



GUAM REGIONAL TRANSIT AUTHORITY

Government of Guam

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GUAM REGIONAL TRANSIT AUTHORITY (GRTA) DBE Overall Goal Shortfall Analysis

Department: GRTA's Federal Programs Administration Section

Scope: To analyze in detail the reasons for the difference between the overall goal and awards and commitments in that fiscal year;

To establish specific steps and milestones to correct the problems that GRTA have identified in GRTA's analysis and to enable GRTA to meet fully the goal for the new fiscal year.

Purpose: To meet GRTA DBE overall goal of 1.62% for FY 2015-2017.

Shortfall Analysis:

Since 2009, GRTA has not achieved its overall goal because no awards were made to certified DBEs due to the following:

1. Most of the awarded procurement contracts were in the area of transportation services in which large transit providers are involved;
2. Approximately 65 percent of certified DBE in GRTA's Directory are under SIC 1521 and 1522 which is general contracting;
3. GRTA procurement activities were at its lowest point during those periods;
4. Lack in GRTA human resources contributed in seeking potential DBEs to be part of GRTA procurement activities.

Corrective Action Plan:

1. GRTA has intensified its effort to do contract goals with our primary transit providers. The Multi-Step Bid (MSB) documents for the Management and Operations of GRTA's fixed route and paratransit services as well as the Request for Proposal for the Transportation Management System (TMS) Software and Hardware of GRTA proposed One-Call/One-Click Dispatch Center have incorporated DBE clauses for the transit providers to subcontract with certified DBEs. For timetable of the MSB solicitation, please refer to the "Procurement Plan for the Management and Operations of the GRTA's Transit Services" for procurement milestones. GRTA's Board approved the TMS Software and Hardware Request for Proposal documents last December 15, 2014. This project is ready for procurement;

2. GRTA shall intensify its efforts in certifying a diversified pool of qualified DBEs in house, instead of depending upon SBA certified DBEs;
3. GRTA shall seek qualified socially and economically disadvantaged businesses on Guam to participate in all GRTA procurement. If noncertified DBEs are awarded contracts who are socially and economically disadvantaged businesses, GRTA shall assist them to be fully certified GRTA DBEs;
4. GRTA has an additional body in the Federal Programs Administration section to increase GRTA's efforts in seeking and certifying qualified DBEs.

Effective Date: January 5, 2015

Approved By:



ENRIQUE AGUSTIN
GRTA's Executive Manager



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GUAM REGIONAL TRANSIT AUTHORITY (GRTA)

Standard Operating Procedure (SOP) for Completing and Submitting Future Annual Shortfall Analyses and Corrective Action Plans

Department: GRTA Federal Program Administration Section

Scope: Procedure in completing and submitting future annual shortfall analyses and corrective action plans to FTA Regional Office.

Purpose: To complete and submit future annual shortfall analyses and corrective action plans on a timely manner.

Procedure:

1. At the end of each quarter of the fiscal year, GRTA shall analyze the difference between the awards and commitments with the overall goal. If shortfall exist, GRTA shall implement contract goals to GRTA's primary transit service contractors;
2. In contract goal adjustments, GRTA shall:
 - a. If GRTA's approved projection can meet the entire overall goal for a given year through race-neutral means, GRTA will implement the DBE program without setting contract goals during that year;
 - b. If GRTA will exceed the overall goal in any year in which GRTA is using contract goals, GRTA will reduce or eliminate the use of contract goals to the extent necessary to ensure that the use of contract goals does not result in exceeding the overall goal;

If GRTA will fall short of the overall goal, GRTA will make appropriate modifications in the use of race-neutral and/or race-conscious measures to meet the overall goal;
 - c. When GRTA's race-neutral program meets or exceeds GRTA's overall goals for two consecutive years, GRTA will not make a projection the following year. In addition, no contract goals on any contract will be set the following year. GRTA will continue using only race-neutral means to meet GRTA's overall goal unless and until GRTA does not meet overall goal for a year;
 - d. If GRTA obtains DBE participation that exceeds GRTA's overall goal for two consecutive years using a contract goal, GRTA will reduce the use of contract goals proportionately in the following year.

3. If GRTA foresees after performing contract goal adjustments that GRTA will not be able to meet its overall goal. At the beginning of last quarter of the fiscal year, GRTA shall perform a shortfall analysis;
4. A month prior to closing of the fiscal year, GRTA shall formulate specific steps and milestones to correct the problems that GRTA has identified in the shortfall analysis;
5. A week prior to closing of the fiscal year, GRTA shall submit the shortfall analysis and the corrective action plan to the FTA Regional Office Program Management Section for review and approval.

Effective Date: January 5, 2015

Approved By:



ENRIQUE AGUSTIN
GRTA's Executive Manager