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WEEK IN REVIEW:

Mon (April 18)	Tues (April 19)	Wed (April 20)	Thurs (April 21)	Fri (April 22)
8:00 AM Short Session Legislative Briefing, Room 267		1:30 PM Budget Workshop, Room 267	6:30 PM District 6 Town Hall Meeting, Sharon Methodist Church	
10:00 AM Budget Committee, Room, 280		5:30 PM Metropolitan Transit Commission, Room 267	4411 Sharon Road	
12:00 PM Optional Council Agenda Briefing, Room 886				
12:00 PM Intergovernmental Relations Committee, Room 280				
5:00 PM Zoning Meeting, Room CH-14				

CALENDAR DETAILS:

Monday, April 18

- 8:00 AM Short Session Legislative Briefing, Room 267
- 10:00 AM Budget Committee, Room 280
AGENDA: FY17 Public safety request update; Update on FY17 revenue projections; FY17 base budget review; FY17 General Fund balancing tools and discussion
- 12:00 PM Optional Council Agenda Briefing, Room 886
- 12:00 PM Intergovernmental Relations Committee, Room 280
AGENDA: Federal update – Holland & Knight; Debrief April 18 legislative briefing; Trending topics
- 5:00 PM Zoning Meeting, Room CH-14

Wednesday, April 20

- 1:30 PM Budget Workshop, Room 267
AGENDA: Introduction/Budget Committee report; FY17 General Fund budget discussion; Regulatory user fee policy; General discussion
- 5:30 PM Metropolitan Transit Commission, Room 267
AGENDA: Title VI fare equity analysis; Fare increase proposal; Transit capital and debt programs; Rail trail framework/vision plan

Thursday, April 21

- 6:30 PM District 6 Town Hall Meeting, Sharon Methodist Church 4411 Sharon Road

April and May calendars are attached.



April-May 2016.pdf

AGENDA NOTES:

Lineman Appreciation Day Proclamation

Staff Resource: Peggy Huffman, Mayor's Office, 704-336-3131, phuffman@charlottenc.gov

At the beginning of Monday evening's Zoning Meeting, Council member Driggs will read a proclamation declaring April 18, 2016 as Lineman Appreciation Day in Charlotte.

INFORMATION:

April 16 – Goodie Ideation [HEALTH] Lab

Staff Resource: Victoria O. Johnson, Solid Waste Services, 704-336-3410, vjohnson@charlottenc.gov

Solid Waste Services has collaborated with [Goodie Nation](#), Mecklenburg County Solid Waste, and New Birth Church Charlotte to host the Goodie Ideation [HEALTH] Lab on Saturday, April 16 from 10 a.m. to 2 p.m. at the City of Charlotte's Solid Waste Services Building, 1105 Otts Street.

Goodie Ideation [Health] Lab is the first phase in the 3-phase Goodie Innovation Process, which is designed to rapidly create solutions for social impact. During the 4-hour workshop, teams of local residents will be introduced to a structured and proven process for developing innovative ideas for social change. Not only will they learn to generate solutions that work, they will also walk away with a cool technology-enabled idea ready to be passed on to designers and developers during a hack-a-thon. The dates for the next phases of the process will be set immediately following the Goodie Ideation [HEALTH] Lab.

Through the Goodie Ideation [HEALTH] Lab, Solid Waste Services hopes to generate tech-enabled ideas for reducing waste in Charlotte and Mecklenburg County. The Goodie Ideation [HEALTH] Lab is the kick-off for the department's [Healthy Communities Program](#), which will educate residents in the 25 lowest recycling neighborhood profile areas about the direct link between their personal health and the environment and help Solid Waste Services support the city's [waste reduction goal](#).

These 25 neighborhood profile areas produce about 20 pounds of garbage per household per week. Goodie Ideation [HEALTH] Lab participants will be asked to generate big ideas on how residents can reduce this waste by 50 percent and increase recycling by 30 percent by the end of 2017.

This event is free and open to the public; however, registration is strongly suggested. Interested city staff and residents can register at <http://bit.ly/Glclt0416>.

LYNX Blue Line Light Rail Service Temporary Closures

Staff Resource: John Lewis, CATS, 704-336-3855, John.Lewis@charlottenc.gov

CATS will temporary close LYNX Blue Line light rail service, April 30-May 1 and May 7-8, to complete work necessary for the Blue Line Extension (BLE) and Blue Line Capacity Expansion (BLCE) projects, along with other line maintenance. No trains will operate Saturday and Sunday of those weekends. CATS will operate LYNX Connector bus service to/near each station along the LYNX Blue Line, except to and from the 7th Street Station, which is easily accessible from the last LYNX Connector stop at the Charlotte Transportation Center.

Over the past 16 months, as the BLCE and BLE projects progressed along the LYNX Blue Line, CATS has had to implement 18 line cuts or partial line closures. It was projected that additional line cuts would be needed to complete those projects over the next 6-12 months. By using the

temporary shut-downs, BLE & BLCE projects will be able to eliminate any further line cuts. In addition, CATS is taking the opportunity to perform preventative and corrective maintenance to the alignment in order to reduce single-track and other types of closures needed to perform this type of work.

The consecutive weekend dates for the temporary closure were chosen after careful consideration. April 30-May 1 and May 7-8, had the least impact to citizens and also gives contractors time to mobilize.

A major piece of work to be performed is the replacement and drainage repair of the grade crossing panel at southbound South Boulevard and Clanton Road. Work on the overhead catenary system, the 750v line that light rail cars draw power from, will be done for the BLE and BLCE projects. Rail Maintenance of Way will complete scheduled track work and preventative maintenance inspections. CATS Facilities will complete major maintenance projects such as tree trimming, replacing light fixtures, painting, graffiti removal, and detailed cleaning of all platforms.

CATS will issue a press release along with frequently asked questions (attached below) to media outlets Friday afternoon. CATS will install rider alerts on all buses and trains, as well as send out electronic rider alerts and alerts via the “CATS See Say” Elerts mobile app. CATS will also use Facebook, Twitter, and ridetransit.org to inform citizens. There will be signage at every LYNX station, and ambassadors will be at stations during peak times to help citizens and answer questions.



FAQ-LYNX Blue Line
Closure.pdf

Internal Audit Report – Purchased Assets

Staff Resource: Greg McDowell, Internal Audit, 704-336-8085, gmcowell@charlottenc.gov

Internal Audit staff have completed an audit of assets purchased during FY15 to determine whether assets are reasonably safeguarded and properly recorded. A sample of purchases was made from rolling stock (e.g., vehicles), non-rolling stock, and personal technology devices (tablets).

Conclusion: Controls are in place to ensure that capital assets and select personal technology devices are reasonably safeguarded and properly recorded on the City’s books.

The Purchased Assets Audit Report is attached.



Purchased Asset
Audit Report FY 15.pr

City Employees are Knights Cities Challenge Award Winners

Staff Resource: Katie McCoy, City Manager's Office, 704-336-5017, kdmccoy@charlottenc.gov

Two City employees are winners of the Knight Cities Challenge. Over 4,500 ideas were submitted from 19 cities and only 37 winners were selected. This is the second year that City employees have submitted winning ideas.

Sarah Hazel in the City Manager's Office, in partnership with Monica Carney Holmes in the Planning Department, has been awarded the Knight Cities Grant in the amount of \$27,900 for her "Can Do Signs" initiative. "Can Do Signs" rethinks municipal signs that typically tell people "what not to do," to spur fun, imagination, and positivity throughout Charlotte.

Jason Lawrence of the Charlotte Area Transit System, in partnership with Nicole Storey in Neighborhood & Business Services, was awarded \$85,000 for "CrownTownHall." This project will help residents more easily connect with their local government and get involved with civic issues through pop-up events where they can meet elected officials, sign up for city services, and review area planning efforts.

Last year, three City teams were awarded the Knight Cities Grant. More information about those projects is available online at:

<http://charmeck.org/city/charlotte/CivicInnovation/Pages/default.aspx>.

ATTACHMENTS:

City Council Follow-up Report:



15--April.pdf

--Good Faith Efforts

April

<i>Sun</i>	<i>Mon</i>	<i>Tue</i>	<i>Wed</i>	<i>Thu</i>	<i>Fri</i>	<i>Sat</i>
					1	2
3	4 12:00pm Environment Committee Mtg., Room 280 3:30pm Closed Session with City Manager 4:30pm Council Workshop/Citizens' Forum, Room 267	5	6 12:00pm Housing & Neighborhood Development Committee Mtg., Room 280 1:30pm Budget Workshop, Rom 267	7	8	9
10	11 12:00pm Budget Committee Mtg., Room 280 2:00pm Transportation & Planning Committee Mtg., Room 280 5:00pm Council Business Mtg., Room 267	12	13 12:00pm Community Safety Committee Mtg., Room 280	14 12:00pm ED & Global Competitiveness Committee Mtg., Room CH-14	15	16
17	18 8:00am 2016 Short Session Legislative Briefing, Room 267 10:00am Budget Committee Mtg., Room 280 12:00pm Council Agenda Briefing (optional), Room 886 12:00pm Intergovernmental Relations Committee Mtg., Room 280 5:00pm Zoning Meeting, Room CH-14	19	20 1:30pm Budget Workshop, Room 267 5:30pm MTC Meeting, Room 267	21 6:30pm – 8:00pm District 6 Town Hall Mtg., Sharon United Methodist Church – 4411 Sharon Rd.	22	23
24 2:00 – 4:00pm CM Fallon's Town Hall Meeting, University City Library – 301 E. WT Harris Blvd.	25 12:00pm Governance & Accountability Committee Mtg., Room 280 4:00pm City Manager Search Committee Mtg., Room 278 5:00pm Citizens' Forum/Council Business Mtg., Room 267	26 <div style="border: 1px solid black; padding: 5px; text-align: center;"> Mayor and Council to Raleigh </div>	27	28	29	30
					<div style="border: 3px double black; padding: 10px; display: inline-block;"> 2016 </div>	

May

<i>Sun</i>	<i>Mon</i>	<i>Tue</i>	<i>Wed</i>	<i>Thu</i>	<i>Fri</i>	<i>Sat</i>
1	<p>12:00pm Environment Committee Mtg., Room 280</p> <p>5:00pm Council Workshop/Citizens' Forum, Room 267</p> <p>7:00pm Budget Presentation, Meeting Chamber</p>	3	<div style="border: 1px solid black; background-color: #e0e0e0; padding: 5px; text-align: center;"> Mayor and Council to Raleigh </div> <p>12:00pm Housing & Neighborhood Development Committee Mtg., Room 280</p>	<p>6:30pm CM Mitchell's Engagement Through Economic Development Town Hall Mtg., Room 267</p>	6	7
8	<p>2:00pm Transportation & Planning Committee Mtg., Room 280</p> <p>5:00pm Council Business Mtg., Room 267</p> <p>5:30pm Budget Public Hearing, Meeting Chamber</p>	10	<p>1:00pm Budget Adjustments, Room 267</p>	<p>12:00pm ED & Global Competitiveness Committee Mtg., Room CH-14</p>	13	<p>14 9:00am – 12:00pm District 3 Budget Workshop, Steele Creek AME Zion Church – 1500 Shopton Rd.</p>
15	<p>12:00pm Council Agenda Briefing (optional), Room 886</p> <p>12:00pm Intergovernmental Relations Committee Mtg., Room 280</p> <p>5:00pm Zoning Meeting, Room CH-14</p>	17	<div style="border: 1px solid black; background-color: #e0e0e0; padding: 5px; text-align: center;"> Mayor and Council to Raleigh </div>	<p>12:00pm Community Safety Committee Mtg., Room 280</p>	20	21
22	<p>12:00pm Governance & Accountability Committee Mtg., Room 280</p> <p>5:00pm Citizens' Forum/Council Business Mtg., Room 267</p>	24	<p>12:00pm Budget Adjustments/Straw Votes, Room 267</p> <p>5:30pm MTC Meeting, Room 267</p>	<p>12:00pm ED & Global Competitiveness Committee Mtg., Room CH-14</p>	27	28
29	<div style="border: 1px solid black; background-color: #e0e0e0; padding: 5px; text-align: center;"> Memorial Day </div>	31				

2016



LYNX Blue Line Temporary Closure Frequently Asked Questions

When will the LYNX Blue Line close and when will it re-open?

The Blue Line will be closed all day Saturday and Sunday, April 30-May 1 and May 7-8. It will re-open the following Monday for normal weekday service hours.

Why does the entire LYNX Blue Line have to shut down temporarily?

Over the past months, as the BLCE and BLE projects progressed along the LYNX Blue Line, CATS has had to implement 18 line cuts or partial line closures. It was projected that additional line cuts would be needed to complete those projects over the next 6-12 months. By using the temporary shut-downs, BLE & BLCE projects will be able to eliminate any further line cuts. In addition, CATS is taking the opportunity to perform preventative and corrective maintenance to the alignment in order to reduce single-track and other types of closures needed to perform this type of work. The closure of the entire line during the two weekends allows contractors and CATS to complete work safely and easily.

Why is the work happening?

Contractors for the LYNX Blue Line Extension and Blue Line Capacity Expansion projects have to complete work in order for the projects to progress to completion.

What kind of work needs to be done?

A major piece of work to be performed is the replacement and drainage repair of the grade crossing panel at southbound South Boulevard and Clanton Road. Work on the overhead catenary system, the 750v line that light rail cars draw power from, will be done. Rail Maintenance of Way will complete scheduled track work and preventative maintenance inspections. CATS Facilities will complete major maintenance projects such as tree trimming, signage installation, replacing light fixtures, painting, graffiti removal and detailed cleaning of all platforms.

Why does CATS need full weekend closures?

In the past, CATS closed parts of the LYNX Blue Line—line cuts—or single-tracked trains so the contractor could complete work. The two full-weekend closures will eliminate the need to provide contractors more intermittent line cuts and single-tracking throughout the spring and summer when the number of events and activities increases in Center City and areas surrounding the Blue Line.

What if the work doesn't get done in the time allotted?

The contractor has worked with CATS develop a schedule so that the work can be completed in the two weekends. Work may be postponed in the case of inclement weather.

Will there be any service that riders can use while the LYNX Blue Line is closed?

Yes. CATS will provide *LYNX Connector* bus service that travels to/near each LYNX station, excluding 7th Street Station, which is easily accessible from the last *LYNX Connector* bus stop at the Charlotte Transportation Center. Riders should look for bus stops and signage with *LYNX Connector* on them. Buses serving those bus stops will have *LYNX Connector* on the headway sign. Detailed stop information is located at ridetransit.org and on each bus.

Can riders purchase a pass for the bus at ticket vending machines on station platforms?

Yes. Riders can also use any other valid CATS pass, a transfer or exact fare in bus fareboxes.

Can I still park in the LYNX Blue Line park and ride lots?

Yes. Riders can park in the lots and catch the *LYNX Connector* at the nearest stop.

Can I still access the rail trail during this time?

Yes, but not between the LYXN New Bern Station and Clanton Road. That portion of the trail will be closed while crews are working at South Boulevard and Clanton Road.

Can pedestrians still be on station platforms?

Pedestrians can access the platform to purchase tickets from the ticket vending machines. There is no other reason to be on the platform during the LYNX Blue Line closure.

How will citizens who missed newscasts and news articles know about the temporary closures?

CATS will install rider alerts on all buses and trains, as well as send out electronic rider alerts and alerts via the "CATS See Say" Elerts mobile app. CATS will also use Facebook, Twitter, and ridetransit.org to inform citizens. There will be signage at every LYNX station. Ambassadors will be at stations during peak times to help citizens and answer questions.



**Audit Report
Citywide Purchased Assets
July 2014 – March 2015
April 14, 2016**

**City of Charlotte
City Auditor's Office
Gregory L. McDowell, CPA, CIA**

Citywide Purchased Assets
July 2014 – March 2015
April 14, 2016

Purpose and Scope

The purpose of this audit was to determine that assets purchased between July 1, 2014 and March 31, 2015 exist, are reasonably safeguarded and have been properly recorded. The audit focused on capital assets and personal technology devices (tablets). Auditors tested 36 (16%) of the 219 assets recorded in Munis, for the period tested. This included a random sample of 25 rolling stock and 11 non-rolling stock items. Auditors reviewed transactions for compliance with the City's capital asset policies and procedures. In addition, auditors tested 55 tablets for existence. The majority of the tablets sampled were iPads.

The audit included testing to identify potentially un-capitalized asset purchases. Auditors reviewed a sample of invoice payments, procurement card (P-Card) and maintenance/repair transactions. All selected items were examined for accurate posting to the proper general ledger account, adequate supporting documentation and compliance with the City's capital asset policies.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

This report is intended for the use of the City Manager's Office, City Council, and all City Departments.

Conclusion

Controls are in place to ensure that capital assets and select personal technology devices are reasonably safeguarded and properly recorded on the City's books.

Summary Recommendations and Actions

Departments should consistently mark purchase orders to indicate items are capital assets.

- Seven invoices totaling \$267,700 had not been recorded initially as capital assets.
- Two invoices related to capital asset purchases totaling \$49,906 had been charged to maintenance and repair.
 - Subsequently, the Finance Office has properly recorded these items.
 - Finance staff is working with departments to improve invoice handling.

Fleet Management should periodically reconcile its internal records (i.e., FASTER) to the City's financial records (Munis).

- Twelve vehicles totaling \$257,078 had not been recorded in the City's financial records because the vendor had not billed the City.
 - Following auditors' inquiry of the vendor, the vendor billed the City and was paid.
 - Records have been reconciled and Fleet Management is taking a more active role in managing most departments' vehicle purchases.

Background

A "capital fixed asset" is defined by the City of Charlotte as an item of property valued at \$5,000 or more with a useful life longer than one year. Individual acquisitions must meet the minimum capitalization threshold in order to be capitalized. Assets below this threshold are not recorded in Munis, the City's enterprise resource planning system for financial functions. Purchased assets are categorized as either rolling stock or non-rolling stock. Rolling stock assets are self-propelled or pulled transportation equipment that moves on wheels.

Annually, the Management and Financial Services - Finance Office (Finance Office) generates and distributes an equipment inventory list to the departments responsible for tracking assets. The departments verify the listing and report any discrepancies to the Finance Office. If the asset is no longer in the department's possession, they must complete a Capital Asset Transfer/Disposal form detailing the disposal or transfer to another department/division. The completed inventories are returned to the Finance Office and the appropriate adjustments are made in the Fixed Asset module of Munis.

Audit Findings and Recommendations

1. Capital asset purchases and personal technology devices were properly recorded and existence was verified.

During the period tested July 1, 2014 to March 31, 2015, audit staff observed 36 assets (25 rolling stock and 11 non-rolling stock), without exception. Rolling stock capital assets were easily identified using the manufacturer's vehicle identification number (VIN) or the equipment number assigned by Fleet Management. Non-rolling stock items were either verified by asset tag number or records noting that the tags were on file, as allowed by City policy. Asset tags were attached to five of the 11 non-rolling stock items selected. The six assets viewed which had no tags affixed were verified by model and manufacturer as detailed on the Finance Office capital asset list.

Auditors selected 55 (of 339 tablets tracked by Fire, Police and I&T). For the sample viewed, auditors documented the serial number and verified the device number. Of the 55 tested, one iPad could not be located by the Department and a second device could not be verified initially by its identification number because the service had been disconnected. The

missing iPad was deemed lost, while the second was in the possession of the assigned employee.

2. **Departments should consistently mark purchase orders to indicate items are capital assets.**

When capital assets are purchased, policy requires departments to identify the acquisition on the purchase order so that the Finance Office can properly record the asset. This process allows for real-time recording of fixed asset purchases.

For the period under review, auditors selected samples and performed tests of invoices and P-Card transactions greater than \$5,000, to determine whether property purchases or maintenance costs meeting the capitalization threshold were properly recorded. Testing results detailed below noted that several departments did not properly mark the purchase order to indicate that a capital asset had been purchased.

- A. Auditors selected a sample of 43 (out of 8,800) invoices over \$5,000. Of the invoices reviewed, five departments processed seven invoices totaling \$267,700 for items that should have been recorded as capital assets.
- B. Auditors selected 50 invoices (10% of invoices over \$5,000) charged to the maintenance and repair account to identify any potential transactions that would increase an existing asset's value. Two invoices (processed by two departments) totaling \$49,906 should have been capitalized.

Actions Taken: The Finance Office has properly recorded the assets noted above in Munis.

Recommendation: When departments do not properly complete purchase orders, it places an additional burden on the resources of the Finance Office. Departments should comply with the policy requiring them to check the appropriate box on purchase orders created to procure a new capital asset or improve an existing one.

Management & Financial Services Response: The Finance Office agrees with the recommendation and is working with departments to educate them on how to properly complete purchase orders.

3. **Management and Financial Services - Fleet Management should periodically reconcile the FASTER equipment listing to Munis.**

Audit staff compared all equipment purchased during the audit period and listed in FASTER (the City's equipment maintenance software application) to the Munis capital asset listing. Auditors noted 12 vehicles listed in FASTER (at a total acquisition cost of \$257,078) that were not recorded in Munis. Subsequent research determined that the vehicles were not recorded in Munis because Accounts Payable had not received the invoices.

During the audit period, departments were still becoming accustomed to Munis-requirements. The new system introduced a decentralized process for purchasing vehicles, which often excluded Management and Financial Services - Fleet Management (Fleet Management). Further, the vendor did not inquire about missing payments, which would have alerted Fleet Management to the issue.

Auditors inquired of the vendor in October 2015 and obtained copies of the invoices dated between February 2015 and April 2015. The invoices were forwarded to Accounts Payable for follow up. In November 2015, payments for the twelve invoices were processed and the related assets were subsequently posted to Munis.

Actions Taken: In August 2015, Fleet Management began processing vehicle purchases for most departments. (CATS and Aviation still manage their own.) Fleet Management is more familiar with the procurement of vehicles; therefore, the risk of this issue reoccurring should be low.

Recommendation: Fleet Management should periodically reconcile FASTER to Munis to ensure that all capital assets are recorded properly and timely.

Management and Financial Services - Fleet Management Response: We agree with the recommendation and will be working with the Finance Office over the next several months to perform an annual reconciliation. The first reconciliation is planned for FY16 year-end.



CHARLOTTESM

**City Council
Follow-Up Report**

April 15, 2016

March 28, 2016 – Council Business Meeting

Good Faith Efforts

Staff Resource: Nancy Rosado, Management & Financial Services, 704-336-2116, nrosado@charlottenc.gov

During the dinner briefing, Council member Smith referenced Consent Agenda Item #24 (Central Avenue/Louise Avenue Pedestrian Improvements) and requested improvements in the process relative to good faith effort reviews.

The Charlotte Business INClusion (CBI) Office will research opportunities for improvement. In the meantime, the following is an overview of the CBI Program's Good Faith Efforts process.

The City Council adopted CBI Policy allows for the establishment of goals and good faith effort requirements on city-funded contracts to enhance participation by Minority, Women, Small Business Enterprises (MWSBEs).

Good Faith Efforts (GFEs) are a legally required component of most goal-based contracting programs. Depending where the funding for a project comes from, a project may be governed either by the City's CBI Program, or by a state or federal agency program, each of which have differing versions of GFE requirements.

On a City-funded contract in which an MWSBE goal is established, a bidder must either meet (or exceed) the MWSBE goal, or earn the required number of GFE points. For example, if the MBE Goal on a project is established at 10%, and the low bidder submits 3% MBE commitments at the time of bid, in order to be deemed responsive in their bid, the low bidder would be required to submit documentation to demonstrate the GFE points they have claimed.

For City of Charlotte contracts, the City has identified ten measures, referred to as GFEs, that prime contractors are encouraged to perform prior to bid opening to help them meet the established MWSBE subcontracting goal on a contract. Bidders can choose to perform any combination of GFEs, with points ranging from 10 to 25 points per GFE. The ten measures equal a total of 155 available GFE points and the minimum points required to be earned to be deemed CBI compliant is set at 50.

To receive credit for each GFE performed, bidders must provide documentation that the GFE action was performed within the timeframe stipulated in the CBI Policy. Examples of GFE categories include (please see attached CBI FORM 5 for a complete list of all GFE categories and point value):

- MWSBE contacts
- Making project plans available to MWSBEs
- Providing financial, insurance, or bonding assistance to MWSBEs



GFE.pdf

When deciding to award points for GFE categories the City considers both qualitative and quantitative factors, including:

- Whether the bidder's efforts were those of someone who was actively and aggressively working to meet the MWSBE goal.
- The bidder's past performance in meeting MWSBE goals on previous City projects.
- The performance of other bidders in meeting the MWSBE goal on the project up for award.

If the documentation demonstrates the bidder achieved at least the minimum number of required GFE points, then the bidder is deemed CBI compliant and is recommended for award of the contract. If the documentation is deemed insufficient, the recommendation is to reject the bid due to CBI non-compliance.

CBI FORM 5: Good Faith Effort (GFE) and Statement of GFE Compliance (Page 1 of 2)

Bidder Name:	
Project Name:	
Project Number:	

§Per Part B, Section 5 of the CBI Policy, if a Bidder has not fully met the **established Subcontracting Goal(s)** for this project, then it must document it has met the GFE requirements by completing this Form. GFE Points will be calculated, independently, for each Subcontracting Goal that is not met. For instance, if the Bidder fails to meet both the SBE Goal and the MBE Goal that was set with respect to African American, Native American, and Hispanic firms, the Bidder will have to earn the minimum GFE points for SBEs and also the minimum GFE Points for MBEs.

Detailed information of the City’s GFE requirements can be found in the CBI Policy, Part B, Section 5. The Bidder must submit CBI Form 5 within three (3) Business Days after the City requests it, unless specified otherwise in the City Solicitation Documents. Failure to do so constitutes grounds for rejection of the Bid. Below is a list of Good Faith Efforts as defined in Part B: Section 5.3. To the left of each item is the number of points assigned to that item. Please place an “X” in the first column for each item you are claiming credit. Failure to achieve the minimum number of Good Faith Efforts points stated in the box below constitutes grounds for rejection of your bid.

NOTE: All actions necessary to earn GFE Points must be undertaken prior to Bid Opening.

Minimum Number of GFE Points Required:

50

	GFE Points	Good Faith Effort (GFE)
<input type="checkbox"/>	10	<p>Section 5.3.1: Contacts. The Bidder must contact MSBEs in a manner reasonably calculated to meet the established Subcontracting Goal(s) for the Contract. Factors considered may include but are not limited to:</p> <ul style="list-style-type: none"> (a) The number of available MSBEs contacted; (b) Whether the Bidder directed its contacts to MSBEs listed as performing scopes of work sufficient to meet the established Subcontracting Goal(s); (c) Whether the contacts were made at least 10 Days before Bid Opening; (d) How the contacts were made and whether they were documented in a verifiable way (and in compliance with any forms provided by the City); (e) Whether the substance of the Bidder’s solicitation was reasonably sufficient to generate a response from MSBEs; (f) Whether the Bidder promptly and adequately responded to inquiries received from MSBEs ; and (g) Whether the Bidder made follow up contacts to MSBEs that did not respond to the Bidder’s initial contact.
<input type="checkbox"/>	10	<p>Section 5.3.2: Making Plans Available. To receive credit for this GFE, the Bidder must: (i) make “Project Documents” (as defined below) available for inspection by MSBEs at least 10 Days before Bid Opening; and (ii) notify the MSBEs contacted under GFE 5.3.1 of the way in which Project Documents will be made available.</p> <p>A Bidder may receive credit for GFE 5.3.2 only if it receives credit for GFE 5.3.1 (Contacts), and only if it responds promptly to any requests made for access to the Project Documents.</p>
<input type="checkbox"/>	15	<p>Section 5.3.3: Breaking Down Work. The Bidder must demonstrate to the City’s satisfaction that it broke down or combined elements of work into economically feasible units to facilitate MSBE participation. In awarding points the City will consider the number and dollar value of the scopes of work the Bidder listed for MSBE participation, whether those scopes would be sufficient to meet the established Subcontracting Goal(s) and how the Bidder notified MSBEs of its willingness to break down the work into such units. A Bidder may receive credit for this GFE only if it receives credit for GFE 5.3.1 (Contacts).</p>

CBI FORM 5: Good Faith Effort (GFE) and Statement of GFE Compliance (Page 2 of 2)

<input type="checkbox"/>	10	<p>Section 5.3.4: Working With MSBE Assistance Organizations. The Bidder must document that it worked with an MSBE Assistance Organization (as defined below), to provide assistance in recruiting MSBEs for the Contract for which Bids are sought.</p> <ul style="list-style-type: none"> • A “MSBE Assistance Organization” is an organization identified by the City of Charlotte and listed in the City Solicitation Documents as providing assistance in the recruitment of MSBEs.
<input type="checkbox"/>	10	<p>Section 5.3.5: Attendance at Pre-Bid. To receive credit for this GFE, the Bidder must attend any pre-bid meetings scheduled by the City for the Contract in question.</p>
<input type="checkbox"/>	20	<p>Section 5.3.6: Bonding or Insurance Assistance on Construction Contract. The Bidder must assist a MSBE in getting required bonding or insurance coverage for the Contract at issue or provide alternatives to bonding or insurance for MSBEs. To document satisfaction of this GFE, the Bidder must submit: (a) the name of the MSBE; (b) a description of the assistance the Bidder provided; (c) the date the Bidder provided the assistance; (d) the name of a contact person with the MSBE who can verify that the Bidder provided the assistance; and (e) any additional information requested by the City. No credit will be given for assistance provided to an Affiliate of the Bidder. In deciding whether to award points for this GFE, the City will consider how significant and meaningful the assistance was, how many MSBEs it was offered to, and what impact it likely had on the Bidder’s efforts to recruit MSBEs for the project.</p>
<input type="checkbox"/>	15	<p>Section 5.3.7: Negotiating in Good Faith with MSBEs. The Bidder must: (a) demonstrate that it negotiated in good faith with interested MSBEs (which means showing at least some back and forth negotiation between the Bidder and MSBEs); (b) demonstrate that it did not reject any MSBEs as unqualified without sound reasons based on their capabilities; (c) document in writing the reasons for rejecting any MSBEs for lack of qualification.</p>
<input type="checkbox"/>	25	<p>Section 5.3.8: Financial Assistance. The Bidder must provide one of the following types of assistance to an MSBE in connection with the Contract: (a) assistance in obtaining equipment, a loan, capital, lines of credit, (b) joint pay agreements or guaranties to secure loans, the purchase of supplies, or letters of credit, including waiving credit that is ordinarily required; or (c) assistance in obtaining the same unit pricing with the Bidder’s suppliers as the Bidder. To receive credit for this GFE, Bidders must document: (a) the name of the MSBE; (b) the description of the assistance the Bidder provided; (c) the date the Bidder provided the assistance; and (d) the name of a contact person with the MSBE who can verify that the Bidder provided the assistance. No credit will be given for assistance provided to an Affiliate of the Bidder. In deciding whether to award points for this GFE, the City will consider how significant and meaningful the assistance was, how many MSBEs it was offered to, and what impact it likely had on the Bidder’s efforts to recruit MSBEs for the project.</p>
<input type="checkbox"/>	20	<p>Section 5.3.9: Entering Into Joint Venture. To receive credit for this GFE, the Bidder must demonstrate that it negotiated a Joint Venture or partnership arrangement with one or more MSBEs, as applicable, on the Contract. To receive credit for this GFE, Bidders must document; (a) the name of the MSBE; (b) a description of the Joint Venture or partnership; (c) evidence of the date the MSBE entered into the agreement; and (d) the name of a contact person with the MSBE who can verify the terms of the agreement. No credit will be given for a joint venture with an Affiliate of the Bidder.</p>
<input type="checkbox"/>	20	<p>Section 5.3.10: Quick Pay Agreements on the Construction Contract Up For Award. For purposes of this Section, the term “Quick Pay Commitment” means a commitment to pay all MSBEs participating in the Construction Contract within 20 Days after the Contractor confirms that the MSBE has properly performed and the MSBE’s work has been properly completed. To receive credit for this GFE, Bidders must: (a) provide the City with a copy of a policy containing the above-referenced Quick Pay Commitment that the Bidder has adopted for the project and document that the Bidder informed each MSBE about the Quick Pay Commitment as part of the Bidder’s MSBEs contacts under Section 5.3.1; or (b) document that prior to Bid Opening the Bidder made a written Quick Pay Commitment to each MSBE that will participate in the Contract up for award. Including a statement in a Bid solicitation letter indicating that the Bidder <i>will consider</i> entering into quick pay agreements will not suffice. A Bidder may receive credit under subpart (a) of GFE 5.3.10 only if it receives credit for GFE 5.3.1 (Contacts)</p>

155 Total Available GFE Points
 _____ Total GFE Points Claimed by the Bidder
 _____ Total GFE Points Earned (to be completed by City)