

**DISADVANTAGED BUSINESS PROGRAM
49 CFR PART 23**

POLICY STATEMENT

Section 23.1, 23.23

Objectives/Policy Statement

The City of Kenai has established an Airport Concession Disadvantage Business Enterprise (ACDBE) program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 23. The City of Kenai is a nonhub airport and has received federal funds authorized for airport development after January 1988 (authorized under Title 49 of the United States Code). The City of Kenai has signed airport grant assurances that will comply with 49 CFR Part 23.

It is the policy of the City of Kenai to ensure that ACDBE's as defined in Part 23, have an equal opportunity to receive and participate in concession opportunities. It is also our policy:

1. To ensure nondiscrimination in the award and administration of opportunities for concessions by airports receiving DOT financial assistance;
2. To create a level playing field on which ACDBEs can compete fairly for opportunities for concessions;
3. To ensure that our ACDBE program is narrowly tailored in accordance with applicable law;
4. To ensure that only firms that fully meet this part's eligibility standards are permitted to participate as ACDBEs at our airport;
5. To help remove barriers to the participation of ACDBEs in opportunities for concessions at our airport; and
6. To provide appropriate flexibility to our airport in establishing and providing opportunities by ACDBEs.

The Airport Manager has been designated as the ACDBE Liaison Officer (ACDBELO). In that capacity, the Airport Manager is responsible for implementing all aspects of the ACDBE program. Implementation of the ACDBE program is accorded the same priority as compliance with all other legal obligations incurred by the City of Kenai in its financial assistance agreements with the Department of Transportation.

The City of Kenai has disseminated this policy statement to the U.S. Department of Transportation, Federal Aviation Administration, Alaska Region, and the City of Kenai's City Council as well as all components of our organization. We have distributed this statement to ACDBE and non-ACDBE concessionaire communities through the U.S. mail service.

Date

Paul Ostrander – City Manager

SUBPART A – GENERAL REQUIREMENTS

Section 23.1 Objectives

The objectives are found in the policy statement on the first page of this program

Section 23.3 Definitions

The City of Kenai will use terms in this program that have the meaning defined in Section 23.3 and Part 26 Section 26.5 where applicable.

Section 23.5 Applicability

The City of Kenai is a nonhub airport and the sponsor of federal airport funds authorized for airport development after January 1988 that was authorized under Title 49 of the United States Code.

Section 23.9 Non-discrimination Requirements

The City of Kenai will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any concession agreement, management contract or subcontract, purchase or lease agreement or other agreement covered by 49 CFR Part 23 on the basis of race, color, sex, or national origin.

In administering its ACDBE program, the City of Kenai will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the ACDBE program with respect to individuals of a particular race, color, sex, or national origin.

The City of Kenai acknowledges these representations are also in accordance with obligations contained in its Civil Rights, DBE and ACDBE Airport grant assurances.

The City of Kenai will include the following assurances in all concession agreements and management contracts it executes with any firm:

- (1) "This agreement is subject to the requirements of the U.S. Department of Transportation's regulations, 49 CFR Part 23. The concessionaire or contractor agrees that it will not discriminate against any business owner because of the owner's race, color, national origin, or sex in connection with the award or performance of any concession agreement, management contract, or subcontract, purchase or lease agreement, or other agreement covered by 49 CFR Part 23.

(2) "The concessionaire or contractor agrees to include the above statements in any subsequent concession agreement or contract covered by 49 CFR Part 23, that it enters and cause those businesses to similarly include the statements in further agreements."

Section 23.11

Compliance and Enforcement

The City of Kenai will comply with and is subject to the provisions of 49 CFR Part 26 (§26.101, 26.105, 26.107 and 2 CFR parts 180 and 1200).

The City of Kenai will comply with this part or be subject to formal enforcement action under §26.105 or appropriate program sanctions, such as the suspension or termination of Federal funds, or refusal to approve projects, grants or contracts until deficiencies are remedied. Program sanctions may include actions consistent with 49 U.S.C. §47106(d), 47111(d), and 47122.

2 C.F.R Part 180, Government-wide Debarment and Suspension (Non-procurement), effective November 15, 2006, adopted and supplemented by DOT at 2 C.F.R. Part 1200, effective, June 2, 2008, provides Office of Management and Budget (OMB) guidance for Federal agencies on the government-wide debarment and suspension system for non-procurement transactions, programs and activities. 2 C.F.R. Part 1200 adopts the OMB guidance in subparts A through 1 of 2 CFR part 180, as supplemented by part 1200, as the Department of Transportation policies and procedures for non-procurement suspension and debarment.

The City of Kenai's compliance with all requirements of this part is enforced through the procedures of Title 49 of the United States Code, including 49 U.S.C. 47106(d), 47111(d), and 47122, and regulations implementing them.

The following enforcement actions apply to firms participating in the City of Kenai ACDBE program:

- (a) For a firm that does not meet the eligibility criteria of subpart D of this part and that attempts to participate as an ACDBE on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, the Department of Transportation (DOT) or the Federal Aviation Administration (FAA) may initiate suspension or debarment proceedings against the firm under 2 CFR parts 180 and 1200.
- (b) For a firm that, in order to meet ACDBE goals or other AC/DBE program requirements, uses or attempts to use, on the basis of false, fraudulent or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, another firm that does not meet the eligibility criteria of subpart D of this part, DOT or FAA may initiate suspension or debarment proceedings against the firm under 2 CFR parts 180 and 1200.

- (c) DOT may take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, against any participant in the ACDBE program whose conduct is subject to such action under 49 CFR Part 31.
- (d) DOT may refer to the Department of Justice, for prosecution under 18 U.S.C. §§ 1001 or other applicable provisions of law, any person who makes a false or fraudulent statement in connection with participation of an ACDBE in the City of Kenai's ACDBE program or otherwise violates applicable Federal statutes.

Compliance reviews: The FAA may review the City of Kenai's compliance with this part at any time, including but not limited to reviews of paperwork, on-site reviews, and review of the airport sponsor's monitoring and enforcement mechanism, as appropriate. The FAA Office of Civil Rights may initiate a compliance review based on complaints received.

Any person who knows of a violation of this part by the City of Kenai may file a complaint under 14 CFR Part 16 with the Federal Aviation Administration Office of Chief Counsel.

SUBPART B – ACDBE PROGRAMS

Section 23.21 ACDBE Program Updates

The Kenai Municipal Airport is a nonhub airport required to have an ACDBE program.

As a condition of eligibility for FAA financial assistance, the City of Kenai will submit its ACDBE program and overall goals to FAA according to 23.45(a) of this section.

Until the City of Kenai's new ACDBE program is submitted and approved, we will continue to implement our ACDBE program that was in effect previously, except with respect to any provision that is contrary to 49 CFR Part 23.

This ACDBE program will be implemented at the Kenai Municipal Airport.

When the City of Kenai makes significant changes to its ACDBE program, we will provide the amended program to the FAA for approval prior to implementing the changes.

Section 23.23 Administrative Provisions

Policy Statement: The City of Kenai is committed to operating its ACDBE program in a nondiscriminatory manner.

The City of Kenai's Policy Statement is elaborated on the first page of this program.

ACDBE Liaison Officer (ACDBELO): We have designated the following individual as our ACDBELO:

Mary Bondurant – Airport Manager

Kenai Municipal Airport
305 N. Willow St., Suite 200
Kenai, AK 99611
Tel: 907-283-8282
Email: mbondurant@kenai.city

In that capacity, the ACDBELO is responsible for implementing all aspects of the ACDBE program and ensuring that the City of Kenai complies with all provisions of 49 CFR Part 23. The ACDBELO has direct, independent access to the City Manager concerning ACDBE program matters. An organization chart displaying the ACDBELO's position in the organization is found in Attachment A to this program.

The ACDBELO is responsible for developing, implementing and monitoring the ACDBE program, in coordination with other appropriate officials. The ACDBELO has a staff of one to assist in the administration of the program. The duties and responsibilities include the following:

1. Gathers and reports statistical data and other information as required by FAA or DOT.
2. Works with all departments to set overall annual goals.
3. Ensures that bid notice and requests for proposals are available to ACDBEs in a timely manner.
4. Identifies contracts and procurements so that ACDBE goals are included in solicitations (both race-neutral methods and contract specific goals).
5. Analyzes City of Kenai's progress toward attainment and identifies ways to improve progress.
6. Participates in pre-bid meetings.
7. Advises the City Manager on ACDBE matters and achievement.
8. Plans and participates in ACDBE training seminars.
9. Acts as liaison to the Uniform Certification Program (UCP) in Alaska.
10. Provides outreach to ACDBEs and community organizations to advise them of opportunities.

Directory: The State of Alaska Uniform Certification Program (UCP) maintains a directory identifying all firms eligible to participate as DBEs and ACDBEs. The Directory lists the firm's name, address, phone number, date of the most recent certification, and the type of work the firm has been certified to perform as an ACDBE.

The UCP will ensure that the Directory lists each type of work for which a firm is eligible to be certified by using the most specific NAICS code available to describe each type of work. The UCP will make any changes to the current directory entries necessary to meet the requirements of this paragraph.

The UCP revises the Directory at the beginning of each business week. The Directory is available at the website: <http://www.dot.state.ak.us/cvlrts/directory.shtml> or the Kenai Airport Administrative Office, 305 N. Willow St., Suite 200, Kenai, AK 99611, telephone 907-283-8281. The Directory may be found in Attachment B to this program document. (26.31)

Section 23.25

Ensuring Nondiscriminatory Participation of ACDBEs

The City of Kenai will take the following measures to ensure nondiscriminatory participation of ACDBEs in concessions, and other covered activities (23.25(a)).

We will ensure that the following assurances will be in all concession agreements and management contracts the City executes and is placed in every contract and subcontract:

“This agreement is subject to the requirements of the U.S. Department of Transportation’s regulations, 49 CFR Part 23. The concessionaire or contractor agrees that it will not discriminate against any business owner because of the owner’s race, color, national origin, or sex in connection with the award or performance of any concession agreement, management contract, or subcontract, purchase or lease agreement, or other agreement covered by 49 CFR Part 23.

“The concessionaire or contractor agrees to include the above statements in any subsequent concession agreement or contract covered by 49 CFR Part 23, that it enters and cause those businesses to similarly include the statements in further agreements.”

The City of Kenai will seek ACDBE participation in all types of concession activities, rather than concentrating participation in one category or a few categories to the exclusion of others. (23.25(c))

The City of Kenai’s overall goal methodology, a description of the race-neutral measures it will take to meet the goals are described in Section 23.25 and Appendix C of this plan. The goals are set consistent with the requirements of Subpart D. (23.25(b), (d))

If the City of Kenai projects that race-neutral measures alone, are not sufficient to meet an overall goal, it will use race-conscious measures as described in Section 23.25(e) (1-2) and Appendix C and D of this plan. (23.25(e))

The City of Kenai will require businesses subject to ACDBE goals at the airport (except car rental companies) to make good faith efforts to explore all available options to meet goals, to the maximum extent practicable, through direct ownership arrangements with ACDBEs. (23.25(f))

The City of Kenai will not use set-asides or quotas as a means of obtaining ACDBE participation. (23.25(g)).

Section 23.27 Reporting

We will retain sufficient basic information about our ACDBE program implementation, ACDBE certification and the award and performance of agreements and contracts to enable the FAA to determine our compliance with Part 23. This data will be retained for a minimum of 3 years following the end of the concession agreement or other covered contract.

Beginning March 1, 2006, we will submit to the FAA Regional Civil Rights Office, an annual ACDBE participation report on the form in Appendix A of Part 23.

Section 23.29 Compliance and Enforcement Procedures

The City of Kenai will take the following monitoring and enforcement mechanisms to ensure Compliance with 49 CFR Part 23:

1. The City of Kenai will bring to the attention of the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g. referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil penalties rules) provided in 26.107.
2. We will consider similar action under our own legal authorities, including responsibility determinations in future contracts. We have listed the regulations, provisions, and contract remedies available to us in the events of non-compliance with the ACDBE regulation by a participant in our procurement activities (see Attachment D). (26.37)

SUBPART C – CERTIFICATION AND ELIGIBILITY

Section 23.31 The City of Kenai will use the certification standards of Subpart D Part 26 to determine the eligibility of firms to participate as ACDBEs in our concession programs.

The City of Kenai is a member of the Alaska Certification Program (AUCP) administered by the State of Alaska DOT/PF which will make certification decisions on behalf of the City of Kenai for ACDBEs.

The AUCP directory of eligible DBEs specifies whether a firm is certified as a DBE for purposes of Part 26, and ACDBE for purposes of Part 23, or both.

For information about the certification process or to apply for certification, firms should contact:

State of Alaska DOT/PF-Civil Rights Office
P.O. Box 196900
Anchorage, AK 99519-6900
Tel:907.269.0853
<http://www.dot.state.ak.us>

The Uniform Application Form found in Appendix F to Part 26 with additional instruction as stated in 23.39(g).

The State of Alaska DOT/PF will review the eligibility of currently certified ACDBE's to make sure that they meet the standards of Part 23.

SUBPART D – GOALS, GOOD FAITH EFFORTS, AND COUNTING

Section 23.41 Basic Overall Goal Requirement

The City of Kenai will establish two separate overall ACDBE goals; one for car rentals and another for concessions other than car rentals. The overall goals will cover a three year period and the sponsor will review the goals annually to make sure the goal continues to fit the sponsor's circumstances. We will report any significant overall goal adjustments to the FAA.

If the average annual concession revenues for car rentals over the preceding 3 years do not exceed \$200,000, we need not submit an overall goal for car rentals. Likewise, if the average annual concession revenues for concessions other than car rentals over the preceding 3 years do not exceed \$200,000, we need not submit an overall goal for concessions other than car rentals. We understand that "revenue" means total revenue generated by concessions, not the fees received by the airport from concessionaires.

The City of Kenai's overall goals will provide for participation by all certified ACDBEs and will not be subdivided into group-specific goals.

Section 23.43 Consultation in Goal Setting

The City of Kenai consults with stakeholders before submitting the overall goals to the FAA. Stakeholders will include, but not be limited to, minority and women's business groups, community organizations, trade associations representing concessionaires currently located at the airport, as well as existing concessionaires themselves, and other officials or organizations which could be expected to have information concerning the availability of disadvantaged businesses, the effects of discrimination on opportunities for ACDBEs, and the sponsors efforts to increase participation of ACDBEs.

When submitting our overall goals, we will identify the stakeholders that we consulted with and provide a summary of the information obtained from the stakeholders.

Section 23.45 Overall Goals

The City of Kenai is a nonhub airport. As a condition of eligibility for FAA financial assistance, the sponsor will submit its overall goals according to the following schedule:

Primary Airport Size	Region	Date Due	Period Covered	Next Goal Due
Non-Hubs	All Regions	October 1, 2019	2020/2021/2022	October 1, 2022 (2023/2024/2025)

If a new concession opportunity arises at a time that falls between the normal submission dates above and the estimated average of annual gross revenues are anticipated to be \$200,000 or

greater, the City of Kenai will submit an appropriate adjustment to our overall goal to FAA for approval no later than 90 days before issuing the solicitation for the new concession opportunity. (23.45i)

The sponsor will establish overall goals in accordance with the 2-step process as specified in section 23.51. After determining the total gross receipts for the concession activity, the first step is to determine the relative availability of ACDBEs in the market area, "base figure". The second step is examine all relevant evidence reasonably available in the City of Kenai's jurisdiction to determine if an adjustment to the Step 1 "base figure" is necessary so that the goal reflects as accurately as possible the ACDBE participation the City of Kenai would expect in the absence of discrimination. Evidence may include, but is not limited to past participation by ACDBEs, a disparity study, evidence from related fields that affect ACDBE opportunities to form, grow, and compete (such as statistical disparities in ability to get required financing, bonding, insurance; or data on employment, self-employment, education, training and union apprenticeship)

The City of Kenai will arrange solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitate participation by ACDBEs and other small businesses and by making contracts more accessible to small businesses, by means such as those provided under § 26.39 of this part.

A description of the methodology to calculate the overall goal for car rentals, the goal calculations, and the data we relied on can be found in Attachment E to this program.

A description of the methodology to calculate the overall goal for concessions other than car rentals, the goal calculations, and the data we relied on can be found in Attachment D to this program.

Projection of Estimated Race-Neutral & Race-Conscious Participation (23.45(f), 23.25(d-e))

The breakout of estimated race-neutral and race-conscious participation can be found with the goal methodology in Attachments D and E to this program. This section of the program will be reviewed annually when the goal calculation is reviewed under 23.41(c).

Concession Specific Goals (23.25(c)(e)(1)(iv))

The City of Kenai will use concession specific goals to meet any portion of the overall goals the City of Kenai does not project being able to meet using race-neutral means. Concession specific goals are established so that, over the period to which the overall goals apply, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

We will establish concession goals only on those concessions that have direct ownership arrangements (except car rentals), subleases, or subcontracting possibilities. We will require businesses subject to ACDBE goals at the airport (except car rental companies) to make good faith efforts to explore all available options to meet goals, to the maximum extent practicable,

through direct ownership arrangements with DBEs (23.25(f)). Car rental firms are not required to change their corporate structure to provide for direct ownership arrangements. In the case of a car rental goal, where it appears that all or most of the goal is likely to be met through the purchases by car rental companies of vehicles or other goods or services from ACDBEs, one permissible alternative is to structure the goal entirely in terms of purchases of goods and services.)

We need not establish a concession specific goal on every such concession, and the size of concession specific goals will be adapted to the circumstances of each such concession (e.g., type and location of concession, availability of ACDBEs.)

If the objective of a concession specific goal is to obtain ACDBE participation through direct ownership with an ACDBE, the City of Kenai will calculate the goal as a percentage of the total estimated annual gross receipts from the concession. (23.25(e)(1)(i))

If the concession specific goal applies to purchases and/or leases of goods and services, the City of Kenai will calculate the goal by dividing the estimated dollar value of such purchases and/or leases from ACDBEs by the total estimated dollar value of all purchases to be made by the concessionaire. (23.25(e)(1)(ii))

Good Faith Efforts on Concession Specific Goals (23.25(e)(1)(iii),(iv))

To be eligible to be awarded a concession that has a concession specific goal, bidders/offers must make good faith efforts to meet the goal. A bidder/offeror may do so either by obtaining enough ACDBE participation to meet the goal or by documenting that it made sufficient good faith efforts to do so. (23.25(e)(1)(iv)). Examples of good faith efforts are found in Appendix A to 49 CFR Part 26. The procedures applicable to 49 CFR Section 26.51 and 26.53, regarding contract goals apply to the City of Kenai's concession specific goals. Specifically,

Section 26.53 Good Faith Efforts Procedures

Demonstration of good faith efforts (26.53(a) & (c))

The obligation of the bidder/offeror is to make good faith efforts. The bidder/offeror can demonstrate that it has done so either by meeting the contract goal or documenting good faith efforts. Examples of good faith efforts are found in Appendix A to Part 26.

The City of Kenai is responsible for determining whether a bidder/offeror who has not met the contract goal has documented sufficient good faith efforts to be regarded as responsible.

We will ensure that all information is complete and accurate and adequately documents the bidder/offeror's good faith efforts before we commit to the performance of the contract by the bidder/offeror.

Information to be submitted (26.53(b))

In our solicitation for concession contracts for which a contract goal has been established, we will require the following:

- (1) Award of the contract will be conditioned on meeting the requirements of this section;
- (2) All bidders or offerors will be required to submit the following information to the recipient, at the time provided in paragraph (b)(3) of this section:
 - (i) The names and addresses of ACDBE firms that will participate in the contract;
 - (ii) A description of the work that each ACDBE will perform. To count toward meeting a goal, each ACDBE firm must be certified in a NAICS code applicable to the kind of work the firm would perform on the contract;
 - (iii) The dollar amount of the participation of each ACDBE firm participating;
 - (iv) Written documentation of the bidder/offeror's commitment to use an ACDBE sub-concession whose participation it submits to meet a contract goal; and
 - (v) Written confirmation from each listed ACDBE firm that it is participating in the contract in the kind and amount of work provided in the prime concessionaire's commitment.
 - (vi) If the contract goal is not met, evidence of good faith efforts (see Appendix A of this Part). The documentation of good faith efforts must include copies of each ACDBE and non-ACDBE sub-concession quote submitted to the bidder when a non-ACDBE sub-concession was selected over an ACDBE for work on the contract; and
- (3) The City of Kenai will require that the bidder/offeror present the information required by paragraph (b)(2) of this section.

Administrative reconsideration (26.53(d))

Within 15 days of being informed by the City of Kenai that it is not responsible because it has not documented sufficient good faith efforts, a bidder/offeror may request administrative reconsideration. Bidder/offeror should make this request in writing to the following reconsideration official:

City Manager
210 Fidalgo Avenue, Suite 200
Kenai, Alaska 99611
Tel: 283-8222

The reconsideration official will not have played any role in the original determination that the bidder/offeror did not document sufficient good faith efforts.

As part of this reconsideration, the bidder/offeror will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder/offeror will have the opportunity to meet in person with our reconsideration official to discuss the issue of whether it met the goal or made adequate good

faith efforts to do. We will send the bidder/offeror a written decision on reconsideration, explaining the basis for finding that the bidder/offeror did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

Good Faith Efforts when an ACDBE is replaced on a concession (26.53(f))

The City of Kenai will require a concessionaire to make good faith efforts to replace an ACDBE that is terminated or has otherwise failed to complete its concession agreement, lease, or subcontract with another certified ACDBE, to the extent needed to meet the concession specific goal. We will require the concessionaire to notify the ACDBELO immediately of the ACDBEs inability or unwillingness to perform and provide reasonable documentation.

In this situation, we will require the concessionaire to obtain our prior approval of the substitute ACDBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts.

We will provide such written consent only if we agree, for reasons stated in our concurrence document, that the prime concession has good cause to terminate the ACDBE firm. For purposes of this paragraph, good cause includes the following circumstances:

- (1) The listed ACDBE sub-concession fails or refuses to execute a written contract;
- (2) The listed ACDBE sub-concession fails or refuses to perform the work of its sub-concession in a way consistent with normal industry standards. Provided however, that good cause does exist if the failure or refusal of the ACDBE sub-concession to perform its work on the sub-concession results from the bad faith or discriminatory action of the prime contractor;
- (3) The listed ACDBE sub-concession fails or refuses to meet the prime concession's reasonable, non-discriminatory bond requirements.
- (4) The listed ACDBE sub-concession becomes bankrupt, insolvent, or exhibits credit unworthiness;
- (5) The listed ACDBE sub-concession is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215 and 1,200 or applicable state law;
- (6) We have determined that the listed ACDBE subcontractor is not responsible;
- (7) The listed ACDBE sub-concession voluntarily withdraws from the project and provides to us written notice of its withdrawal;
- (8) The listed ACDBE is ineligible to receive ACDBE credit for the type of work required;
- (9) An ACDBE owner dies or becomes disabled with the result that the listed ACDBE concession is unable to complete its work on the contract;
- (10) Other documented good cause that we have determined compels the termination of the ACDBE sub-concession. Provided, that good cause does not exist if the prime concession seeks to terminate an ACDBE it relied upon to obtain the contract so that the prime concession can self-perform the work for which the ACDBE concession was

engaged or so that the prime contractor can substitute another ACDBE or non-ACDBE concession after contract award.

Before transmitting to us its request to terminate and/or substitute an ACDBE sub-concession, the prime concession must give notice in writing to the ACDBE sub-concession, with a copy to us, of its intent to request to terminate and/or substitute, and the reason for the request.

The prime concession must give the ACDBE five days to respond to the prime concession's notice and advise us and the concessionaire of the reasons, if any, why it objects to the proposed termination of its sub-concession and why we should not approve the prime concession's action. If required in a particular case as a matter of public necessity (e.g. safety), we may provide a response period shorter than five days.

The City of Kenai will require a concessionaire to make good faith efforts to replace an ACDBE that is terminated or has otherwise failed to complete its work on a concession with another certified ACDBE. These good faith efforts shall be directed at finding another ACDBE to perform at least the same amount of work under the concession contract as the ACDBE that was terminated, to the extent needed to meet the concession contract goal that we established for the procurement. The good faith efforts shall be documented by the concessionaire. If we request documentation from the concessionaire under this provision, the concessionaire shall submit their documentation to us within 7 days, which may be extended for an additional 7 days if necessary at the request of the concessionaire, and the recipient shall provide a written determination to the concessionaire stating whether or not good faith efforts have been demonstrated.

We will include in each prime concession contract the contract clause required by § 26.13(b) stating that failure by the concessionaire to carry out the requirements of this part is a material breach of the contract and may result in the termination of the concession contract or such other remedies set forth in that section that we deem appropriate if the prime concessionaire fails to comply with the requirements of this section.

Sample Proposal/Bid Specification:

The requirements of 49 CFR Part 23, regulations of the U.S. Department of Transportation, applies to this concession. It is the policy of the City of Kenai to practice nondiscrimination based on race, color, sex, or national origin in the award or performance of this contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this concession will be conditioned upon satisfying the requirements of this proposal/bid specification. These requirements apply to all concessions firms and suppliers, including those who qualify as an ACDBE. An ACDBE concession specific goal of ____ percent of (*annual gross receipts; value of leases and/or purchases of goods and services*) has been established for this concession. The concession firm shall make good faith efforts, as defined in Appendix A, 49 CFR Part 26 (Attachments C and D), to meet the concession specific goal for ACDBE participation in the performance of this concession.

The concession firm will be required to submit the following information: (1) the names and addresses of ACDBE firms and suppliers that will participate in the concession, (2) A description of the work that each ACDBE will perform; (3) The dollar amount of the participation of each ACDBE firm participating; (4) Written and signed documentation of commitment to use a ACDBE whose participation it submits to meet a contract goal; (5) Written and signed confirmation from the ACDBE that it is participating in the concession as provided in the prime concessionaire's commitment, and (6) If the contract goal is not met, evidence of good faith efforts.

Section 23.53 Counting ACDBE Participation for Car Rental Goals

We will count ACDBE participation toward overall goals other than car rental as provided in 49 CFR 23.53.

Section 23.55 Counting ACDBE Participation for Concessions Other than Car Rentals

We will count ACDBE participation toward goals other than car rental as provided in 49 CFR 23.55.

Section 23.57 (b) Goal shortfall accountability. If the awards and commitments on our Uniform Report of ACDBE Participation (found in Appendix A to this Part) at the end of any fiscal year are less than the overall goal applicable to that fiscal year, we will:

1. Analyze in detail the reasons for the difference between the overall goal and our awards and commitments in that fiscal year;
2. Establish specific steps and milestones to correct the problems we have identified in our analysis to enable us to fully meet our goal for the new fiscal year.
3. (ii) As an airport not meeting the criteria of paragraph (b)(3)(i) of this section, we will retain analysis and corrective actions in our records for three years and make it available to the FAA, on request, for their review.
4. We understand the FAA may impose conditions as part of its approval of our analysis and corrective actions including, but not limited to, modifications to our overall goal methodology, changes in our race-conscious/race-neutral split, or the introduction of additional race-neutral or race-conscious measures.
5. We understand we may be regarded as being in noncompliance with this part, and therefore subject to the remedies in §23.11 of this part and other applicable regulations, for failing to implement our ACDBE program in good faith if any of the following things occur:
 - (i) FAA disapproves our analysis or corrective actions; or
 - (ii) We do not fully implement:
 - (A) The corrective actions to which we have committed, or
 - (B) Conditions that FAA has imposed following review of our analysis and corrective actions.
 - (C) If information coming to the attention of FAA demonstrates that current trends make it unlikely that we, as an airport, will achieve ACDBE awards and commitments that would be necessary to allow us to meet our overall goal at the end of the fiscal year, FAA may require us to make further

good faith efforts, such as modifying our race-conscious/race-neutral split or introducing additional race-neutral or race-conscious measures for the remainder of the fiscal year.

Section 23.61 Quotas or Set-asides

We not use quotas or set-asides as a means of obtaining ACDBE participation.

SUBPART E – OTHER PROVISIONS

Section 23.71 Existing Agreements

We will assess potential for ACDBE participation when an extension or option to renew an existing agreement is exercised, or when a material amendment is made. We will use any means authorized by part 23 to obtain a modified amount of ACDBE participation in the renewed or amended agreement.

Section 23.73 Privately-Owned or leased Terminal Buildings *(not applicable)*

Section 23.75 Long-Term Exclusive Agreements

The City of Kenai will not enter into a long-term exclusive agreement for concessions without prior approval of the FAA Regional Civil Rights Office. We understand that a “long-term” agreement is one having a term of longer than 5 years. We understand that an “exclusive” agreement is one in which an entire category of a particular business opportunity is limited to a single business entity. If special, local circumstances exist that make it important to enter into a long-term and exclusive agreement, we will submit detailed information to the FAA Regional Civil Rights Office for review and approval.

Section 23.79 Geographic Preferences

We will not use a “local geographic preference”, i.e., any requirement that gives an ACDBE located in one place (e.g., Kenai Peninsula) an advantage over ACDBEs from other places in obtaining business as, or with, a concession at the airport.

ATTACHMENTS

Attachment A - Organizational Chart

Attachment B – Alaska Unified Certification Program DBE Directory

Attachment C – Monitoring and Enforcement Mechanisms

Attachment D – Overall Goal for Concessions Other Than Car Rental Calculation, Consultation, Breakout of Estimated Race-Neutral & Race- Conscious Participation

Attachment E - Overall Goals for Car Rentals Calculation, Consultation, Breakout of Estimated Race-Neutral & Race- Conscious Participation

Attachment F – Form 1 & 2 for Demonstration of Good Faith Efforts

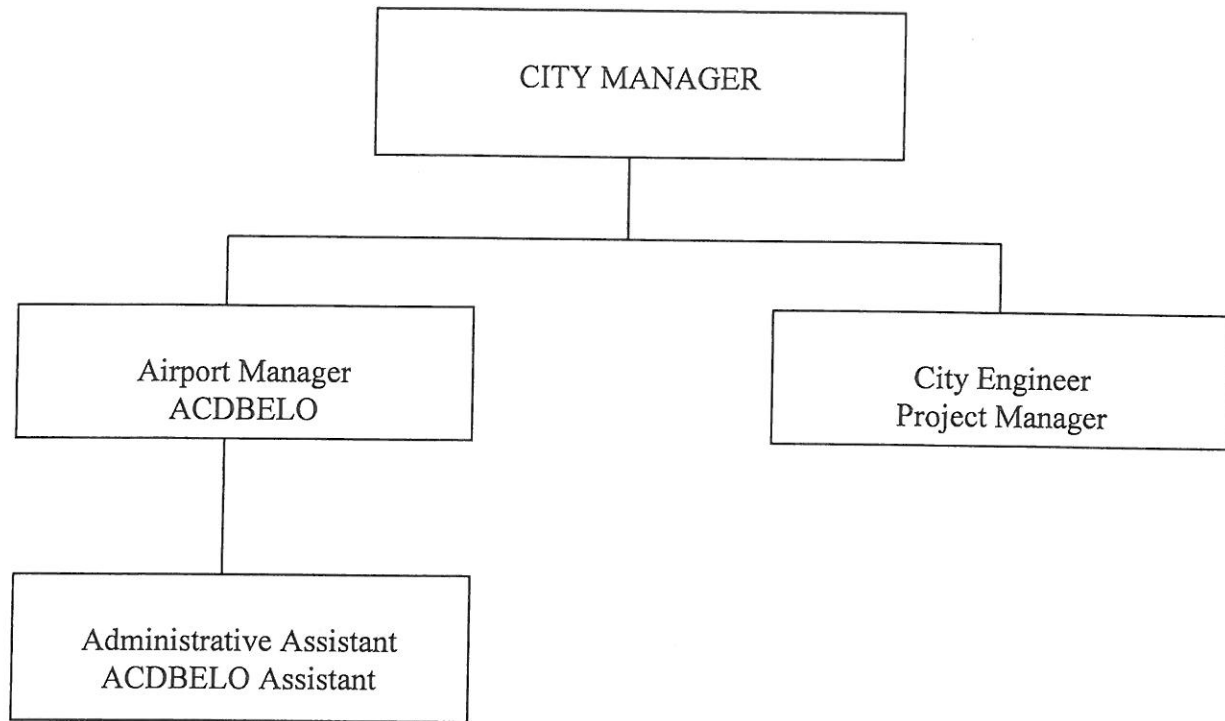
Attachment G – Certification Application Forms

Attachment H – Procedures for Removal of DBE's Eligibility

Attachment I – The Alaska Unified Certification Program Agreement

Attachment J – Regulations 49 CFR Part 23

City of Kenai
Organizational Chart for ACDBE Program



Alaska Department of Transportation & Public Facilities, Civil Rights Office

Alaska Unified Certification Program

Directory of Certified Disadvantaged Business Enterprises

Available at

www.dot.state.ak.cvlrts/directory

Attachment B

ACDBE Directory

CONCESSIONAIRE

None

Attachment C

Monitoring and Enforcement Mechanisms

The City of Kenai has several remedies available to enforce the ACDBE requirements contained in its contracts, including, but not limited to, breach of contract action, pursuant to the terms of the agreement/lease.

In addition, the federal government has available several enforcement mechanisms that it may apply to firms participating in the ACDBE program, including but not limited to, the following:

1. Suspension or debarment proceedings pursuant to 49 CFR Part 23 and 2 CFR parts 180 and 1200
2. Enforcement action pursuant to 49 CFR Part 31; and
3. Prosecution pursuant to 18 USC 1001.

The City of Kenai will implement various mechanisms to monitor program participants to ensure they comply with Part 23, including but not limited to the following:

1. Verification of DBE certification status
2. Request for certified activity reports, and;
3. Regular review of agreement/lease terms and conditions for compliance.

Attachment D

Section 23.45: Overall Goal Calculation for Concessions Other Than Car Rentals

Name of Recipient: City of Kenai

Airport: Kenai Municipal Airport

Goal Period: October 1, 2019 – September 30, 2022

Overall Three-Year Goal: .0075% to be accomplished through 100% Race Neutral Measures

The City of Kenai has determined that its market area is the State of Alaska.

The market area is the geographical area in which the substantial majority of firms which seek to do concessions business with the airport are located and the geographical area in which the firms receive a substantial majority of concessions related revenues are located.

Company	Type of Concession	City	State
Brother's Café	Food Service	Kenai	AK
Upper Deck	Bar/Lounge	Kenai	AK
Tyler Distributing	Vending/ATM	Kenai Peninsula	AK
Alaska Channel	Advertising	Anchorage	AK

Base of Goal

To calculate the base of the goal the City of Kenai considered the previous 3 years of gross concession receipts and the projected potential concession revenue (gross receipts) three years into the future including upcoming new opportunities.

Gross Receipts for Previous 3 Years – Non-Car Rental Concessions

Year	Concessions Revenue (Excluding Car Rental)
10/1/16-9/30/17	\$383,674
10/1/17-9/30/18	\$395,777
10/1/18-9/30/19	\$527,965
Total	\$1,307,416
Average	\$435,805

The City of Kenai does not estimate that revenues to existing concessions will grow over the next three years as a result of decreased enplanements.

The concession opportunities anticipated during this goal period are: Three (3) with estimated gross receipts of \$490,456.

The following are not included in the total gross receipts for concessions: (a) the gross receipts of car rental operations, (b) the dollar amount of a management contract or subcontract with a non-ACDBE, (c) the gross receipts of business activities to which a management contract or subcontract with a non-ACDBE pertains, and (d) any portion of a firm's estimated gross receipts that will not be generated from a concession.

If a new concession opportunity arises prior to the end of this goal period and the estimated average of annual gross revenues are anticipated to be \$200,000 or greater, the City of Kenai will submit to the FAA an appropriate adjustment to the overall goal. This will be submitted to FAA for approval no later than 90 days before issuing the solicitation for the new concession opportunity. (23.45(i)).

Step 1: 23.51(c)

We determined the base figure for the relative availability of ACDBEs other than car rentals. The base figure was calculated as follows:

Numerator: Ready, willing, and able non-car rental ACDBEs in the market area

_____ divided by _____

Denominator: All ready, willing and able non-car rental concession firms in the market area

The data source or demonstrable evidence used to derive the numerator was:

- The Alaska Unified Certification Program (AUCP) ACDBE Directory found at <http://www.dot.state.ak.us/cvlrts/directory.shtml> (August 26, 2019)

The data source or demonstrable evidence used to derive the denominator was Census Bureau Data as outlined in 23.51(c)(2). 722511,722211,42449,72241,45421,52232,54181,54185

NAICS	Type of Concession	Total ACDBE's	Total All Firms
722511	Full-Service Restaurants	1	578
722211	Limited-Service Restaurant	2	397
42449	Other Grocery and Related Products Merchant Wholesalers	1	30
72241	Drinking places	0	157
45421	Vending Machine Operators	1	5
52232	Financial Transactions Processing, Reserve and Clearinghouse Activities	0	8

54181	Advertising Agencies	3	23
54185	Display Advertising	1	1
	Total	9	1,199

There are a total of 9 ACDBE firms located in the State of Alaska. Using the codes listed above from the Census Bureau Data, there are 1,199 concession possibilities. When we divided the numerator by the denominator, we arrived at the base figure for our overall goal for non-car rental concessions of: .0075%

We can use an active participant list, which determines the number of ACDBEs that have participated or attempted to participate in our airport concessions program in previous years. In the history of the Kenai Municipal Airport there has only been 1 ACDBE. When we divide the number of ACDBEs who have participated or attempted to participate, 1, by the number of all businesses, 1,199, it does not aid in achieving a higher goal.

There are no other DOT recipients in the same or similar market area who have set an overall goal in compliance with this rule that we could meet.

Step 2: 23.51(d)

There is no historical ACDBE data to reference to make an adjustment to the Step 1 base figure therefore the City of Kenai is adopting its Step 1 base figure as its overall goal for this 3-year goal period.

There are no applicable disparity studies for the local market area or recent legal case information available to show any evidence of barriers to entry or competitiveness of ACDBEs.

PUBLIC PARTICIPATION

Consultation: Section 23.43

Concession growth is limited at the Kenai Airport. Prior to submitting this goal to the FAA, the City of Kenai consulted with the following stakeholders: Existing concessionaires currently located at the airport and the Department of Transportation & Public Facilities – Civil Rights Office in Anchorage, Alaska.

An email was sent out on August 30, 2019 to all current tenants, Alaska Civil Rights Office and the Alaska Small Business Development Center to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the impacts, if any, of discrimination on opportunities for ACDBEs and the City of Kenai's continuing efforts to establish a level playing field for the participation of ACDBEs. A copy of this email follows.

The City of Kenai, Kenai Airport, is in the process of establishing its Airport Concession DBE (ACDBE) goal participation for Federal Fiscal Year 2020 thru 2022. Anticipated ACDBE is required for recipients of grants for airport development any time after January 1988 that were

authorized under Title 49 of the US Code per the current edition located at <http://www.ecfr.gov/>. Thus based upon concession activity at the Kenai Airport an overall disadvantaged business goal of .0075% was determined for airport concessions excluding car rentals.

Further, do you know of any other impediments, which have or may impact minorities and/or women from effectively competing for airport concession business at the Kenai Airport owned by the City of Kenai?

We would appreciate your replying with any information you would be willing to offer. If you have any comments or questions, do not hesitate to contact me within two weeks of receipt of this email. The ACDBE Goal report will be available for review and comment for a period of 30 days at the administrative office at the Kenai Airport. Any and all information provided will be incorporated into the Airport's ACDBE Goal report and submitted to the FAA as required by federal regulations (49 CFR Part 23).

A meeting has been schedule for September 10th at 10am at the Kenai Library to provide a direct and interactive exchange of interested stakeholders to focus on obtaining information relevant to the goal setting process.

Meeting held at the Kenai Library September 10, 2019 to discuss new goals, concession opportunities, questions & comments. We worked with the Alaska Small Business Development Center. They reach out to clients in hopes to gain a larger audience for our face-to-face meeting.

No comments have been received.

Airport personnel attend the annual Civil Rights Conference in Anchorage in an effort to reach out to ACDBEs to inform of concession and project opportunities. Participate in the matchmaking event that makes it easier to connect with DBEs.

Breakout of Estimated Race-Neutral & Race Conscious Participation

Section 23.51

The City of Kenai will meet the maximum feasible portion of its overall goal by using race-neutral means of facilitating ACDBE participation. The City of Kenai uses the following race-neutral measures. We understand that we will be expected to actually take these steps, and this is not merely a paper exercise.

1. Locating and identifying ACDBEs and other small business who may be interested in participating as concessionaires under 49 CFR Part 23;
2. Notifying ACDBEs of concession opportunities and encouraging them to compete, when appropriate;

3. Providing technical assistance to ACDBEs in overcoming limitations; such as directing them to the Civil Rights Office in Anchorage.

We estimate that, in meeting our overall goal of .0075%, we will obtain 100% from race-neutral participation and 0% through race-conscious measures.

We believe that race-neutral measures alone are sufficient to achieve our goal. In order to ensure that our ACDBE program will be narrowly tailored to overcome the effects of discrimination, if we use concession specific goals we will adjust the estimated breakout of race-neutral and race conscious participation as needed to reflect actual ACDBE participation (see 26.51(f)) and we will track and report race-neutral and race conscious participation separately. For reporting purposes, race-neutral ACDBE participation includes, but is not necessarily limited to, the following: ACDBE participation through a prime contract that an ACDBE obtains through customary competitive procurement procedures; ACDBE participation through a subcontract on a prime contract that does not carry ACDBE goal; ACDBE participation on a prime contract exceeding a concession specific goal; and ACDBE participation through a subcontract from a prime contractor that did not consider a firm's ACDBE status in making the award.

We will maintain data separately on ACDBE achievements in those contracts with and without concession specific goals, respectively. We will complete all required FAA Annual Accomplishment Reporting and maintain files to provide actual to forecasted ACDBE goal results.

Attachment E

Section 23.45: Overall Goal Calculation for Car Rentals

Name of Recipient: City of Kenai

Airport: Kenai Municipal Airport

Goal Period: October 1, 2019-September 30, 2022

Overall Three-Year Goal: .0057%, to be accomplished through Race-Neutral measures

The City of Kenai has determined the market area is the State of Alaska.

The market area is the geographical area in which the substantial majority of firms which seek to do concessions business with the airport are located and the geographical area in which the firms receive a substantial majority of concessions related revenues are located.

Base of Car Rental Goal

To calculate the base of the goal the City of Kenai considered the previous 3 years of gross concession receipts and the projected potential concession revenue (gross receipts) three years into the future including upcoming new opportunities.

Gross Receipts (Revenue) for Previous 3 Years – Car Rental Concessions

Year	Concessions Revenue
10/1/16-9/30/17	\$1,578,119
10/1/17-9/30/18	\$1,832,664
10/1/18-9/30/19	\$1,486,219
Total	\$4,897,002
Average	\$1,632,334

The City of Kenai does not anticipate any major changes that would increase or decrease concession revenues over the next three years. Therefore, the City of Kenai's base of goal is the average car rental revenue of \$1,632,334.

If a new concession opportunity arises prior to the end of this goal period and the estimated average of annual gross revenues are anticipated to be \$200,000 or greater, the City of Kenai will submit to the FAA an appropriate adjustment to the overall goal. This will be submitted to the FAA for approval no later than 90 days before issuing the solicitation for the new concession opportunity. (23.45(i)).

Methodology used to Calculate Overall Goal

Goods and Services

We can meet the percentage goal by including the purchase from ACDBEs of goods and services used in businesses conducted at the airport. The dollar value from purchases of goods and services from ACDBEs may be added to the numerator, and the dollar value from purchases of goods and services from all firms (ACDBEs and non-ACDBEs) may be added to the denominator.

Step 1: 23.51(c)

We determined the base figure for the relative availability of car rental ACDBEs. The base figure was calculated as follows:

Numerator: Ready, willing, and able car rental ACDBEs in the market area

_____ Divided by _____

Denominator: All ready, willing and able car rental concession firms in the market area

The data source or demonstrable evidence used to derive the numerator was: the DBE directory as outlined in 23.51(c)(2).

The data source or demonstrable evidence used to derive the denominator was: the Census Bureau Data as outlined in 23.51(c)(2).

NAICS	Description	DBE's	All firms ready, willing & able (including DBE's)
532111	Passenger car rental & leasing	0	58
52421	Insurance	1	212
44132	Tire Dealers	0	33
42312	Motor Vehicle Supplies & New Parts Wholesaler	0	27
811192	Carwashes	0	0
811191	Auto Oil Change & Lubrication	0	10
811198	All Other Automotive Repair & Maintenance	0	6
48423	Auto Transport	1	24
42472	Fuel/Oil	1	15
561621	Security Systems Services	1	18
33422	GPS Devices	0	1
423850	Cleaning Supplies	0	6

541110	Legal Services	0	367
453210	Office Supplies	1	17
488410	Roadside Assist/Towing	0	23
323111	Printing	0	0
423130	Tires	0	2
811122	Windshield Repair	0	26
812331	Uniforms	0	1
441110	Car Dealers	0	36
	Total	5	882

When we divided the numerator by the denominator we arrived at the base figure for our overall goal for car rental concessions of: .0057.

Step 2: Adjusting the Base Figure

After calculating a base figure of the relative availability of ACDBEs, we examined evidence to determine what adjustment was needed to the step 1 base figure in order to arrive at the overall goal.

The Airport's base figure will not be adjusted. Our overall goal for car rental concessions is .0057%, but the Kenai Municipal Airport will encourage rental car concessionaires to utilize ACDBE participation in their operations and services. The data used to determine no adjustment to the base figure was:

Past History Participation

We can use an active participant list which determines the number of car rental ACDBEs that have participated or attempted to participate in our airport in previous years. There has only been 1 car rental ACDBE. When we divide the number of car rental ACDBEs who have participated or attempted to participate, 1, by the number of all car rentals and services, 882, we now have a lesser goal of .0011%.

There is no historical ACDBE data to reference to make an adjustment to the Step 1 base figure therefore the City of Kenai is adopting its Step 1 base figure as its overall goal for this 3-year goal period knowing we will not be able to meet this goal.

Disparity Study

There are no applicable disparity studies for the local market area or recent legal case information available to show any evidence of barriers to entry or competitiveness of ACDBEs.

Goal of Another Recipient

There is not another airport or DOT recipient in the same, or substantially similar market that has set an overall goal in compliance with this rule, that we could use and be able to meet.

PUBLIC PARTICIPATION

Consultation: Section (23.43)

Concession growth is limited at the Kenai Airport. Prior to submitting this goal to the FAA, the City of Kenai consulted with the following stakeholders: Existing concessionaires currently located at the airport and the Department of Transportation & Public Facilities – Civil Rights Office in Anchorage, Alaska.

A summary of the information these stakeholders provided follows:

No comments have been received.

Airport personnel attend the annual Civil Rights Conference in Anchorage in an effort to reach out to ACDBEs to inform of concession and project opportunities. Participate in the match-making event that makes it easier to connect with DBEs.

Meeting held at the Kenai Library September 10, 2019 to discuss new goals, concession opportunities, questions & comments. We worked with the Alaska Small Business Development Center. They reach out to clients in hopes to gain a larger audience for our face-to-face meeting.

No comments have been received.

An email was sent out August 30, 2019 to all current tenants, Alaska Civil Rights Office and the Alaska Small Business Development Center to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the impacts, if any, of discrimination on opportunities for ACDBEs and the City of Kenai's continuing efforts to establish a level playing field for the participation of ACDBEs. A copy of this email follows.

The City of Kenai, Kenai Municipal Airport, is in the process of establishing its Airport Concession DBE (ACDBE) goal participation for Federal Fiscal Year 2020 thru 2022. Anticipated ACDBE is required for recipients of grants for airport development any time after January 1988 that were authorized under Title 49 of the US Code per the current edition located at <http://www.ecfr.gov/>. Thus based upon concession activity at the Kenai Airport an overall disadvantaged business goal of .0057% was determined for airport concession car rentals.

Further, do you know of any other impediments, which have or may impact minorities and/or women from effectively competing for airport concession business at the Kenai Airport owned by the City of Kenai?

We would appreciate your replying with any information you would be willing to offer. If you have any comments or questions, do not hesitate to contact me within two weeks of receipt of this email. The ACDBE Goal report will be available for review and comment for a period of 30 days at the administrative office at the Kenai Airport. Any and all information provided will be

incorporated into the Airport's ACDBE Goal report and submitted to the FAA as required by federal regulations (49 CFR Part 23).

A meeting has been schedule for September 10th at 10am at the Kenai Library to provide a direct and interactive exchange of interested stakeholders to focus on obtaining information relevant to the goal setting process.

Breakout of Estimated Race-Neutral & Race Conscious Participation
Section 23.51

The City of Kenai will meet the maximum feasible portion of its overall goal by using race-neutral means of facilitating ACDBE participation. The City of Kenai uses the following race-neutral means to increase ACDBE participation.

We understand that we will be expected to actually take these steps, and this is not merely a paper exercise.

1. Locating and identifying ACDBEs and other small business who may be interested in participating as concessionaires under 49 CFR Part 23;
2. Notifying ACDBEs of concession opportunities and encouraging them to compete, when appropriate;
3. When practical, structure concession activities to encourage and facilitate the participation of ACDBEs;
4. Ensuring that competitors for concession opportunities are informed during presolicitation meetings about how the City of Kenai's ACDBE program will affect the procurement process;

We estimate that, in meeting our overall goal of .0057%, we will obtain .0057% from race-neutral participation and 0% through race-conscious measures.

The following is a summary of the basis of our estimated breakout of race-neutral and race-conscious ACDBE participation:

1. ACDBE participation on concession leases that did not have ACDBE requirements;
2. Data from private sector participation;

If we project that race-neutral measures, standing alone, are not sufficient to meet an overall goal, we will use the following race-conscious measures to meet the overall goal:

1. We will establish concession-specific goals for particular concession opportunities;

2. With prior FAA approval, other methods that take a competitor's ability to provide ACDBE participation into account in awarding a concession.

In order to ensure that our ACDBE program will be narrowly tailored to overcome the effects of discrimination, if we use concession specific goals we will adjust the estimated breakout of race-neutral and race-conscious participation as needed to reflect actual ACDBE participation (see 26.51(f)) and we will track and report race-neutral and race conscious participation separately. For reporting purposes, race-neutral ACDBE participation includes, but is not necessarily limited to, the following: ACDBE participation through a prime contract that an ACDBE obtains through customary competitive procurement procedures; ACDBE participation through a subcontract on a prime contract that does not carry ACDBE goal; ACDBE participation on a prime contract exceeding a concession specific goal; and ACDBE participation through a subcontract from a prime contractor that did not consider a firm's ACDBE status in making the award.

We will maintain data separately on ACDBE achievements in those contracts with and without concession specific goals, respectively.

Forms 1 & 2 for Demonstration of Good Faith Efforts

FORM 1: AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid/proposal specification in the following manner (please check the appropriate space):

_____The bidder/offeror is committed to a minimum of __% ACDBE utilization on this contract.

_____The bidder/offeror (if unable to meet the ACDBE goal of __%) is committed to a minimum of __% ACDBE utilization on this contract submitted documentation demonstrating good faith efforts.

Name of bidder/offeror's firm: _____

State Registration No. _____

BY: _____
(Signature) Title

FORM 2: LETTER OF INTENT

Name of bidder/offeror's firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Name of ACDBE firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____

Description of work to be performed by ACDBE firm:

The bidder/offeror is committed to utilizing the above-named ACDBE firm for the work described above. The estimated dollar value of this work is \$_____.

Affirmation

The above-named ACDBE firm affirms that it will perform the portion of the contract for the estimated dollar value as stated above.

BY: _____ TITLE: _____
(Signature)

If the bidder/offeror does not receive award of the prime contract, any and all representations in this letter of Intent and Affirmation shall be null and void.

Alaska Unified Certification Program

Disadvantaged Business Enterprise Application

Available at

www.dot.state.ak.us/cvlrts/dbecert.shtml

Attachment G

Certification Application Forms

Required certification forms and affidavit of personal net worth the ACDBE must complete.

Attachment H

Procedures for Removal of ACDBEs Eligibility

The AUCP will take the following steps should they choose to remove a DBE's certification or receive notification of decertification or ineligibility from another recipient under the below circumstances;

A. Ineligibility complaints:

1. Any individual must submit a written complaint with the AUCP alleging that a currently certified DBE is ineligible and specifying the reasons why;
2. The AUCP will conduct a complete review of their records concerning the firm, any material provided by the firm and the complainant, and other available information. The AUCP may request additional information from the firm or conduct any other investigation that the AUCP deems necessary;
3. If there is reasonable cause to believe a firm is ineligible, the DBE will be sent written notice that the AUCP proposes to find the firm ineligible and the reasons for the proposed determination;
4. If reasonable cause for decertification does not exist, the AUCP will notify the complainant and the DBE of the determination and the reasons why.

B. Recipient-initiated proceedings:

1. If, based on notification by the firm of a change in its circumstances or any information that comes to the AUCP's attention, the AUCP determines that there is reasonable cause to believe that a currently certified firm is ineligible, written notice will be sent to the firm that the AUCP proposes to find the firm ineligible, setting forth the reasons for the proposed determination. The statement of reasons for the finding of reasonable cause will specifically reference the evidence in the record on which each reason is based.

C. DOT directive to initiate proceedings:

1. If the DOT operating administration determines that information in the AUCP's certification records, or other information available to the DOT, provides reasonable cause to believe that a firm the AUCP certified does not meet the eligibility criteria of this part, the DOT operating administration may direct the AUCP to initiate a proceeding to remove the firm's certification.

2. The DOT operating administration must provide the AUCP and the DBE a written notice stating the reasons for the directive, including any relevant documentation or other information.
3. The AUCP will immediately commence and prosecute a proceeding to remove the DBE's eligibility as provided in paragraph (B) above.

D. Hearing.

1. When the AUCP notifies a firm that there is reasonable cause to remove its eligibility, as provided in paragraph (A), (B), or (C) of this section, the AUCP will give the firm an opportunity for an informal hearing, at which time the firm may respond to the reasons for the proposal to remove its eligibility in person and provide information and arguments concerning why it should remain certified.
2. The firm will be provided written notice of the decision and the reasons for it. The notice will also inform the firm of its appeals rights to the Department of Transportation.

All proceedings to decertify a DBE will be done in accordance with §26.87 of the Federal Regulations.

State's UCP Agreement

<http://dot.alaska.gov/cvlrts/forms/aucp-agreement.pdf>

Regulations: 49 CFR Part 23

https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title49/49cfr23_main_02.tpl