety of consulting and training projects, as represented below:

- Managed the strategic process analysis for a large state agency
- Served as the on-site point of contact for a consulting and training engagement in excess of \$200,000
- Evaluated policies and procedures against governing regulations to highlight gaps and developed new policies and procedure documents as needed
- Developed detailed value stream maps of client processes
- Conducted a benchmarking study of non-emergent transportation services including question design, outreach to participants, and developing recommendation from the results
- Conducted organizational assessments of key business functions for multiple state, local, and quasi-government agencies
- Conducted over 100 Triennial Reviews, 70 Procurement System Reviews, and 15 training workshops for FTA. Delivered Civil Rights compliance reviews and provided technical assistance to grantees
- Developed a sub-recipient monitoring program and delivered pilot review site visits.
- Conducted comparable studies for the State of Oregon, City of Rockville, City of Sacramento. Office of Personnel management, Fulton County, Minneapolis Housing Authority and Philadelphia Housing Authority
- Development and presentation of training in key operational areas

Professional Memberships

Mr. Beekman is a Certified Purchasing Manager (C.P.M.)

PHILIPPA DREW

Analyst

Education:

Ms. Drew holds a Master's Degree in Geography Studies from Cambridge University UK.

General Experience:

Ms. Drew possesses over seven (7) years of government consulting, performance improvement and training experience.

Representative Consulting and Training Experience:

Since 2014 Ms. Drew has delivered the following consulting and compliance projects at Calyptus:

- Procurement assessment activities with clients such as the FTA, OCTA, Wisconsin DOT, City of Rockville and the Office of Personnel Management
- Revised processes and procedures to ensure efficient practice and regulatory compliance
- Conducted over 40 FTA Triennial Reviews, delivered training and provided technical assistance to grantees
- Developed a sub-recipient monitoring guide for an FTA transit grantee, including checklists, tools and templates. Delivered staff training on the requirements and undertook sub-recipient monitoring reviews.
- Undertook focused Title VI and DBE Compliance reviews of FTA grantees.
- Best practice and market research. Developing quarterly updates of industry trends.

Prior to Calyptus, Ms. Drew managed and delivered a wide range of service transformation projects within county, municipal and regional authorities, including: 1) Performance reviews of Children's and Adult's Social Care Services, 2) Developing new service operating models to improve practice and control budget pressure, 3) Designing staff reorganization, and 4) implemented new performance management frameworks. She redesigned Social Care processes and procedures, including checklist tools, and delivered training on revised procedures and best practice techniques.

Professional Memberships and Certifications:

Ms. Drew has undertaken certifications in Project Management (Prince 2 Practitioner and Foundation) and in Program Management (Managing Successful Programs Foundation).

ORLA KENNEDY**Analyst****Education**

Ms. Kennedy has a Master's in Health Policy from Johns Hopkins University, and a Bachelor's in Sociology from Providence College.

General Experience:

Ms. Kennedy has more than eight (8) years of experience including consulting, technical assistance, stakeholder engagement, capacity building, policy research and analysis, and quality improvement projects.

Representative Consulting and Training Experience:

At Calyptus, Ms. Kennedy is a member of the triennial review team for the Federal Transit Administration grantee compliance reviews. She has delivered over 20 reviews and provided technical assistance to grantees. She has also analyzed procurement policies and procedures for public agencies, and departmental budgets for purchases of products and services. In addition, she has created successful training curricula to enhance grant management and administration capacity.

References

Calyptus submits the following client references as evidence of our technical ability and experience within the transportation and public sectors. Dr. Harris was the day-to-day operational contact, business manager, and consulting staff member for each project.

FEDERAL TRANSIT ADMINISTRATION (FTA) – TRIENNIAL REVIEWS

Scott Giering Division Chief – Compliance Programs &
& Hope Jensen TR Program Manager
202-366-2524
scott.giering@dot.gov
hope.jensen@dot.gov

Office of Oversight
Federal Transit Administration
1200 New Jersey Avenue SE
Washington, DC 20590

Performance Period: 2013-2018 Award Value: NTE \$30 Million

Narrative: As an FTA contractor Calyptus has performed over 200 Triennial Reviews and Civil Rights TED reviews (Title IV, Equal Employment Opportunities and Disadvantaged Business Enterprise).

Relevance to Solicitation Requirements Calyptus has conducted triennial reviews of transit agencies, including City, County and States throughout the United States. We have direct knowledge of FTA requirements and have a library of best practice examples drawn from transit agencies. We have delivered technical assistance and training on FTA requirements, including a FY16 FTA webinar on Procurement for the Triennial Review process: (<https://connectdotcpub1.connectsolutions.com/content/connect/c1/7/en/events/catalog.html?folder-id=1125732698>).

FEDERAL TRANSIT ADMINISTRATION – PROCUREMENT SYSTEM REVIEW

Jim Muir
Jim.Muir@dot.gov
202-366-2507

Office of Oversight
Federal Transit Administration
1200 New Jersey Avenue SE
Washington, DC 20590

Performance Period: 1996-Present (3 separate contracts) Award Value: \$5,000,000

Narrative: Assessed and recommended purchases of commercial items; evaluated procurements based on common rule, DFAR and FAR; recommended use of electronic database and contract management systems. Calyptus has conducted over one-hundred twenty (120) procurement audits of rapid transit agencies throughout the United States. In the audits, sixty (60) elements of procurement performance were evaluated. Six (6) of these elements were system-wide elements and fifty-four (54) of the elements were related to compliance with policies and procedures. Each of the elements was considered as not-deficient, deficient or not applicable. Calyptus follows up with auditees for all elements audited as deficient. Even when an audit is occurring, we endeavor to have a collegial rapport with auditees in order to ensure that fast and effective preventative action is taken.

In terms of our training work for the FTA, Calyptus Group has on numerous occasions presented the perspective of the Procurement System Review process to attendees at FTA Oversight Conferences. We have managed over 35 PSR Workshops that cover federal acquisition requirements and procurement best practices.

Relevance to Solicitation Requirements: Reviewed State Transit Agencies oversight of sub-recipient procurements, delivered training and provided best practice guidance to FTA grantees.

ORANGE COUNTY TRANSPORTATION AUTHORITY (OCTA)

Sue Zuhlke Director, Motorist Services & Special Projects (714) 560-5574 szuhlke@octa.net	Orange County Transportation Authority 550 S. Main Street P.O. Box 14184 Orange, CA 92863-1584
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Performance Period: 4/5/13 – 10/5/16 Award Value: \$63,000

Narrative: Calyptus developed a comprehensive sub-recipient monitoring program for OCTA based on the Triennial Review (as of 2013). We have conducted independent and objective assessments of two sub-recipients: City of Irvine (Irvine) and Anaheim Transportation Network (ATN) with FTA's grant requirements. As OCTA passes through FTA assistance to these two local agencies, the objective of this review was to evaluate whether Irvine and ATN were administering FTA funded programs in accordance with applicable federal statutes, regulations, and guidance.

In another project for OCTA, we developed a comprehensive sub-recipient monitoring program based on the Triennial Review areas and conducted reviews of 2 sub-recipients to date.

Relevance to Solicitation Requirements: Developed a sub-recipient monitoring program to review sub-recipient compliance with FTA requirements. Undertook site visits and review of sub-recipient documentation. Provided training on requirements for OCTA and sub-recipient staff.

GEORGIA DEPARTMENT OF TRANSPORTATION

Bobby Adams 404-631-1438 badams@dot.ga.gov	One Georgia Center, Plaza Level 600 West Peachtree Street, NW Atlanta, Georgia 30308-2214
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Performance Period: 2009 – 2011 Award Value: \$385,000

Narrative: Calyptus conducted a full-scale review of transit procedures and processes at the Georgia Department of Transportation in order to improve efficacy and communications within the Department. The process and procedures in place at that time had proven ineffective and costly, and Calyptus was asked to review and develop a new set of policies and procedures to streamline Intermodal efforts. It was especially crucial that improvements were made quickly and that progress was documented in order to attract the federal stimulus money currently available.

Relevance to Solicitation Requirements: Calyptus created a procedure manual for GDOT sub-recipients to ensure grant management was efficient and compliant.



Exhibit A: Price Bid Sheet

Our Price Bid Sheet is provided as an electronic attachment (Exhibit A) and is also included here for reference:

Exhibit A					
<u>Oversight Monitoring Services/Conduct Reviews</u>					
Task		Unit of measure	# of Units	Unit Price	Extended Price
4.1.1	5311 Workbook Revision	Cost Per Each Workbook	1	\$2,000.00	\$2,000.00
4.1.2	5310 Workbook Development	Cost Per Each Workbook	1	\$4,000.00	\$4,000.00
4.1.3	5339 Workbook Development	Cost Per Each Review Workbook	1	\$4,000.00	\$4,000.00
4.1.4	Sections 5311 and 5339 Reviews	Each review, Total 18 Reviews	18	\$5,800.00	\$104,400.00
4.1.5	5311 and 5339 Training Workshops	Cost per each workshop	3	\$3,260.00	\$9,780.00
4.1.6	Provide 5311 & 5339 Technical Assistance	Cost per 1 hour, 150 hours Total	150	\$100.00	\$15,000.00
4.2.1	General Change/Reauthorization Review	Cost per 1 hour, 150 hours Total	150	\$100.00	\$15,000.00
4.2.2	Management Plans and Program Guides: Technical Assistance	Cost per 1 hour, 300 hours Total	300	\$100.00	\$30,000.00
4.2.3	New Laws, Regulations, Circulars or Guidance: Technical Assistance	Cost per 1 hour, 150 hours Total	150	\$100.00	\$15,000.00
4.2.4	FTA State Management Review: Assist in preparing, responding and resolving findings	Cost per 1 hour, 300 hours Total	300	\$100.00	\$30,000.00
4.2.5	Policies and Grant Requirements: Technical Assistance	Cost per 1 hour	150	\$100.00	\$15,000.00
4.3.1	FTA Review/Response: Technical Assistance	Cost per 1 hour	150	\$100.00	\$15,000.00
Exhibit A (continued)					
<u>Oversight Monitoring Services/Conduct Reviews</u>					
4.3.2	Triennial DBE Goal Development: Technical Assistance	Cost per 1 hour, 150 hours Total	150	\$100.00	\$15,000.00
4.3.3	Urbanized Area Formula Program: Technical Assistance	Cost per 1 hour, 150 hours Total	150	\$100.00	\$15,000.00
4.4.1	Meetings with DPT	Cost per 1 hour, 100 hours Total	100	\$100.00	\$10,000.00
Total Bid Amount					\$299,180.00
<small>Quantities listed are only an estimate. There is no guaranteed purchase amount. The agency may buy more or less as needed.</small>					

Additional Statements

Calyptus agrees to accept all the terms and conditions, both federal and state requirements, contained in the bid package

Equal Employment Opportunity

- Calyptus has an affirmative action plan relating to Equal Employment Opportunity

Disadvantaged Business Enterprise (DBE)

- Calyptus is a small business, but not a registered DBE firm.

Attachment C. Debarment, Suspension and Other Responsibility Matters Certification

ATTACHMENT "C"

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


**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), Calyptus Consulting Group, Inc.
(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),
Calyptus Consulting Group, Inc., 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.

 President

Signature and Title of Authorized Official

Attachment D. Certification of Restrictions on Lobbying

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, Calyptus Consulting Group, Inc., 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.

7/21/2016

Date


Authorized Signature

President

Title

Revised 10/27/2014

Purchasing Affidavit

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 exceeds 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: Calyptus Consulting Group, Inc.

Authorized Signature: [Signature] Date: 7/21/2016

State of Massachusetts

County of Suffolk Suffolk, to-wit:

Taken, subscribed, and sworn to before me this 8 day of July, 2016.

My Commission expires April 23, 2021.

AFFIX SEAL HERE

NOTARY PUBLIC

[Signature]

Purchasing Affidavit (Revised 08/01/2015)

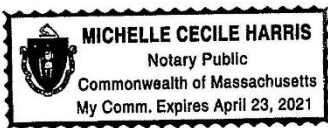


Exhibit A**Oversight Monitoring Services/Conduct Reviews**

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