

Council Communication

Office of the City Manager

Date: December 17, 2012

Agenda Item No. 9 Roll Call No.

Communication No. <u>12-629</u>

Submitted by: Jeb E. Brewer, P.E.,

City Engineer

AGENDA HEADING:

Approving Iowa Department of Transportation (IDOT) Standard Title VI Assurances, Agreement, and City of Des Moines Title VI Policy Statement and Implementation Procedures.

SYNOPSIS:

Recommend approval of the IDOT Title VI Assurances, Agreement, and City of Des Moines Title VI Policy Statement and Implementation Procedures, as included in this Council Communication.

Title VI of the Civil Rights Act of 1964 is a Federal law that protects individuals and groups from discrimination on the basis of their race, color and national origin in programs and activities that receive Federal financial assistance. Pursuant to 23 U.S.C. § 302, the Federal Highway Administration (FHWA) primary recipients are the state highway (transportation) agencies. In Iowa, the IDOT is the primary recipient. The IDOT and its subrecipients and contractors, are all required to prevent discrimination and ensure nondiscrimination in all transportation-related programs and activities whether they are Federally funded or not.

Subrecipients of Federal assistance include cities, counties, contractors, consultants, suppliers, universities, colleges, transit agencies, and regional and metropolitan planning agencies. The IDOT now requires all subrecipients of Federal funds, including City of Des Moines, to provide the IDOT certain documentation before Local Public Agencies, such as the City, can enter into agreements for Federal funding assistance for transportation-related projects. This documentation includes the Standard Title VI Assurances, and the Title VI Agreement which also outlines the Local Public Agency implementation procedures.

FISCAL IMPACT:

Failure to enter into the assurances and agreement will result in the city of Des Moines losing eligibility for federal transportation funds.

Amount: N/A

Funding Source: N/A

ADDITIONAL INFORMATION:

Federally assisted programs include any transportation project, program or activity for the provision of services and benefits. Transportation-related programs may include education, training, work opportunities, health, welfare, rehabilitation, housing, or other services, whether

provided directly by a recipient or indirectly by a subrecipient. A primary recipient is an entity or person that directly receives Federal financial assistance and/or manages a program or activity, which would subject them to Title VI compliance responsibilities. For Iowa's federally funded transportation projects, the IDOT is the primary recipient. A subrecipient is an entity or person that indirectly receives federal financial assistance to implement a program or activity, which subjects them to Title VI compliance responsibilities. A subrecipient may include a city, county, metropolitan, or regional planning organization, transit agency, college/university, contractor, or subgrantee. The City of Des Moines is considered a subrecipient, and thus is subject to Title VI compliance for transportation-related projects. Under IDOT's new compliance requirements, this requires the City to enter into a Title VI Agreement with IDOT, to provide Title VI Assurances to IDOT, and to implement a Title VI compliance plan as set forth in the Agreement

Subrecipients of federal financial assistance may adapt or adopt the IDOT's Title VI Program, procedures or practices; or must have a Title VI program, or signed assurance agreement, which, at a minimum, contain the following elements:

• Policy Statement

The policy statement must indicate the subrecipient's commitment to assure nondiscrimination in its program and activities to the effect that no person shall on the grounds of race, color, national origin, sex, age, disability or income status be excluded from participation in be denied the benefits of or be otherwise subjected to discrimination or retaliation under any federally or nonfederally funded program or activity administered by the subrecipient and/or its contractors. The policy statement must be signed by the head of the subrecipient's organization, which in the case of a city is its mayor.

• Title VI Liaison

The subrecipient must designate a liaison for Title VI issues and complaints within the organization. The liaison is the focal point for Title VI implementation and monitoring of programs and/or activities receiving federal financial assistance from the IDOT. Key responsibilities of the Title VI liaison include:

- Knowledge of Title VI and the complaint process.
- Attend training on Title VI and other nondiscrimination authorities when offered by the IDOT.
- Disseminate Title VI information to the public and in languages other than English, when necessary.
- Coordinate and execute Title VI educational and outreach activities.
- Develop a process to collect information on race, gender and national origin of persons relocated, impacted citizens and affected communities to ensure low-income, minorities and other under-served groups are included and not disproportionately impacted.
- Implement procedures for the prompt processing of Title VI discrimination complaints.
- Subrecipients must include notifications in all solicitations for bids of work or material and agreements subject to Title VI of the Civil Rights Act of 1964 and other nondiscrimination authorities. Subrecipient's contractor(s) may not discriminate in the selection and retention of any subcontractors. Subrecipients, contractors and subcontractors may not discriminate in their employment practices in connection with highway construction projects or Federal financially assisted projects. Subrecipients must provide, when requested, statistical data (race, color, national origin) of participants and beneficiaries of their programs. Data includes, but is not limited to, public meetings, relocations, low income and limited-English proficient individuals served. Subrecipients and contractors must take reasonable steps to provide meaningful access to Limited-English proficient (LEP) individuals. Among the

factors to be considered in determining what constitutes reasonable steps to ensure meaningful access are the:

- 1. Number or proportion of LEP persons in the eligible service population.
- 2. Frequency with which LEP individuals come in contact with the program or activity.
- 3. Importance of the service provided by the program.
- 4. Resources available to the recipient.

Implementation Procedures in the Title VI Agreement outline what is required of Local Public Agencies in order to be in accordance with Title VI requirements. The following are the proposed implementation procedures for the City of Des Moines:

1. The City of Des Moines shall issue a policy statement, signed by the head of the LPA, which expresses its commitment to the nondiscrimination provisions of Title VI. The policy statement shall be circulated throughout the LPA's organization and to the public. Such information shall be published where appropriate in languages other than English.

The following policy statement, once adopted by City Council, will be available at a link from the main page of the City of Des Moines website and posted at the City Clerk's counter.

TITLE VI POLICY STATEMENT

It is the policy of the City of Des Moines to comply with Title VI of the Civil Rights Act of 1964, Title VII of the Civil Rights Act 1964, The Federal-Aid Highway Act of 1973, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Acts of 1975, Civil Rights Restoration Act of 1987, Americans with Disabilities Act of 1990 (ADA), Title VIII of the Civil Rights Act 1968, Executive Order 12898 (Environmental Justice in minority and low income populations), and Executive Order 13166 (Limited English Proficiency).

To this end, the City of Des Moines assures that no person shall on **the grounds of race**, **color**, **national origin**, **sex**, **age**, **and disability be excluded from** participation in, be denied the benefits of, or be otherwise subjected to discrimination under any City of Des Moines service, program, or activity regardless of whether those programs and activities are Federally funded or not.

The City of Des Moines also assures that every effort will be made to prevent discrimination through the impacts of its programs, policies, and activities on minority and low-income populations. In addition, the department will take reasonable steps to provide meaningful access to services for persons with Limited English Proficiency. The City of Des Moines will, where necessary and appropriate, revise, update, and incorporate nondiscrimination requirements into appropriate manuals, directives, and regulations.

- 2. The City of Des Moines shall take affirmative action to correct any deficiencies found by the IDOT, Federal Highway Administration or U.S. Department of Transportation (USDOT) within a reasonable time period, not to exceed 90 days, to implement Title VI compliance in accordance with this agreement. The head of the LPA shall be held responsible for implementing Title VI requirements.
- 3. The City of Des Moines shall designate a Title VI coordinator who has a responsible position in the organization and easy access to the head of the LPA. The coordinator shall be responsible for implementing and monitoring Title VI activities and preparing required reports.

The City of Des Moines shall appoint the Assistant City Manager as the City of Des Moines Title VI Coordinator.

4. The City of Des Moines shall develop and implement a public involvement plan that includes low-income and minority community outreach and ensures those persons who are LEP can access services.

When the City conducts informational meetings for transportation-related projects; the City will provide interpretive services as needed for these meetings. Interpretive services are available, when needed, for property acquisition and relocation for transportation projects. Interpretive services must be arranged prior to the need, and currently the contact is initiated through the City of Des Moines Police Department. The respective transportation project provides the funding for these interpretive services.

5. The City of Des Moines shall process complaints of discrimination consistent with the provisions contained in this agreement. Investigations shall be conducted by civil rights personnel trained in discrimination complaint investigations. Identify each complainant by race, color, national origin or gender, the nature of the complaint, date the complaint was filed, date the investigation was completed, disposition, date of disposition, and other pertinent information. A copy of the complaint, together with a copy of the LPA's report of investigation, shall be forwarded to the IDOT's civil rights coordinator within 60 days of the date the complaint was received by the LPA.

The City Human Rights Director will investigate any Title VI complaints against non-City employees. Title VI complaints against City employees related to a transportation-related project would be investigated by the IDOT pursuant to Section IV.4 of the Title VI Non-Discrimination Agreement (Form 131024).

6. The City of Des Moines shall collect statistical data (race, color, national origin, age, gender, disability, LEP and income of populations in service area) of participants in, and beneficiaries of, the programs and activities conducted by the LPA.

The City will collect data for Real Estate issues (Acquisition and relocation) for transportation-related projects, using the IDOT Reporting Sheet form. For those transportation-related projects that require a public meeting, staff will observe attendees and provide narrative regarding the makeup of the population of potential beneficiaries.

7. The City of Des Moines shall conduct Title VI self-assessment of the LPA's program areas and activities, and of second-tier sub-recipients, contractor/consultant program areas and activities. Where applicable, revise policies, procedures and directives to include Title VI requirements. Ensure that programs, policies, and other activities do not have disproportionate adverse effects on minority and low-income populations.

The City will perform a self assessment performed when problems arise, and prior to annual report.

8. The City of Des Moines shall conduct training programs on Title VI and related statutes.

The City Human Rights Director will send mass email notification when the Human Rights Director conducts the annual human rights symposium. In addition, the Human Resources annual training for all City employees includes diversity and sexual harassment.

9. The City of Des Moines shall prepare a yearly report, when requested, of Title VI accomplishments and changes to the program covering the prior year, and identify goals and objectives for the coming year.

Data from Real Estates items (# 6 above) to be provided to the City Title VI Coordinator, and both plan and report (below) to be prepared by and sent by Title VI Coordinator. Use the IDOT Title VI Accomplishment Report form.

- o **Annual work plan:** Outline Title VI monitoring and review activities planned for the coming year; and indicate a target date for completion.
- o Accomplishment report: List major accomplishments made regarding Title VI activities. Include instances where Title VI issues were identified and discrimination was prevented. Indicate activities and efforts the Title VI coordinator and program area personnel have undertaken in monitoring Title VI. Include a description of the scope and conclusions of any special internal and external reviews conducted by the Title VI coordinator. List any major problem(s) identified and corrective action(s) taken. Include a summary and status report on any Title VI complaints filed with the LPA. Include a listing of complaints received against second-tier sub-recipients, if any, as well as a summary of complaints and actions taken.
- 10. The City of Des Moines shall include Title VI compliant language in all contracts to second-tier sub-recipients.

City of Des Moines Contract Compliance revisions required by Title VI:

• The following statement from - page 6 of 10 of I.M. No. 1.070 and also Item 2 on pages 1 and 2 of 9 from the Standard DOT Title VI Assurances - will be added to the City of Des Moines Contract Compliance Program, which includes the Equal Employment Opportunity (EEO) Program; this modification to the Contract Compliance Program will require approval by the City Council:

The City of Des Moines, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders or consultants, as applicable, that it will affirmatively insure that in any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit bids or proposals as applicable in response to an invitation by the City to submit bids/response to proposals, and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

• Since the statement from - page 6 of 10 of I.M. No. 1.070 and also Item 2 on pages 1 and 2 of 9 from the Standard DOT Title VI Assurances - will be added to the City of Des Moines Contract Compliance Program, the existing Proposal Form statement also needs to be modified so that the bidder acknowledges they have viewed the Contract Compliance Program; the acknowledge is verified, since the bidder is required to sign the Proposal.

Currently the Proposal Attachment, Part F, Item 2A of the bidding documents for construction projects states: "The Bidder hereby agrees to comply with the requirements of the City of Des Moines Contract Compliance Program, which is available from the City Engineer upon request or may be viewed at the following website http://www.dmgov.org/Departments/Engineering/PDF/ContractComplianceProgram.pdf".

The Proposal of the bidding documents will now reflect the following statement: "The Bidder hereby agrees to comply with the requirements of the City of Des Moines Contract Compliance Program, which is available from the City Engineer upon request, or may be viewed at the following website

http://www.dmgov.org/Departments/Engineering/PDF/ContractComplianceProgram.pdf, and has been viewed by the Bidder".

RFPs for Professional Services will include the following: **Contract Compliance:** All firms that submit proposals in response to this RFP agrees to comply with the requirements of the City of Des Moines Contract Compliance Program, which is available from the City Engineer upon request or may be viewed at the following website http://www.dmgov.org/Departments/Engineering/PDF/ContractComplianceProgram.pdf, and has been viewed by the Consultant.

Appendices Additions required by Title VI:

Clauses of Appendix A from the Standard DOT Title VI Assurance will be added to the standard specifications for construction projects; Appendix A was modified for the City of Des Moines. Appendix A will be added to all applicable (transportation) professional service agreements. Appendix A will be further modified to replace "contractor" with "Consultant" for consistency with standard agreement documents.

APPENDIX A

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

- 1. <u>Compliance with Regulations</u>: The contractor shall comply with the Regulations relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
- 2. Non-Discrimination: The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, national origin, sex, age, or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
- 3. Solicitations for Subcontracts, Including Procurement of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurement of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to non-discrimination on the grounds of race, color, national origin, sex, age, or disability.
- 4. <u>Information and Reports</u>: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant there to, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the City of Des Moines, the IDOT or Federal Highway Administration to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the City of Des Moines, the IDOT, or the Federal Highway Administration as appropriate, and shall set forth what efforts it has made to obtain the information.

- 5. <u>Sanctions for Non-Compliance</u>: In the event of the contractor's noncompliance with the non-discrimination provisions of this contract, the City of Des Moines shall impose such contract sanctions as it, the IDOT or the Federal Highway Administration may determine to be appropriate, including, but not limited to:
 - a. withholding of payments to the contractor under the contract until the contractor complies, and/or
 - b. cancellation, termination, or suspension of the contract, in whole or in part.
- 6. Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1)through (6) in every subcontract, including procurement of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement as the City of Des Moines, the IDOT or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the City of Des Moines or the IDOT to enter into such litigation to protect the interests of the City of Des Moines or the IDOT; and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

Clauses of Appendix B from the Standard DOT Title VI Assurance shall be included as a covenant running with the land, in any deed from the United States affecting a transfer of real property, structures, or improvements thereon, or interest therein; Appendix B was modified for the City of Des Moines.

APPENDIX B

GRANTING CLAUSE

"NOW, THEREFORE, the U.S. Department of Transportation, as authorized by law, and upon the condition that the City of Des Moines will accept title to the lands and maintain the project constructed thereon, in accordance with title 23, United States Code, the Regulations for the Administration of the Federal-Aid Program and the policies and procedures prescribed by the Federal Highway Administration of the Department of Transportation, also in accordance with and in compliance with all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter referred to as the Regulations) pertaining to and effectuating the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252; 42 U.S.C. 2000d to 2000d-4), does hereby remise, release, quitclaim and convey unto the City of Des Moines all the right, title and interest of the U.S. Department of Transportation in and to said lands described in Exhibit "A" attached hereto and made a part hereof."

HABENDUM CLAUSE

"TO HAVE AND TO HOLD said lands and interests therein unto conditions, restrictions and reservations herein contained as follows, which will remain in effect for the period during which the real property or structures are used for a purpose for which Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits and shall be binding on the City of Des Moines, its successors and assigns."

"The City of Des Moines, in consideration of the conveyance of said lands and interests in lands, does hereby covenant and agree as a covenant running with the land for itself, its successors and assigns, that (1) no person shall on the grounds of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination with regard to any facility located wholly or in part on, over or under such lands hereby conveyed [,] [and]* (2) that the City of Des Moines shall use the lands and interests in lands and, interests in lands so conveyed, in compliance with all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Non-discrimination in Federally-assisted programs of the Department of Transportation Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations may be amended, and (3) that in the event of breach of any of the above-mentioned nondiscrimination conditions, the U.S. Department of Transportation shall have a right to re-enter said lands and facilities on said land, and the above described land and facilities shall thereon revert to and vest in and become the absolute property of the U.S. Department of Transportation and its assigns as such interest existed prior to this instruction."*

* Reverter clause and related language to be used only when it is determined that such a clause is necessary in order to effectuate the purpose of Title VI of the Civil Rights Act of 1964.

Clauses of Appendix C from the Standard DOT Title VI Assurance shall be included as a covenant running with the land, in any future deeds, and also leases, permits, licenses, and similar agreements entered into by the Recipient with other <u>public agencies and not</u> individual property owners:

- (a) for the subsequent transfer of real property acquired or improved under the Federal-Aid Highway Program;
- (b) for the construction or use of or access to space on, over, or under real property acquired, or improved under the Federal-Aid Highway Program; Appendix C was modified for the City of Des Moines, and follows at the end of this document. Pursuant to the IDOT Right-of-Way office, Appendix C from the Standard DOT Title VI Assurance is not required to be included in deeds, condemnation applications, or other property conveyance documents when the City is acquiring property for a transportation-related project from a third party.

APPENDIX C

The following clauses shall be included in all respective deeds, and also licenses, leases, and permits, or similar instruments entered into by the Recipient, pursuant to the provisions of Assurance 7(a):

"The (grantee, license, lessee, permittee, etc., as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree (in the case of deeds and leases and "as a covenant running with the land") that in the event facilities are constructed, maintained, or otherwise operated on the said property described in this (deed, license, lease, permit, etc.) for a purpose for which a U.S. Department of Transportation program or activity is extended or for another purpose involving the provision of similar services or benefits, the (grantee, licensee, lessee, permittee, etc.,) shall maintain and operate such facilities and services in compliance with all other requirements imposed pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-

assisted programs of the Department of Transportation Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations may be amended."

Include in deeds*

"That in the event of breach of any of the above non-discrimination covenants, the City of Des Moines shall have the right to re-enter said lands and facilities thereon, and the above described lands and facilities shall thereupon revert to and vest in and become the absolute property of the State of Iowa and its assigns."

Include in licenses, leases, permits, etc.*

"That in the event of breach of any of the above non-discrimination covenants, the City of Des Moines shall have the right to terminate the (license, lease, permit, etc.) and to re-enter the repossess said land and the facilities thereon, and hold the same as if said (license, lease, permit, etc.) had never been made or issued."

The following shall be included in all deeds, licenses, leases, permits or similar agreements entered into by the Recipient, pursuant to the provisions of Assurance 7(b):

"The (grantee, licensee, lessee, permittee, etc., as appropriate) for himself/herself, his/her personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree (in the case of deeds, and leases add "as a covenant running with the land") that (1) no person on the ground of race, color, national origin, sex, age, or disability shall be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination in the use of said facilities, (2) that in the construction of any improvements on, over or under such land and the furnishing of services thereon, no person on the ground of race, color, national origins, sex, age, or disability, shall be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination, (3) that the (grantee, licensee, lessee, permittee, etc.) shall use the premises in compliance with all other requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Non-discrimination in Federally-assisted programs of the Department of Transportation Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations may be amended."

<u>Include in deeds*</u>

"That in the event of breach of any of the above non-discrimination covenants, the City of Des Moines shall have the right to re-enter said land and facilities thereon, and the above described lands and facilities shall thereupon revert to and vest in and become the absolute property of the State of Iowa, and its assigns."

Include in licenses, leases, permits, etc.*

"That in the event of breach of any of the above non-discrimination covenants, the City of Des Moines shall have the right to terminate the (license, lease, permittee, etc.) and to re-enter and repossess said land and the facilities thereon, and hold the same as if said (license, lease, permit, etc.) had never been made or issued."

* Reverter clause and related language to be used only when it is determined that such a clause is necessary in order to effectuate the purposes of Title VI of the Civil Rights Act of 1964.

PREVIOUS COUNCIL ACTION(S):

Date: February 28, 2011

Roll Call Number: 11-0377

Action: Approving the 2011 Revisions to the Des Moines Construction Bidding Policy. (Council

Communication No. 11-131). Moved by Hensley to adopt. Motion Carried 7-0.

Date: February 12, 2007

Roll Call Number: 07-291

<u>Action</u>: <u>Summary</u> of Bidding/Contracting Process Changes for construction of public improvements, February 2007. (<u>Council Communication No. 07-062</u>) Moved by Kiernan to adopt. Motion Carried

7-0.

BOARD/COMMISSION ACTION(S): NONE

ANTICIPATED ACTIONS AND FUTURE COMMITMENTS:

Departments shall implement and administer the Title VI requirements.

For more information on this and other agenda items, please call the City Clerk's Office at 515-283-4209 or visit the Clerk's Office on the first floor of City Hall, 400 Robert D. Ray Drive. Council agendas are available to the public at the City Clerk's Office on Thursday afternoon preceding Monday's Council meeting. Citizens can also request to receive meeting notices and agendas by email by calling the Clerk's Office or sending their request via email to cityclerk@dmgov.org.