



Yuma County Intergovernmental Public Transportation Authority

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NOTICE AND AGENDA OF THE REGULAR MEETING THE BOARD OF DIRECTORS OF THE YUMA COUNTY INTERGOVERNMENTAL PUBLIC TRANSPORTATION AUTHORITY

Pursuant to A.R.S. §38-431.02, notice is hereby given to the members of the Board of Directors of the Yuma County Intergovernmental Public Transportation Authority (“YCIPTA”) and to the general public that the Board of Directors will hold a meeting on:

MONDAY, June 27 2022 – 1:30 PM

**Yuma County Department of Development Services – Aldrich Hall
2351 West 26th Street -- Yuma, AZ, 85364**

Unless otherwise noted, meetings held at the above location are open to the public.

The Board of Directors may vote to go into executive session during the noticed meeting concerning any of the agenda items mentioned below. If authorized by the requisite vote of the Directors, the executive session will be held immediately after the vote and will not be open to the public. The executive session, if held, will be at the same meeting location set forth above. The discussion may relate to confidential matters permitted pursuant to A.R.S. §§ 38-431.03(A)(1)-(7). The Chairman or other presiding officer shall instruct the persons present at the executive session regarding the confidentiality requirements of the Open Meeting Laws.

Pursuant to the Americans with Disabilities Act, reasonable accommodation requests may be made by contacting the Transit Director at 928-539-7076, ext 101 (TTY/TDD - Arizona Relay Service 711). Requests should be made as early as possible to allow time to arrange the accommodation.

The agenda for the meeting is as follows:

CALL TO ORDER

PLEDGE OF ALLEGIANCE

CALL TO PUBLIC: The public is invited to speak on any item or any area of concern that is within the jurisdiction of the YCIPTA Board of Directors. The Board is prohibited by the Arizona Open Meeting Law from discussing, considering or acting on items raised during the call to the public, but may direct the staff to place an item on a future agenda. Individuals are limited to a five-minute presentation.

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Jerry Cabrera - Chairman - City of Somerton, Ralph Velez – Vice Chairman - City of San Luis,
Jay Simonton Sec/Treas– City of Yuma, Richard Marsh – Town of Wellton,
Brian Golding, Sr.-Quechan Tribe, Eric Holland – Cocopah Tribe, Ian McGaughey – Yuma County,
Susan M. Zambrano - Arizona Western College, Dr. Michael Sabath - Northern Arizona University

Shelly Kreger, Transit Director

CONSENT CALENDAR: The following items listed under the Consent Calendar will be considered as a group and acted upon by one motion with no separate discussion, unless a board member so requests. In that event, the item will be removed for separate discussion and action.

1. Adopt the May 31, 2022 regular session minutes. Action required. Pg 4

PROGRESS REPORTS:

1. Operations Manager Report/Maintenance Update– Oliver Cromwell, General Manager – RATP Dev. *No action required.*
2. Transit Director Report – Shelly Kreger, YCIPTA Transit Director. *No action is required.* Pg. 10
3. Transit Ridership – Carol Perez, Transit Operations Manager. *No action is required.* Pg. 18
4. Financial Report – Veronica Baysinger, YCIPTA Financial Services Manager. Will be provided at meeting *No action is required.*

Upon vote of the Directors, the Chairman recesses the Regular Session and convenes Executive Session.

EXECUTIVE SESSION:

1. Discussion regarding Financial Sustainability Committee recommendations. This matter is brought in executive session pursuant to A.R.S. § 38-431.03(A)(1) & (3)
2. Discussion regarding Personnel Subcommittee recommendation. This matter is brought in executive session pursuant to A.R.S. § 38-431.03(A)(1).

Chairman adjourns Executive Session and reconvenes Regular Session.

DISCUSSION & ACTION ITEMS:

1. Discussion and or action regarding Financial Sustainability Committee recommendations. Action may be required.
2. Discussion and or action regarding Personnel Subcommittee recommendation. Action may be required.

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Susan M. Zambrano - Arizona Western College, Dr. Michael Sabath - Northern Arizona University

Shelly Kreger, Transit Director

3. Discussion and or action regarding the cancellation and or reduction of YCAT routes. Action required. Pg. 20
4. Discussion and or action regarding the 2nd one year extension to the Agreement for the Provision of General Public Fixed-Route and Demand Response Services with RATP Dev and requested contract increase. Action Required. Pg. 22
5. Discussion and or action regarding the FY2022-2023 Annual Capital Operating Budget. Action required. Pg. 26
6. Discussion and or action regarding the FY2022 Triennial Review – Final Report. No action required Pg. 35
7. Discussion and or action regarding YCIPTA Shelter and Bus Stop permit status report. No action required.
8. Discussion and or Action regarding the timeline for new Operations and Maintenance Facility. No action required. NO UPDATES

SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:

**FY2021 Single Audit
Updated MOU with Cocopah Indian Tribe**

July 25, 2022

ADJOURNMENT

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Jerry Cabrera - Chairman - City of Somerton, Ralph Velez – Vice Chairman - City of San Luis,
Jay Simonton Sec/Treas– City of Yuma, Richard Marsh – Town of Wellton,
Brian Golding, Sr.-Quechan Tribe, Eric Holland – Cocopah Tribe, Ian McGaughey – Yuma County,
Susan M. Zambrano - Arizona Western College, Dr. Michael Sabath - Northern Arizona University

Shelly Kreger, Transit Director

The Yuma County Intergovernmental Public Transportation Authority (YCIPTA) met in Regular Board Meeting session on Monday, May 31, 2022 at Yuma County Department of Development Services, Aldrich Hall; 2351 West 26th Street, Yuma, AZ 85364. The Chair, Mr. Jerry Cabrera called the meeting to order at 1:31 P.M.

Members Present:

Jerry Cabrera/City of Somerton/Chair
Ralph Velez/City of San Luis/Vice Chair
Jay Simonton/City of Yuma/Secretary/Treasurer
Brian Golding, Sr./Quechan Tribe
Dr. Michael Sabath/Northern Arizona University
Eric Holland/Cocopah Tribe
Susanna M. Zambrano/Arizona Western College
Susan Thorpe/Yuma County

Members Absent:

Richard Marsh/Town of Wellton

Others Present:

Shelly Kreger/YCIPTA/Transit Director
Carol Perez/YCIPTA/Transit Operations Manager
Chona Medel/YCIPTA/Financial Services Operations Manager
Anabel Teran/RATP Dev/Operation Manager
Wayne Benesch/Benesch, Shadle & White, PLC /Legal Counsel
Elizabeth Punpayuk/Benesch, Shadle & White, PLC /Legal Counsel
Ian McGaughey /Yuma County/ Deputy County Administrator
Ross Poppenberger/AWC/VP for Finance and Administrative Services
Michelle Landis/AWC/Director of Financial Services and Controller

The Pledge of Allegiance was led by Ms. Thorpe.

CALL TO PUBLIC:

No comments were made. No action required; no action taken.

CONSENT CALENDAR:

No. 1: Adopt the April 25, 2022 regular session minutes. Action required.

Motion (Zambrano/Sabath): Approve item as amended.

Voice Vote: Motion Carries, 8-0) with Mr. Marsh being excused.

DISCUSSION & ACTION ITEMS:

No. 1: Discussion and or action regarding Arizona Western College membership dues. Ross Poppenberger to present. Action may be required.

Ms. Kreger introduced Mr. Poppenberger to the Board.

Mr. Poppenberger stated there was a few things to address regarding the May 18th email from Ms. Thorpe.

Ms. Thorpe stated that she wanted Mr. Poppenberger to provide a little background since not all Members were privy to the discussion.

Ms. Thorpe stated that she attended a meeting with Mr. Cabrera Mr. Poppenberger and Dr. Corr on May 12th and the email recapped discussion that was had and provided some information that was provided by Ms. Kreger.

Mr. Poppenberger stated what prompted the meeting was the increase in dues and the one-time contribution.

Mr. Poppenberger stated the following:

- Students are charged \$5.00 fee funds go to transportation
- Misinformation regarding the fee, the amount of the fee is correct but the enrolment numbers are incorrect
- Enrollment is 11,500 per year and not semester
- On average about \$70,000 is collects by AWC per year from student fees
- About \$30,000 per year was subsidizes by AWC
- About 1000 of the stickers were issued the past semester

Mr. Poppenberger requested the Board to reconsider the assessment as it is a significant impact that was not budgeted for 2023.

Mr. Poppenberger also requested the new annual dues to be reduced as well as the one-time contribution.

Mr. Poppenberger stated that AWC recognizes that transportation is a barrier to education and recognizes its value.

Mr. Simonton stated that it was important to work with AWC because to lose \$100,000 would be detrimental to the organization.

Mr. Simonton stated that they were not in a position to make a decision today but can discuss it further, however, the Authority can't continue to operating at the same cost.

Mr. Velez inquired if Mr. Poppenberger had any idea what the summer numbers were Mr. Poppenberger stated that he had no numbers.

Mr. Cabrera stated that just the cost of running Silver Route was \$128,000.

Ms. Kreger stated that the route's ridership could be reviewed. However, students would still able to utilize Yellow Route 95 and Orange Route 2 to get to the college, it would just take longer.

Mr. Poppenberger stated that the numbers lend themselves to bigger discussion.

Dr. Sabath supported Mr. Simonton's comments to reconsider the amounts for the dues and stated to possibly make a motion to work with AWC.

Motion (Simonton/Sabath): Financial Sustainability to work with AWC to discuss and come to a final decision within two-week period.

Voice Vote: Motion Carries, 8-0) with Mr. Marsh being excused.

No. 2: Discussion and or action regarding the Draft Eastern Imperial County Transit Services Operation and Implementation Business Plan and Draft FY22-23 YCIPTA MOU Exhibit A Amendment Twelve. Action required.

Ms. Kreger provided the information for this item as contained in the member packet.

Mr. Golding stated that this year Imperial Valley Transportation Commission increased their contribution.

Motion (Velez/Zambrano): To approve item as presented

Voice Vote: Motion Carries, 8-0) with Mr. Marsh being excused.

No. 3: Discussion and or action regarding the FY2022 Federal Transit Administration apportionment. No action required.

Ms. Kreger stated that this item was discussed at the last Board meeting.

Ms. Kreger provided the information for this item as contained in the member packet stating that apportionments are supposed to reviewed annually.

Ms. Kreger stated that this year there was a requirement to provide proof of local match and since there was none, ADOT took the funds.

No action taken; no action required.

No. 4: Discussion and or action regarding the cancellation of the NightCat services. Action required.

Ms. Kreger stated that upon reviewing the NightCat it was an easy choice to cancel the service due to performance.

Ms. Kreger stated a two weeks' notice would be provided to the public.

Mr. Simonton stated that two weeks' notice might not be sufficient time.

Ms. Thorpe stated that there were only two passengers that utilize the service.

Ms. Zambrano inquired as to what other options at night are there.

Ms. Kreger suggested Uber or Lyft.

Ms. Zambrano inquired if the Board was okay with a two week notice to the public.

Mr. Simonton stated that July 1st would be a better option.

**Motion (Thorpe/Simonton): To cancel NightCat effective July 1, 2022.
Voice Vote: Motion Carries, 8-0) with Mr. Marsh being excused.**

No. 5: Discussion and or action regarding YCIPTA Shelter and Bus Stop permit status report. No action required.

Ms. Kreger stated that several attempts to make contact Mr. Kevin Burge from Core Engineering Group regarding permitting.

Ms. Kreger stated that through a Facebook post it was discovered that Mr. Burge has brain cancer.

Ms. Kreger stated that she has reached out to Mr. Doug Nicholls and he will be the new point of contact.

No action taken; no action required.

No. 6: Discussion and or Action regarding the timeline for new Operations and Maintenance Facility. No action required. NO UPDATES

No updates. No action taken; no action required.

PROGRESS REPORTS:

No. 1: Operations Manager Report/Maintenance Update– Oliver Cromwell, General Manager – RATP Dev. *No action required.*

Ms. Teran provided the report as contained in the member packet. No action taken; no action required.

No. 2: Transit Director Report – Shelly Kreger, YCIPTA Transit Director. *No action is required.*

Ms. Kreger provided the information for this item as contained in the member packet.

Ms. Thorpe inquired if the Authority's cost per revenue hour was comparable to others agencies.

Ms. Kreger stated that YCIPTA was comparable to other agencies our size. No action taken; no action required.

No. 3: Transit Ridership – Carol Perez, Transit Operations Manager. *No action is required.*

Ms. Perez provided the information for this item as contained in the member packet. No action taken; no action required.

No. 4: Financial Report – Chona Medel, YCIPTA Financial Services Operations Manager. *No action is required.*

Mrs. Medel provided the information for this item as contained in the member packet. No action taken; no action required.

Upon vote of the Directors, the Chairman recesses the Regular Session and convenes Executive Session.

Motion (Golding/Zambrano): To recess the Regular session and convene Executive Session.

Voice Vote: Motion Carries, 8-0) with Mr. Marsh being excused.

Recessed Regular Session and convene Executive Session at 2:04 p.m.

EXECUTIVE SESSION:

No. 1: Discussion regarding Financial Sustainability Committee recommendations. This matter is brought in executive session pursuant to A.R.S. § 38- 431.03(A)(1) & (3)

Chairman adjourns Executive Session and reconvenes Regular Session at 2:38 p.m.

No. 7: Discussion and or action regarding Financial Sustainability Committee recommendations. Action may be required.

Discussion ensued as to what the motion should be and if there should be separate motions for AWC and NAU or a joint motion.

Mr. Benesch suggested that meeting should be between Board Members, AWC Executive Directors and Transit Executive Director.

Ms. Thorpe stated that we should not have two different paths for the discussion for AWC and NAU.

Dr. Sabath stated that NAU was looking to remove themselves from the Board.

Dr. Sabath further stated that NAU was willing to discuss the one-time contribution amount but it was longer feasible to stay on the Board.

Motion (Golding/Thorpe): The Board to designate the Financial Sustainability Committee to meet with AWC/NAU regarding the one-time debt payment and the annual dues for reconsideration.

Voice Vote: Motion Carries, 7-1 with Dr. Sabath abstaining with Mr. Marsh being excused.

No. 8: Discussion and or action regarding YCIPTA staff. Action may be required.

No action taken.

SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:

June 27, 2022

ADJOURNMENT

There being no further business to come before the Authority in regular session, the meeting was adjourned at 2:48 p.m.

YUMA COUNTY INTERGOVERNMENTAL TRANSPORTATION AUTHORITY

Adopted this _____, 2022, Agenda Item _____.

Carol Perez, Board Secretary



May 2022 - YCAT

The following information is based on the services and analyses performed by Solutions for Transit for YCIPTA for the month of May 2022.

Solutions for Transit completed its monthly review and sent a final review document to YCIPTA staff on June 15, 2022.

OPERATIONS

Fixed Route

Following are the actual miles and hours reported by the contractor vs. scheduled:

	Reported	Scheduled	Difference
Revenue Hours	3,046.1	3,030.3	15.8
Total Hours	3,363.9	3,365.6	(1.7)
Revenue Miles	66,227	64,266	1,961
Total Miles	73,387	72,086	1,301
Passengers per Revenue Hour		8.4	
Passengers per Revenue Mile		0.4	

Bus 138 was programed as bus 209 for a portion of the month. GFI recordings were affected.

Demand Response

Following are the actual miles and hours:

Revenue Hours	312.5
Total Hours	432.2
Revenue Miles	5,301
Total Miles	8,100
Average Weekday Revenue Hours	14.8
Passengers per Revenue Hour	0.0
Passengers per Revenue Mile	0.0

OPERATIONS DATABASE

Analysis of Contractor Invoice Data for Accuracy: Solutions for Transit reviewed the Total Miles and Hours by Day and Miles and Hours Reports to determine if there are entries that seemed high or low. We are using a 5% tolerance to determine if the entries need to be corrected or commented.

There were **18** entry errors, **6** GFI errors (information classified incorrectly in GFI), **2** time overlaps, **10** fixed route vs. GFI errors, and **4** unreported roadcalls.

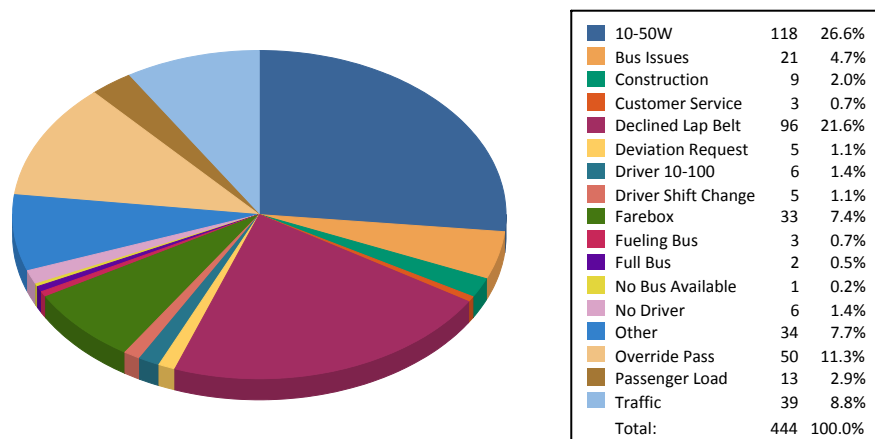
These errors were corrected before we submitted a final review to YCIPTA for billing authorization purposes.

Late to First Stop: There were **234** occurrences where the operator was late to the first stop by 5 minutes or more, resulting in **29 hours 31 minutes** of delayed service.

Logging Out Early: There were **1** occurrences where the operator logged off before the end of revenue service totaling **0 hours 37 minutes** of unaccounted revenue time.

Delays: During the month of May, **444** delays were reported by the contractor. The average delay was **4** minutes. The delays are broken down as follows:

Delays by Category



Customer Comments: During the month of May, **6** complaints were called in. Of these the contractor followed up on **4**. In addition, **0** commendations were called in.

MAINTENANCE

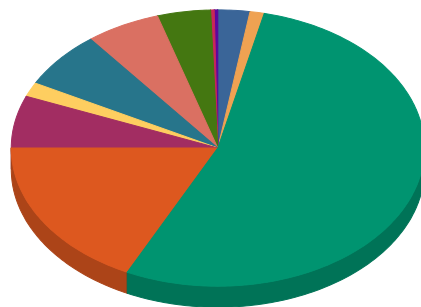
PMIs Completed: There were **19** PMIs completed during the month of May. Of these, **0** were completed late based on the information entered into The Reporting Solution.

Roadcalls: There were 26 roadcalls/bus exchanges for the month of May.

- o **13** of these are roadcalls as defined by NTD (the bus did not complete its scheduled service)
- o **6,399** miles between roadcalls as defined by NTD
- o The industry standard for miles between roadcalls is 6,000 miles

Work Orders Created:

Work Orders by Type



Bus Exchange	8	2.6%
Campaign	3	1.0%
DVIR Defect	166	53.7%
Farebox	55	17.8%
PMI	19	6.1%
PMI Defect	5	1.6%
Pullout Complaint	20	6.5%
Roadcall	18	5.8%
Safety Inspection	13	4.2%
Safety Inspection Defect	1	0.3%
Warranty	1	0.3%
Total:	309	100.0%

Open Work Orders:

There were **1,500** open work orders.

REPORTS

Monthly Reports: The following Monthly Reports are attached:

- o Fixed Route Operating Summary - Systemwide
- o Ridership and Fares
- o Miles and Hours by Route
- o On Call Operating Summary
- o PMIs Completed

IT SUPPORT

Back-up: Solutions for Transit is backing up the data entered into The Reporting Solution daily. It is being placed on the Solutions for Transit home server in Lodi.



OPERATING SUMMARY - Systemwide Fiscal Year 2022

Systemwide

	Quarter				Quarter				Quarter				Quarter			YTD
	Jul-21	Aug-21	Sep-21	Qtr Total	Oct-21	Nov-21	Dec-21	Qtr Total	Jan-22	Feb-22	Mar-22	Qtr Total	Apr-22	May-22	Qtr Total	
Weekday Ridership	14,731	18,993	21,330	55,053	22,267	23,339	22,485	68,091	21,932	22,825	27,179	71,935	25,064	23,892	48,957	244,036
Saturday Ridership	1,678	1,361	1,383	4,422	2,104	1,868	1,670	5,642	1,760	1,851	1,904	5,515	2,080	1,613	3,693	19,272
Total Ridership	16,409	20,354	22,713	59,475	24,371	25,207	24,155	73,733	23,692	24,676	29,083	77,450	27,144	25,505	52,650	263,308
Weekday Revenue Hours	2,885.5	2,930.4	2,830.9	8,646.9	2,855.7	2,646.7	2,909.9	8,412.4	2,708.7	2,562.5	3,096.6	8,367.8	2,844.2	2,839.6	5,683.8	31,110.9
Saturday Revenue Hours	258.1	205.4	206.5	670.1	278.6	222.6	166.3	667.6	221.9	221.4	221.3	664.6	255.5	206.5	462.0	2,464.4
Total Revenue Hours	3,143.7	3,135.8	3,037.5	9,317.0	3,134.3	2,869.4	3,076.3	9,079.9	2,930.7	2,783.9	3,317.9	9,032.5	3,099.7	3,046.1	6,145.8	33,575.3
Weekday Total Hours	3,141.9	3,228.9	3,127.7	9,498.4	3,161.1	2,934.4	3,167.6	9,263.2	3,000.1	2,836.4	3,408.6	9,245.0	3,146.8	3,134.7	6,281.5	34,288.2
Saturday Total Hours	286.6	227.8	229.2	743.6	314.3	249.8	185.7	749.8	247.8	247.1	247.1	742.0	285.9	229.1	515.1	2,750.5
Total Hours	3,428.5	3,456.7	3,356.9	10,242.1	3,475.5	3,184.2	3,353.3	10,013.0	3,247.9	3,083.5	3,655.7	9,987.1	3,432.7	3,363.9	6,796.6	37,038.7
Weekday Revenue Miles	61,370	62,206	60,885	184,461	61,080	56,693	61,742	179,515	58,304	55,040	66,178	179,522	61,885	61,942	123,827	667,325
Saturday Revenue Miles	5,278	4,202	4,240	13,720	5,695	4,563	3,489	13,747	4,608	4,597	4,602	13,807	5,361	4,285	9,646	50,920
Total Revenue Miles	66,648	66,408	65,125	198,181	66,775	61,256	65,231	193,262	62,912	59,637	70,780	193,329	67,246	66,227	133,473	718,245
Weekday Total Miles	67,356	69,063	67,917	204,336	68,061	63,251	67,514	198,826	64,775	61,190	73,241	199,206	68,639	68,541	137,180	739,548
Saturday Total Miles	6,009	4,793	4,809	15,611	6,571	5,195	3,949	15,715	5,237	5,220	5,228	15,685	6,095	4,846	10,941	57,952
Total Miles	73,365	73,856	72,726	219,947	74,632	68,446	71,463	214,541	70,012	66,410	78,469	214,891	74,734	73,387	148,121	797,500
# Operating Weekdays	22	22	21	65	21	20	23	64	20	19	23	62	21	21	42	233
# Operating Saturdays	5	4	4	13	5	4	3	12	4	4	4	12	5	4	9	46
# Total Operating Days	27	26	25	78	26	24	26	76	24	23	27	74	26	25	51	279
Avg Weekday Ridership	669.6	863.3	1,015.7	847.0	1,060.3	1,166.9	977.6	1,063.9	1,096.6	1,201.3	1,181.7	1,160.2	1,193.5	1,137.7	1,165.6	1,047.4
Avg Saturday Ridership	335.6	340.3	345.8	340.2	420.8	467.0	556.7	470.2	440.0	462.8	476.0	459.6	416.0	403.3	410.3	419.0
Avg Daily Ridership	607.7	782.8	908.5	762.5	937.3	1,050.3	929.0	970.2	987.2	1,072.9	1,077.1	1,046.6	1,044.0	1,020.2	1,032.3	943.8
Wkday Ridership/Rev Hr	5.1	6.5	7.5	6.4	7.8	8.8	7.7	8.1	8.1	8.9	8.8	8.6	8.8	8.4	8.6	7.8
Sat Ridership/Rev Hr	6.5	6.6	6.7	6.6	7.6	8.4	10.0	8.5	7.9	8.4	8.6	8.3	8.1	7.8	8.0	7.8
Avg Weekday Rev Hours	131.2	133.2	134.8	133.0	136.0	132.3	126.5	131.4	135.4	134.9	134.6	135.0	135.4	135.2	135.3	133.5
Avg Saturday Rev Hours	51.6	51.4	51.6	51.5	55.7	55.7	55.4	55.6	55.5	55.4	55.3	55.4	51.1	51.6	51.3	53.6
Avg Weekday Rev Miles	2,790	2,828	2,899	2,838	2,909	2,835	2,684	2,805	2,915	2,897	2,877	2,896	2,947	2,950	2,948	2,864
Avg Saturday Rev Miles	1,056	1,051	1,060	1,055	1,139	1,141	1,163	1,146	1,152	1,149	1,151	1,151	1,072	1,071	1,072	1,107



RIDERSHIP AND FARES

Period: 5/1/2022 to 5/31/2022

Route	Cash Fares			Day Passes Sold		Passes Accepted				Free				Special Revenues					Statistics			Total Pax
	Basic Cash	Disc Cash	Deviations	Day Passes	Disc Day	Day Passes	31-Day Passes	10 Ride Passes	Single-Ride	< 5 & PCAs	Greyhound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopa	Vista	WC	Bikes	Guides	
Orange 2	560	353	1	51	34	297	99	6	0	36	0	0	13	19	7	364	9	74	7	38	0	1,922
Brown 3	62	123	80	37	21	95	37	0	0	2	0	0	5	8	1	107	3	6	0	3	0	507
Green 4	360	247	0	73	103	544	299	13	0	81	0	0	30	16	54	98	34	734	0	26	0	2,686
Green 4A	240	162	0	44	51	279	97	13	0	35	0	0	26	39	26	96	18	202	2	20	1	1,328
Blue 5	266	139	1	77	67	261	142	10	0	24	0	0	49	3	2	10	34	6	17	104	1	1,090
Purple 6	248	189	0	45	54	143	60	22	0	37	0	0	24	12	12	35	774	6	24	55	1	1,661
Gold 8	18	13	3	33	6	18	17	0	0	0	0	0	19	0	3	27	1	22	0	0	0	177
Silver 9	16	16	0	1	0	2	58	0	0	20	0	0	2	3	3	256	2	2	0	1	0	381
Turquoise 10	96	0	0	1	0	0	0	0	0	3	0	0	0	1	0	1	0	0	1	4	0	102
Yellow 95	6,228	4,322	3	456	253	1,267	1,172	187	0	257	3	0	91	176	129	734	224	154	33	236	2	15,653
Grand Total:	8,092	5,564	88	818	589	2,906	1,981	251	0	495	3	0	259	277	237	1,728	1,099	1,206	84	487	5	25,505

REVENUE:

Total Revenue: \$26,568.73
 Unclassified Revenue: \$725.05
 As a % of Total: 2.73%



TOTAL MILES AND HOURS BY ROUTE May 2022

Route	Revenue Hours	Non-Rev Hours	Total Hours	Revenue Miles	Non-Rev Miles	Total Miles
Orange Route 2	354.1	42.0	396.1	6,662	300	6,962
Brown Route 3	165.9	7.1	173.0	3,710	176	3,886
Green Route 4	284.0	13.2	297.1	4,772	213	4,985
Green Route 4A	231.3	13.4	244.6	4,022	198	4,220
Blue Route 5	255.3	6.2	261.5	6,097	256	6,353
Purple Route 6	491.7	38.7	530.4	10,679	721	11,400
Gold Route 8	64.6	18.6	83.1	2,022	609	2,631
Silver Route 9	87.8	98.6	186.5	3,072	2,355	5,427
Turquoise Route 10	67.4	10.5	77.9	2,971	161	3,132
Yellow Route 95	1,044.0	69.6	1,113.6	22,220	2,171	24,391

Totals for May 2022			
Total Hours	3,363.88	Total Miles	73,387
Revenue Hours	3,046.10	Revenue Miles	66,227
Non-Revenue Hours	317.78	Non-Revenue Miles	7,160



OPERATING SUMMARY - On-Call Fiscal Year 2022

	Quarter				Quarter				Quarter				Quarter			YTD
	Jul-21	Aug-21	Sep-21	Qtr	Oct-21	Nov-21	Dec-21	Qtr	Jan-22	Feb-22	Mar-22	Qtr	Apr-22	May-22	Qtr	
Weekday Ridership	523	532	590	1,644	623	554	627	1,804	596	576	741	1,913	767	597	1,364	6,725
Saturday Ridership	23	0	0	23	0	0	0	0	0	0	0	0	0	0	0	23
Total Ridership	546	532	590	1,667	623	554	627	1,804	596	576	741	1,913	767	597	1,364	6,748
Weekday Revenue Hours	243.6	227.5	237.7	708.8	284.5	240.0	254.8	779.4	257.5	247.9	321.3	826.7	346.1	309.8	655.9	2,970.8
Saturday Revenue Hours	12.1	8.2	7.8	28.1	9.3	6.6	9.5	25.4	8.7	8.7	7.1	24.4	5.9	2.7	8.6	86.4
Total Revenue Hours	255.7	235.6	245.5	736.8	293.8	246.6	264.3	804.8	266.2	256.5	328.4	851.1	352.0	312.5	664.5	3,057.2
Weekday Total Hours	354.3	339.3	327.7	1,021.3	396.2	330.0	356.8	1,083.1	356.2	338.4	435.3	1,129.8	448.9	426.9	875.8	4,110.0
Saturday Total Hours	17.7	10.8	12.4	40.8	15.9	10.0	12.2	38.2	12.2	11.4	10.1	33.8	8.9	5.3	14.3	127.0
Total Hours	372.0	350.2	340.0	1,062.2	412.2	340.1	369.1	1,121.3	368.4	349.8	445.4	1,163.6	457.8	432.2	890.0	4,237.0
Weekday Revenue Miles	4,222	4,065	4,143	12,430	4,948	4,402	4,644	13,994	4,755	4,467	5,850	15,072	5,840	5,268	11,108	52,604
Saturday Revenue Miles	167	91	80	338	106	93	148	347	180	97	82	359	65	33	98	1,142
Total Revenue Miles	4,389	4,156	4,223	12,768	5,054	4,495	4,792	14,341	4,935	4,564	5,932	15,431	5,905	5,301	11,206	53,746
Weekday Total Miles	6,856	6,713	6,316	19,885	7,757	6,774	7,210	21,741	7,480	6,749	8,632	22,861	8,391	7,985	16,376	80,863
Saturday Total Miles	323	176	152	651	208	236	250	694	302	192	144	638	135	115	250	2,233
Total Miles	7,179	6,889	6,468	20,536	7,965	7,010	7,460	22,435	7,782	6,941	8,776	23,499	8,526	8,100	16,626	83,096
# Operating Weekdays	22	22	21	65	21	20	23	64	20	19	23	62	21	21	42	233
# Operating Saturdays	5	3	4	12	4	4	3	11	3	3	4	10	4	3	7	40
# Total Operating Days	27	25	25	77	25	24	26	75	23	22	27	72	25	24	49	273
Avg Weekday Ridership	23.8	24.2	28.1	25.3	29.7	27.7	27.3	28.2	29.8	30.3	32.2	30.9	36.5	28.4	32.5	28.9
Avg Saturday Ridership	4.6	0.0	0.0	1.9	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.6
Avg Daily Ridership	20.2	21.3	23.6	21.7	24.9	23.1	24.1	24.1	25.9	26.2	27.4	26.6	30.7	24.9	27.8	24.7
Wkday Ridership/Rev Hr	2.1	2.3	2.5	2.3	2.2	2.3	2.5	2.3	2.3	2.3	2.3	2.3	2.2	1.9	2.1	2.3
Sat Ridership/Rev Hr	1.9	0.0	0.0	0.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.3
Trips per Rev Hour	2.1	2.3	2.4	2.3	2.1	2.2	2.4	2.2	2.2	2.2	2.3	2.2	2.2	1.9	2.1	2
Avg Weekday Rev Hours	11.1	10.3	11.3	10.9	13.5	12.0	11.1	12.2	12.9	13.0	14.0	13.3	16.5	14.8	15.6	12.8
Avg Saturday Rev Hours	2.4	2.7	1.9	2.3	2.3	1.6	3.2	2.3	2.9	2.9	1.8	2.4	1.5	0.9	1.2	2.2
Avg Weekday Rev Miles	192	185	197	191	236	220	202	219	238	235	254	243	278	251	264	226
Avg Saturday Rev Miles	33	30	20	28	27	23	49	32	60	32	21	36	16	11	14	29
Rev Miles per Rev Hr	17.2	17.6	17.2	17.3	17.2	18.2	18.1	17.8	18.5	17.8	18.1	18.1	16.8	17.0	16.9	17.6



PMIs COMPLETED

Period: 5/1/2022 - 5/31/2022

Bus #	Interval	Mileage at Previous PMI	Mileage at PMI	Miles Since Last PMI	On-Time	PMI
152	5000 miles	158,177	162,758	4,581	On Time	A-6
200	6000 miles	287,941	293,608	5,667	On Time	B
201	6000 miles	287,781	293,536	5,755	On Time	A-2
202	6000 miles	180,772	186,280	5,508	On Time	A-1
203	6000 miles	213,041	218,735	5,694	On Time	A-6
205	6000 miles	173,773	179,330	5,557	On Time	A-3
207	6000 miles	656	6,430	5,774	On Time	A-2
208	6000 miles	0	632	0	Early	A-1
209	6000 miles	0	664	0	Early	A-1
210	6000 miles	0	642	0	Early	A-1
211	6000 miles	0	673	0	Early	A-1
250	6000 miles	644	6,369	5,725	On Time	A-2
301	4000 miles	149,799	153,614	3,815	On Time	A-2
302	4000 miles	101,969	105,642	3,673	On Time	A-4
303	4000 miles	44,081	47,812	3,731	On Time	A-1
350	4000 miles	98,692	102,597	3,905	On Time	A-3
351	4000 miles	96,397	100,422	4,025	On Time	A-6
351	4000 miles	100,422	104,287	3,865	On Time	A-7
1101	4000 miles	77,498	81,308	3,810	On Time	A-6

PMIs Completed: 19

On Time: 15 78.9%

Early: 4 21.1%

Late: 0 0.0%

Note: "On Time" is based on mileage not days.



RIDERSHIP AND FARES

Period: 5/1/2021 to 5/31/2021

Route	Cash Fares			Day Passes Sold		Passes Accepted				Free				Special Revenues					Statistics			Total Pax
	Basic Cash	Disc Cash	Deviations	Day Passes	Disc Day	Day Passes	31-Day Passes	10 Ride Passes	Single-Ride	< 5 & PCAs	Greyhound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopah	Vista	WC	Bikes	Guides	
Orange 2	0	0	0	0	0	0	0	0	0	2,028	0	0	1	0	0	0	0	0	11	52	0	2,029
Brown 3	0	0	0	0	0	0	0	0	0	484	0	0	0	0	0	0	0	0	14	7	0	484
Green 4	0	0	0	0	0	0	0	0	0	2,206	0	3	0	0	0	0	0	0	5	56	0	2,209
Green 4A	0	0	0	0	0	0	0	0	0	1,466	0	0	0	0	0	0	0	0	20	45	0	1,466
Blue 5	0	0	0	0	0	0	0	0	0	1,349	0	1	0	0	1	0	2	0	18	68	0	1,353
Purple 6	0	0	0	0	0	0	0	0	0	1,548	0	1	0	1	0	0	0	0	46	91	0	1,550
Gold 8	0	0	0	0	0	0	0	0	0	82	0	0	0	0	0	0	0	0	1	0	0	82
Silver 9	0	0	0	0	0	0	0	0	0	96	0	0	0	0	1	0	0	0	1	3	0	97
Turquoise 10	0	0	0	0	0	0	0	0	0	199	0	0	0	0	0	0	1	0	11	8	0	200
Yellow 95	1	0	0	0	0	0	0	0	0	13,949	4	11	0	0	0	0	0	0	102	354	0	13,965
Grand Total:	1	0	0	0	0	0	0	0	0	23,407	4	16	1	1	2	0	3	0	229	684	0	23,435

REVENUE:

Total Revenue: \$0.00
 Unclassified Revenue: \$0.00
 As a % of Total: 0.00%



RIDERSHIP AND FARES

Period: 5/1/2022 to 5/31/2022

Route	Cash Fares			Day Passes Sold		Passes Accepted				Free				Special Revenues					Statistics			Total Pax
	Basic Cash	Disc Cash	Deviations	Day Passes	Disc Day	Day Passes	31-Day Passes	10 Ride Passes	Single-Ride	< 5 & PCAs	Greyhound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopa	Vista	WC	Bikes	Guides	
Orange 2	560	353	1	51	34	297	99	6	0	36	0	0	13	19	7	364	9	74	7	38	0	1,922
Brown 3	62	123	80	37	21	95	37	0	0	2	0	0	5	8	1	107	3	6	0	3	0	507
Green 4	360	247	0	73	103	544	299	13	0	81	0	0	30	16	54	98	34	734	0	26	0	2,686
Green 4A	240	162	0	44	51	279	97	13	0	35	0	0	26	39	26	96	18	202	2	20	1	1,328
Blue 5	266	139	1	77	67	261	142	10	0	24	0	0	49	3	2	10	34	6	17	104	1	1,090
Purple 6	248	189	0	45	54	143	60	22	0	37	0	0	24	12	12	35	774	6	24	55	1	1,661
Gold 8	18	13	3	33	6	18	17	0	0	0	0	0	19	0	3	27	1	22	0	0	0	177
Silver 9	16	16	0	1	0	2	58	0	0	20	0	0	2	3	3	256	2	2	0	1	0	381
Turquoise 10	96	0	0	1	0	0	0	0	0	3	0	0	0	1	0	1	0	0	1	4	0	102
Yellow 95	6,228	4,322	3	456	253	1,267	1,172	187	0	257	3	0	91	176	129	734	224	154	33	236	2	15,653
Grand Total:	8,092	5,564	88	818	589	2,906	1,981	251	0	495	3	0	259	277	237	1,728	1,099	1,206	84	487	5	25,505

REVENUE:

Total Revenue: \$26,568.73
 Unclassified Revenue: \$725.05
 As a % of Total: 2.73%



Yuma County Intergovernmental Public Transportation Authority

2715 East 14th Street, Yuma, AZ 85365-1900, Telephone: 928-539-7076
 Fax: 928-783-0309, email: info@ycipta.az.gov, Web: www.yciptaz.gov

May 25, 2022

Discussion and Action Item 3

To: Yuma County Intergovernmental Public Transportation Authority Board of Directors
 From: Shelly Kreger, Transit Director
 Subject: Discussion and or action regarding the cancellation and or reduction of YCAT routes.

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) Board of Directors approve the cancellation and or reduction of YCAT routes.

Background and Summary: Staff has been reviewing routes and analyzing ridership and costs for operations and have found several routes that need to be either cancelled or reduced.

Below shows routes that can be either eliminated or reduced. Brown 3 runs from the college to the foothills, taking pretty much the exact same route as the Gold 8 that runs to Wellton and back, so the Foothills people can still use the Gold Route to get into town. The Yellow 95-5 and 95-6 are peak service runs from San Luis to Yuma and back. There would still be 4 buses on peak service instead of 6.

				Revenue Hours					
		Daily Rev Hours	Approx Op Days	Annual Sched	FY 20-21 Actual	Est Contractor cost per rev hr	50% match savings		
Brown 3	ALL	6.9	302	2090.7	undetermined	\$ 202,024.34	\$ 101,012.17		
Yellow 95-5	PEAK	5.3	260	1378	undetermined	\$ 133,156.14	\$ 66,578.07		
Yellow 95-6	PEAK	3.9	260	1014	undetermined	\$ 97,982.82	\$ 48,991.41		
		Totals		4482.7	0	\$ 433,163.30	\$ 216,581.65		12%

Average ridership for the Brown route is 6,000 passengers per year. I do not have the ridership for the Yellow peak routes as they are combined into the entire yearly

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Shelly Kreger, Transit Director

ridership. Staff is suggesting these changes be effective August 1, 2022 to provide time to notify the public as well as the contractor will be doing a new bid at that same time.

Financial Impacts: Potential cost savings of \$216,581.65 in local match as well as savings in fuel.

Budgeted: N/A

Recommended Motion Staff recommends that the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) Board of Directors approve the cancellation and or reduction of YCAT routes.

Legal Counsel Review: N/A

Attachments: N/A

For information regarding this agenda item, please contact Shelly Kreger via email to: skreger@ycipta.az.gov or call 928-539-7076, extension 101.

Approved for submission:



Shelly Kreger
Transit Director

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Shelly Kreger, Transit Director



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June 22, 2022

Discussion and Action Item 4

To: Yuma County Intergovernmental Public Transportation Authority
Board of Directors
From: Shelly Kreger, Transit Director
Subject: Discussion and or action regarding the 2nd One Year Extension to the Agreement for the Provision of General Fixed Route and Demand Response Services by and between YCIPTA and RATP Dev Yuma, LLC.

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the 2nd One Year Extension to the Agreement for the Provision of General Fixed Route and Demand Response Services by and between YCIPTA and RATP Dev Yuma, LLC.

Background and Summary: YCIPTA and RATP Dev Yuma, LLC entered into contract on May 16, 2018 for a base term of three (3) years commencing on July 1, 2018 through June 30, 2021 with options of seven (7) one year extensions.

YCIPTA, at its sole discretion, may require the contractor to continue under the terms of this agreement for addition periods of one year. Both YCIPTA and RATP Dev Yuma, LLC mutually agree to continue services for an additional year commencing on July 1, 2022 through June 30, 2023. There will be five (5) additional options after this one.

At this time RATP Dev is requesting a rate increase in the contracted hourly operating costs. The request is for a total of 8%, 3% for the annual and an additional 5% on top that. The contract states in no case shall the new base compensation exceed the preceding base compensation by 5%. Current CPI for Yuma is 8.3, and the CPI-U is at 8.9%.

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Shelly Kreger, Transit Director

In the draft FY23 Capital and Operating budget that is on the agenda for approval has the increase at 5% also including the reduction of service of approximately 5,000 revenue hours.

Financial Impacts: \$3,286,024 Fixed Route and Demand Response

Budgeted: Yes

Recommended Motion Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the 2nd One Year Extension to the Agreement for the Provision of General Fixed Route and Demand Response Services by and between YCIPTA and RATP Dev Yuma, LLC.

Legal Counsel Review: Yes

Attachments: Addendum to Agreement – Extension of contract term

For information regarding this agenda item, please contact Shelly Kreger via email to: skreger@ycipta.az.gov or call 928-539-7076, extension 101.

Approved for submission:



Shelly Kreger
Transit Director

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Shelly Kreger, Transit Director

ADDENDUM FOR EXTENSION OF CONTRACT TERM

This Addendum for Extension of Contract Term (“Addendum”), is made and entered into this ____ day of June, 2022, by and between **YUMA COUNTY INTERGOVERNMENTAL PUBLIC TRANSPORTATION AUTHORITY**, a political subdivision of the State of Arizona (“YCIPTA”), and **RATP DEV YUMA, LLC**, an Arizona limited liability company (“CONTRACTOR”).

WITNESSETH:

WHEREAS, YCIPTA and CONTRACTOR entered into that certain Agreement for the Provision of General Public Fixed-Route and Demand Response Services, dated May 16, 2018 (“Agreement”); and

WHEREAS, YCIPTA and CONTRACTOR desire to modify the Contract Term of the Agreement;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, and the mutual promises hereinafter given, YCIPTA and CONTRACTOR agree as follows:

1. Capitalized terms used herein and not otherwise defined in this Addendum are used with the same respective meanings attributed thereto in the Agreement.
2. The Contract Term of the Agreement under Section 4 is hereby deleted in its entirety and replaced with the following:
 - “A. Base Term: The term of this Agreement (the “Contract Term”) shall be for four (5) years commencing June 18, 2018 and ending June 30, 2023 at 11:59 p.m.
 - B. Options: YCIPTA, at its sole discretion, may elect to extend this Agreement, under the same terms, for additional periods of one year each June 30, 2024, June 30, 2025, June 30, 2026, June 30, 2027, and June 30, 2028.”
3. Except as specifically modified by this Addendum, the Agreement remains in full force and effect in accordance with its terms. There are no other modifications, express or implied, except as herein provided.
4. YCIPTA and CONTRACTOR each represent to the other that (i) the party signing this Addendum on behalf thereof is duly authorized to do so, and (ii) this Addendum is binding upon such party in accordance with its terms. This Addendum may be executed in multiple counterparts and by facsimile signatures with the same effect of an original.

---SIGNATURES ON THE NEXT PAGE---

IN WITNESS WHEREOF, the parties hereto have executed this Addendum for Commencement Date on the day and year first above written.

**YUMA COUNTY INTERGOVERNMENTAL
PUBLIC TRANSPORTATION AUTHORITY**

By: _____
Shelly Kreger, Transit Director

ATTEST:

By: _____
Carol Perez, Transit Operations Manager

APPROVED AS TO FORM:

By: _____
Wayne C. Benesch, YCIPTA Legal Counsel

RATP DEV YUMA, LLC

By: _____
Printed Name: _____
Its: _____



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June 22, 2022

Discussion and Action Item 5

To: Yuma County Intergovernmental Public Transportation Authority
Board of Directors
From: Shelly Kreger, Transit Director
Subject: Discussion and or action regarding the YCIPTA FY2022-2023
Operating and Capital Budget.

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the YCIPTA FY2022-2023 Capital and Operating Budget.

Background and Summary: The Capital and Operating Budget presented shows the totals of what the Transportation Authority are expected to receive and expend in fiscal year FY 2022-2023. The budget provides a comprehensive review of expected revenues and proposed expenditures.

A full budget document with summaries will be prepared and submitted to all member agencies and the State as well as posted online at www.ycat.az.gov by June 30, 2022 after Board adoption.

The significant aspects of the proposed operating budget are:

Revenues

- The fully allocated YCIPTA rate is \$142.19 per revenue hour which is a increase of \$17.56 per hour from last year. The largest part of the increase is due to a substantial rise in the costs of fuel.
- Fares are projected to be \$400,000 system wide.
- Staff is projecting revenues/expenses of \$8,660,647 that would be required to operate the transit system, payment to Yuma County Treasurer and the Hotel Del Sol project pass-through with the City of Yuma.

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Shelly Kreger, Transit Director

- FTA Section 5311 funds for both capital and operating are projected to be \$2,634,428. FTA Section 5311 funds are to fund services outside the Yuma Urbanized Area. This funding primarily funds WelltonCAT, Blue Route 5 (within Arizona), Purple Route 6A, Gold Route 8, Silver Route 9, Turquoise Route 10 (within Arizona) and Yellow Route 95. This translates to 47.16% of YCAT service miles attributed to the rural area. 9.36% is attributed to the tribal transit grants received by the Quechan and Cocopah Indian Tribes.
- FTA Section 5307 will continue to fund transit services that are wholly within the Yuma Urbanized Area and are projected to be \$5,097,301. This primarily funds Orange Route 2/2A, Brown Route 3, Green Route 4/4A, NightCAT and YCAT OnCall for the remainder 43.48% as well as capital purchases.
- The FY22-23 budget requires match revenues of \$2,374,976.
- The budget assumes \$22,248 as in-kind match revenues for Quechan Indian Tribe. An Additional cash match from the City of Yuma for the Hotel Del Sol project in the amount of \$368,223.
- \$6,000 of Greyhound revenues generated as commission to the Transportation Authority from ticket sales.

Expenses

- Full staffing of six full time employees with employee benefits is anticipated.
- Pay increases are budgeted this fiscal year for a 3% step increase.
- The budget assumes a continued operation of NextBus service on all buses.
- Transit services operations contract for \$96.63 per revenue vehicle service hour for fixed route and \$36.08 for OnCall. This is a 5% increase request from contractor. Contractor is asking for an 8% increase.
- The marketing budget is at \$25,000 for printing and \$50,000 for advertising which was reduced from \$80,000.

Financial Impacts: \$8,660,647

Budgeted: N/A

Recommended Motion Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the YCIPTA FY2022-2023 Capital and Operating Budget.

Legal Counsel Review: N/A

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Shelly Kreger, Transit Director

Attachments: YCIPTA FY2022-2023 Operating and Capital Budget

For information regarding this agenda item, please contact Shelly Kreger via email to: skreger@ycipta.az.gov or call 928-539-7076, extension 101.

Approved for submission:



Shelly Kreger

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Jerry Cabrera - Chairman - City of Somerton, Ralph Velez – Vice Chairman - City of San Luis,
Jay Simonton Sec/Treas– City of Yuma, Richard Marsh – Town of Wellton,
Brian Golding, Sr.-Quechan Tribe, , Eric Holland – Cocopah Tribe, Ian McGaughey – Yuma County,
Susan M. Zambrano - Arizona Western College, Dr. Michael Sabath - Northern Arizona University

Shelly Kreger, Transit Director

Yuma County Intergovernmental Public Transportation Auth.
FY 2023 Budget
 July 2022 through June 2023

	FY 2023 Budget	Detail/Explanation
Ordinary Income/Expense		
Income		
40799-3 · Advertising Sales	0	no anticipated advertising income
40799-4 · Greyhound Commissions - YCIPTA	6,000	Average \$500 per month
40799-5 · Interest	700	Mininual Average
40799-6 · Miscellaneous Revenues	2,000	Fees for replacement cards and other small fees
Total 40700 · Miscellaneous Revenues	8,700	
40900 -1 Local Cash Match	1,400,000	One-time payment for YC debt
40900-2 · Local Transit Dues	877,851	YC \$263,250.48;COY \$339,765.72;Somerton \$50,827.25; Wellton \$24,631.32;San Luis \$119,891.43; QT \$9,780.16; Cocopah \$69,704.64
40900-4 · Contributions Public Entities	666,005	AWC \$127,505.28; AZTEC \$7,800;YPIC \$1,800; Vista High School \$14,900, Cocopah Approx \$234,000, QIT Approx \$280,000
Total 40900 · Local Funding	2,943,856	
41101 · State Grants		
41101-1 · ADOT 5311	1,873,790	This amount includes Prelim Award Amount
41101-2 · ADOT 5310	0	
Total 41101 · State Grants	1,873,790	
41300 · Federal Grant Revenue		
41399-1 · FTA 5307	3,117,841	
41399-4 · STP Capital Grant	312,459	This amount includes FY2019&FY2020 Apportionment that has not yet been applied for
Total 41300 · Federal Grant Revenue	3,430,301	
Total 40000 · Intergovernmental	8,256,647	
41000 · Charges for Service		
40100 · Fare Revenue		
40101 · YCAT Fares	400,000	
40190 · On Call Fares	4,000	
Total 40100 · Fare Revenue	404,000	
Total 41000 · Charges for Service	404,000	
Total Income	8,660,647	
Expense		
50100 · Salaries and Wages		
50102 · Regular Salaries and Wage	331,865	YCIPTA Staff (7)
Total 50100 · Salaries and Wages	331,865	
50200 · Fringe Benefits		
50201 · FICA- SS & Medicare	36,098	
50202 · ASRS/LTD	40,388	
50203 · Health Insurance	59,640	Employer portion of Health Insurance

Yuma County Intergovernmental Public Transportation Auth.
FY 2023 Budget
 July 2022 through June 2023

	FY 2023 Budget	Detail/Explanation
50204 · FUTA	600	
50205 · Life Insurance	840	Employer portion of Life Insurance
50207 · State Unemployment	1,500	
50208 · Workers Compensation Ins	3,000	
Total 50200 · Fringe Benefits	142,066	
50300 · Services		
50301-1 · ADA Paratransit	162,360	Based on Year 5 of RATPDEV Contract based on 4500 hours at \$36.08
50301-2 · Accounting & Audit	35,000	
50301-3 · Vanpool Subsidy	126,000	\$300 subsidy at 35 vehicles
50302 · Advertising	50,000	
50303-1 · Legal Services	25,000	\$1000 retainer per month plus \$500 month misc
50303-2 · Cash Handel/Payroll Processing	960	ADP \$80 monthly
50303-3 · IT Support/Web Development	30,000	\$2500 per month
50305-0 · Bus Contractor	3,123,664	Based on 5th Year Contract \$96.63 per rev hr 32,000 miles/reduced service, plus 32k for other items
50305-1 · Contract Costs	29,000	Solutions for Transit \$2084*12; Core Enginng \$4000 annually
50305-2 · Equipment Maintenance	15,000	misc equipment repair
50305-3 · Office Equip Repair	500	repairs on office equipment
50305-4 · Vehicle Repair & Maintance	20,000	repairs on vehicles not part of service contractor contract
50305-5 · Building Repairs & Maintance	5,000	YCIPTA building repairs
50305-6 · Communications/Radio Service	25,000	Annual City of Yuma Maintenance Agreement for Radios
50305-7 · Grounds Keeping/Pest Control	750	pest control & grounds service
50305-8 · Software Updates/Maintenance	45,000	Next Bus Maintenance Contract, Quickbooks Renewal, Altura Phone System Maintenance Contract, Software Annual Updates
50306-1 · Bus Cleaning Services	0	Sanitation of Buses \$3000 per month
50307 · Security Services	1,000	Office Alarm
Total 50300 · Services	3,694,234	
50400 · Materials and Supplies		
50401 · Fuel, Oil, Lubricants	840,000	Average 70,000 per month
50499-1 · Office Supplies	10,000	
50499-2 · Postage	1,000	UPSP & Fed Ez
50499-3 · Printing	25,000	to include Legal Notices/public notices/brochures/hopstetters maintenance contract
50499-4 · Misc Materials & Supplies	5,000	replacement of flags, miscellaneous supplies
Total 50400 · Materials and Supplies	881,000	
50500 · Utilities		
50501 · Electricy	15,000	
50502-1 · Refuse Disposal	3,000	

Yuma County Intergovernmental Public Transportation Auth.
FY 2023 Budget
 July 2022 through June 2023

	FY 2023 Budget	Detail/Explanation
50502-2 · Water - Offices	1,500	
Total 50500 · Utilities	19,500	
50600 · Casualty and Liability Insuranc		
50608-1 · Gen Liab Insurance	2,500	
50608-2 · Prof. Liability Insurance	5,000	
50608-3 · Automobile Insurance	3,700	
50608-4 · Property Insurance	500	
Total 50600 · Casualty and Liability Insuranc	11,200	
50900 · Miscellaneous Expenses		
50901 · Memberships/Dues/Subscriptions	15,000	
50902 · Travel Expenses	10,000	
50906 · Finance Charges/Penalties	80,000	Includes interest payable to YC
50999-1 · License and Permits	300	
50999-2 · Training/Education	15,000	Training Line Item in 5307 Awards
50999-3 · Other Misc Expense	1,400,000	This includes Payable to the YC
50999-5 · Telephone/Internet	8,000	Treasurer Account
Total 50900 · Miscellaneous Expenses	1,528,300	
51200 · Leases and Rentals		
51212-1 · Building Lease	52,800	4400 per month per lease
51212-4 · Lease	9,000	agreement
Total 51200 · Leases and Rentals	61,800	
51600 · Capital Outlay		
51600-3 · Buildings/Mutli Modal Center	1,576,734	Multimodel Center
51600-5 · Automobiles	146,000	5311 Buses \$146,000
51600-6 · Furniture and Equipment	267,947	Grant Items for Furniture & Equipment including bus stop sign, signs on buses, bus shelters Upgrade Next Bus Equipment
Total 51600 · Capital Outlay	1,990,681	
Total Expense	8,660,647	
Net Ordinary Income	-0	

**Apporoximate Total of Match Contributions Needed for FY
2022 Revenues**

\$ 2,374,975.51

Cash Match Contribution

Local Funding Government Entities Match Contribution 877,851.00
Local Funding Contribution of Public Entities 666,005.28

Fare Revenues 404,000.00
Total Cash Match Contribution \$ 1,947,856.28

In Kind Contribution

Yuma County Financial Services 4.82%
Greyhound In Kind Contrubution -
Quechan Tribe Parking Lot Contribtution 22,248.00
City of Yuma Cash Match for Hotel Del Sol 368,223.02
\$ 390,471.02

Total Match Contributions \$ 2,338,327.30

Should be Zero/ neg is a deficit - positive is over \$ (36,648.21)

FEDERAL FUNDING-REVENUE SHEET

	Approximate FED Portion Balance	FTA Apportionments needing to apply for	TOTAL FUNDING	Match Funding	TOTAL	Match Ratio
FTA STP FUNDING						
STP 2019-036-00 Balance	13,428.09	-	13,428.09	811.67	14,239.76	94.3/5.7
2019 Apportionment		149,980.00	149,980.00	9,065.60	159,045.60	94.3/5.7
2020 Apportionment		149,051.00	149,051.00	9,009.45	158,060.45	94.3/5.7
2021 Apportionment						
Total STP Funding			312,459.09	9,877.27	322,336.36	

	Approximate FED Portion Balance	FTA Apportionments needing to apply for	TOTAL FUNDING	Match Funding	Total	Match Ratio
2020-030-00,2019-035-00,2019-010-00, 2018-003-00, X143, X132, X127						
X-127-Terminal/Facility	582,110.00		582,110.00	145,527.50	727,637.50	80/20
X-127-ACQ Admin/Maint Facility	103,842.28		103,842.28	25,960.57	129,802.85	80/20
X-127-ACQ Mobile Surv/Security Equip	4,776.60		4,776.60	1,194.15	5,970.75	80/20
X-132-Terminal/Facility	890,782.08		890,782.08	222,695.52	1,113,477.60	80/20
X132-Security Equip	21,432.14		21,432.14	5,358.04	26,790.18	80/20
X132-Bus signage	12,160.00		12,160.00	3,040.00	15,200.00	80/20
X132-Bus Shelters	13,254.76		13,254.76	3,313.69	16,568.45	80/20
X143-Short Range Tranist Planning	67,773.20		67,773.20	16,943.30	84,716.50	80/20
X143-Aquire Mobile Surv/Security Equip	40,000.00		40,000.00	10,000.00	50,000.00	80/20
X143-Employee Training	7,437.17		7,437.17	1,859.29	9,296.46	80/20
2018-003-Bus Rolling Stock	22,141.00		22,141.00	5,535.25	27,676.25	80/20
2018-003-Acuire Mobile Surv/Security Equip	86,679.00		86,679.00	21,669.75	108,348.75	80/20
2018-003-ADA	79,398.05		79,398.05	19,849.51	99,247.56	80/20
2018-003-Shelters	23,894.90		23,894.90	5,973.73	29,868.63	80/20
2018-003-Signage	12,160.00		12,160.00	3,040.00	15,200.00	80/20
2019-010-01 ADA	50,000.00	\$ 110,000	50,000.00	12,500.00	62,500.00	80/20
2019-010.01 Employee Education/Training		15,119.07		-	-	80/20
2019-035-01 ADA		160,000.00		-	-	80/20
2019-035-01 Employee Education/Training		\$ 25,000		-	-	80/20
2019,2020 Apportionment Operating	1,100,000.00		1,100,000.00	1,100,000.00	2,200,000.00	50/50
Preventative Maintenance	300,000.00		300,000.00	75,000.00	375,000.00	
2019,2020 Apportionment* remainder		\$ 6,502,193				
Total FTA 5307 Funding	3,117,841.18	310,119.07	3,117,841.18	1,604,460.30	5,097,301.48	

162,253.56 32,450.71

21000 -4200

727637.5 (145,527.50)

62500

**These amounts are not yet applied for
They are not included in the total Funding Available*

	5311 GRANT FOR FFY20 Year Two (10/1/2022- 9/30/23)	Total Funding	Match Funding	TOTAL	
ADOT 5311 FUNDING					
Administration-5311	384,790.00	384,790.00	75000.00	459,790.00	80/20
Ops/Intercity-5311	435,000.00	435,000.00	325862.07	760,862.07	58/42

Ops-5311	812,000.00		812,000.00	293275.88	1,105,275.88	58/42
Preventative Maintenance	96,000.00		96,000.00	30,000.00	126,000.00	80/20
Verhicles	146,000.00		146,000.00	36,500.00	182,500.00	
TOTAL 5311 FUNDING INCLUDING ESTIMATED FUNDING	1,873,790.00	-	1,873,790.00	760637.95	2,634,427.95	

5310 Active Grant Balance 5310-		Total Funding	Match Funding	
5310 Funding (5310-2019-Yuma County-00079)	2019-0079			
5310 - Travel Training Year One	-	-	-	80/20
5310 - Travel Training Year Two	-	-	-	80/20
TOTAL 5310 FUNDING	-	-	-	

FUNDING SOURCES	Total Funding	Match Funding
STP	312,459.09	9,877.27
FTA 5307	3,117,841.18	1,604,460.30
ADOT 5311	1,873,790.00	760,637.95
ADOT 5310	-	-
TOTAL YCIPTA FEDERAL FUNDING	5,304,090.27	2,374,975.51



Yuma County Intergovernmental Public Transportation Authority

2715 East 14th Street, Yuma, AZ 85365-1900, Telephone: 928-539-7076
Fax: 928-783-0309, email: info@ycipta.az.gov, Web: www.ycipta.az.gov

June 22, 2022

Discussion and Action Item 6

To: Yuma County Intergovernmental Public Transportation Authority
Board of Directors
From: Shelly Kreger, Transit Director
Subject: Discussion and or action regarding the FY2022 Triennial Review

Requested Action: N/A

Background and Summary: Every three years the Federal Transit Administration conducts a Triennial Review as required by 49 U.S.C. Chapter 53 and other requirements.

During this review there were deficiencies in 6 out of the 23 areas reviewed as listed below and also contained on page 37 of the final report as well as the corrective action that YCIPTA must accomplish.

1. Tech Capacity – Award Management, Late or unsubmitted MPR/FFR's, incorrect FFR reporting, MPR's lack required information.
2. Tech Capacity – Subrecipient Oversight – Inadequate oversight of sub-recipient (City of Yuma).
3. Satisfactory Continuing Control – inadequate equipment records.
4. Procurement – Responsibility determination deficiencies
5. DBE – Semi annual reports not submitted or not timely
6. EEO – insufficient oversight of subrecipient/contractors EEO program

Staff is working on submitting the corrective actions by response dates.

Financial Impacts: N/A

Budgeted: N/A

Recommended Motion N/A

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Susan M. Zambrano - Arizona Western College, Dr. Michael Sabath - Northern Arizona University

Shelly Kreger, Transit Director

Legal Counsel Review: N/A

Attachments: FY2022 Triennial Review – Final Report

For information regarding this agenda item, please contact Shelly Kreger via email to: skreger@ycipta.az.gov or call 928-539-7076, extension 101.

Approved for submission:



Shelly Kreger
Transit Director

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Shelly Kreger, Transit Director

FINAL REPORT

**FISCAL YEAR 2022
TRIENNIAL REVIEW**

of

**Yuma County Intergovernmental Public Transportation Authority
(YCIPTA)
Yuma, AZ
ID: 7102**

Performed for:

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL TRANSIT ADMINISTRATION
REGION 9**

Prepared By:

Calyptus Consulting Group, Inc.

Scoping Meeting Date: March 2, 2022

Site Visit Date: March 24-31, 2022

Draft Report Date: May 3, 2022

Final Report Date: June 7, 2022

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I. Executive Summary

This report documents the Federal Transit Administration’s (FTA) Triennial Review of the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) of Yuma, Arizona. The FTA wants to ensure that awards are administered in accordance with the requirements of federal public transportation law 49 U.S.C. Chapter 53. The review was performed by Calyptus Consulting Group, Inc. (Reviewer). During the virtual site visit, administrative and statutory requirements were discussed and documents were reviewed.

Due to the Coronavirus 2019 (COVID-19) Public Health Emergency, a virtual site visit was conducted for this Triennial Review. In addition, the review was expanded to address the YCIPTA’s compliance with the administrative relief and flexibilities FTA granted and the requirements of the COVID-19 Relief funds received through the Coronavirus Aid, Relief, and Economic Security (CARES) Act; Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) of 2021; and American Rescue Plan (ARP) Act of 2021. The YCIPTA was also requested to share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The Triennial Review focused on the YCIPTA’s compliance in 23 areas. Three (3) areas were not applicable. Deficiencies related to the COVID-19 Relief funds have been clearly identified as part of the deficiency description in the respective review area.

Deficiencies were found in the area(s) listed below.

Review Area	Deficiencies	
	Code	Description
Technical Capacity – Award Management (TC-AM)	TC-AM1-1*	Late or unsubmitted MPR/FFRs
	TC-AM2-1	Incorrect FFR Reporting
	TC-AM3-1*	MPRs lack required information
TC – Program Management and Subrecipient Oversight (TC-PgM)	TC-PgM7-1	Inadequate oversight of subrecipients
Satisfactory Continuing Control (SCC)	SCC8-3	Inadequate equipment records
Procurement (P)	P4-1	Responsibility determination deficiencies
	P5-1	Incomplete written documentation of procurement history
	P10-1	Lacking independent cost estimate
	P10-2	Lacking required cost or price analysis
Disadvantaged Business Enterprise (DBE)	DBE4-1*	Semi-annual DBE reports not submitted or not submitted timely

Review Area	Deficiencies	
	Code	Description
	DBE5-1	DBE uniform reports contain inaccuracies and/or are missing required information
	DBE8-1	Inadequate implementation of race-neutral measures
Equal Employment Opportunity (EEO)	EEO5-1	Insufficient oversight of subrecipient/contractor EEO Program

* denotes a repeat deficiency

II. Review Background and Process

1. Background

The United States Code, Chapter 53 of Title 49 (49 U.S.C. 5307(f)(2)) requires that “At least once every 3 years, the Secretary shall review and evaluate completely the performance of a recipient in carrying out the recipient’s program, specifically referring to compliance with statutory and administrative requirements...” This Triennial Review was performed in accordance with the FTA procedures (published in FTA Order 9010.1B, April 5, 1993).

The Triennial Review process includes a review of the recipient’s compliance in 23 areas. The basic requirements for each of these areas are summarized in Section IV.

This report presents the findings from the Triennial Review of the YCIPTA. The review concentrated on procedures and practices employed since the YCIPTA’s previous Triennial Review; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of award funds. The specific documents reviewed and referenced in this report are available through the FTA’s regional office or the recipient’s office.

2. Process

The Triennial Review includes a pre-review assessment, a desk review and scoping meeting with the FTA regional office, and a virtual site visit. Due to the COVID-19 Public Health Emergency, a virtual site visit was conducted of each recipient. In addition, the review was expanded to address the recipient’s compliance with the administrative relief and flexibilities that the FTA granted and the requirements of the COVID-19 relief funds received through the CARES Act, CRRSAA of 2021, and ARP Act of 2021. Recipients were also requested to share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The Fiscal Year (FY) 2022 process began with the regional office transmitting, a recipient information request (RIR) to the YCIPTA on November 23, 2021 indicating a review would be conducted. While the YCIPTA prepared its response to the RIR, the regional office and review team conducted a desk review and scoping meeting on March 2, 2022. Necessary files retained by the regional office were sent to the Reviewer electronically. Following the desk review and scoping meeting, the Reviewer and the recipient corresponded and exchanged information and documentation in preparation for the virtual site visit. As a result of this review, an agenda package indicating the issues that would be discussed, records to be reviewed, and interviews to be conducted was then sent to the YCIPTA on March 8, 2022. The virtual site visit occurred March 24-31, 2022.

The virtual site visit portion of the review began with an entrance conference, at which the purpose of the Triennial Review and the review process were discussed. The Reviewer conducted additional interviews and reviewed documentation to evidence the YCIPTA’s compliance with FTA requirements.

Upon completion of the review, the FTA and the Reviewer provided a summary of findings to the YCIPTA at an exit conference. Section VI of this report lists the individuals participating in the review.

3. Metrics

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are:

- Not Deficient: An area is considered not deficient if, during the review, nothing came to light that would indicate the requirements within the area reviewed were not met.
- Deficient: An area is considered deficient if any of the requirements within the area reviewed were not met.
- Not Applicable: An area can be deemed not applicable if, after an initial assessment, the recipient does not conduct activities for which the requirements of the respective area would be applicable.

III. Recipient Description

1. Organization

The Yuma County Intergovernmental Public Transportation Authority (YCIPTA) was formed on December 13, 2010 by the Yuma County Board of Supervisors to administer, plan, operate, and maintain public transit services throughout Yuma County. The YCIPTA's membership is comprised of Yuma County; the Cities of Yuma, Somerton, and San Luis; the Town of Wellton; Northern Arizona University Yuma; Arizona Western College; and the Quechan and Cocopah Indian Tribes. The YCIPTA is governed by a nine (9) member Board of Directors, consisting of administrative professionals from each of the member entities.

In 2001, the Yuma Metropolitan Planning Organization (YMPO) began funding public transportation to the southern portion of Yuma County, in the southwest corner of the state. The name of the transit system was adopted in 2002 as Yuma County Area Transit (YCAT). The YCIPTA assumed operation of YCAT on July 1, 2012. The service area is bounded on the north by the State of California and on the south and west by Mexico. The population of the service area is approximately 202,987 persons.

The YCIPTA operates 11 bus routes with 28 FTA-funded vehicles, the majority of the vehicles were funded through Arizona Department of Transportation's (ADOT) Section 5311 program. Fixed-route service is provided Monday through Friday from 5:20 a.m. to 8:30 p.m., and Saturday from 9:30 a.m. to 6:30 p.m. Limited evening service is provided from Arizona Western College, Northern Arizona University, and the University of Arizona; and other specific Yuma County and eastern Imperial County destinations until 11:00 p.m. on weekdays. There is no service on Sunday.

Bus service is oriented around several transfer centers including the Downtown Yuma Transit Center at 3rd Street and Gila Street, Cocopah Casino Resort, El Centro Regional Bus Transfer Terminal, Arizona Western College, and the West Yuma Transfer Hub. The YCIPTA contracts with RATP Dev, LLC to provide operations and maintenance services.

ADA complementary paratransit service, known as YCAT OnCall, is provided during the same days and hours as the fixed-route service. This service is also contracted through RATP Dev, LLC.

The YCIPTA sponsors a Section 5311-funded vanpool program. YCAT Vanpool provides clearly marked vans to qualifying groups of seven (7) to 15 commuters, driven by a vanpool member. The YCIPTA provides a \$300 subsidy to vans on a first come, first served basis through Commute with Enterprise Leasing Company of Phoenix, LLC. The van must originate, terminate, or travel through Yuma County to be eligible for the subsidy and be branded as YCAT Vanpool through the YCIPTA's contractors. Currently there are 35 vans being utilized. The contract with Enterprise expires on June 30, 2026.

The basic YCIPTA fare is \$2.00. A reduced fare of \$1.00 is offered to seniors 65 years or older, students ages 5 to 18, persons with disabilities, and Medicare cardholders during all hours of operation. The YCIPTA also offers daily, 10-day, and 31-day unlimited ride passes. The base one-way fare for the YCAT OnCall ADA service is \$4.00.

The YCIPTA’s administrative offices are located at 2715 East 14th Street in Yuma. Fixed-route and ADA paratransit services are operated from the same administrative office/bus facility. The FTA participates in the lease agreement for this private facility with Section 5307 operating assistance.

2. Award and Project Activity

Below is a list of YCIPTA’s open awards at the time of the review.

Federal Award Identification Number	Award Amount	Year Executed	Award Name
AZ-2021-039	\$506,433	2021	YCIPTA FFY21 5307 ARP Operating Assistance
AZ-2019-010	\$2,046,000	2019	5307 Capital and Operating Assistance - Yuma, Arizona
AZ-90-X127	\$3,845,482	2015	2013 Operating & Capital Assistance
AZ-2018-003	\$4,845,414	2018	YCAT Capital and Operating Assistance 2017-2018
AZ-2020-030	\$8,197,915	2021	5307 CARES Operating Assistance - Yuma, Arizona
AZ-2019-035	\$2,427,250	2019	5307 Capital and Operating Assistance - Yuma, Arizona
AZ-90-X132	\$4,604,159	2014	FFY 2014 Operating & Capital Assistance
AZ-2019-036	\$319,449	2019	FY17 and FY18 Section 5307 Surface Transportation Block Grant Transfer for Capital - Yuma Arizona
AZ-90-X143	\$2,685,427	2015	FFY 2015 Operating & Capital Assist

The YCIPTA received supplemental funds for operating assistance in award numbers AZ-2020-030 and AZ-2021-039. This is the YCIPTA’s first time receiving operating assistance from the FTA.

Projects Completed

In the past few years, the YCIPTA completed the following noteworthy project:

- Purchase of vacant property for future maintenance and operations facility

Ongoing Projects

The YCIPTA is currently implementing the following noteworthy project:

- Hotel Del Sol – City of Yuma project – future transit center in design phase

Future Projects

The YCIPTA plans to pursue the following noteworthy projects in the next three to five years:

- Anticipating beginning design and future construction of maintenance and operations facility. Also, delivery of 8 new Gillig buses in 2022.

IV. Results of the Review

1. Legal

Basic Requirement: The recipient must promptly notify the FTA of legal matters and additionally notify the U.S. Department of Transportation (US DOT) Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Legal.

2. Financial Management and Capacity

Basic Requirement: The recipient must have financial policies and procedures; an organizational structure that defines, assigns and delegates fiduciary authority; and financial management systems in place to manage, match, and charge only allowable costs to the award. The recipient must conduct required Single Audits, as required by 2 CFR part 200, and provide financial oversight of subrecipients.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Financial Management and Capacity.

3. Technical Capacity – Award Management

Basic Requirement: The recipient must report progress of projects in awards to the Federal Transit Administration (FTA) and close awards timely.

Finding: During this Triennial Review of the YCIPTA, three (3) deficiencies were found with the FTA requirements for Technical Capacity – Award Management.

Deficiency Description #1: Late or unsubmitted MPR/FFRs (TC-AM1-1)

MPR/FFR reporting was consistently late throughout the review period. The YCIPTA does not have an implemented process/procedure to ensure that reports are submitted on-time. All reports for the most recent reporting period were submitted late (see below):

- AZ-2019-010 FY21 MPR submitted 11/2/2021 FFR submitted 11/12/2021;
- AZ-2019-035 FY21 MPR/FFR submitted 11/12/2021;
- AZ-2019-036 FY21 MPR/FFR submitted 11/12/2021;
- AZ-2021-039 MPR/FFR submitted 11/12/2021;

- AZ-90-X127 Q4 FY21 MPR/FFR submitted 11/8/2021;
- AZ-90-X132 Q4 FY21 MPR/FFR submitted 11/8/2021;
- AZ-90-X143 QA FY21 MPR/FFR submitted 11/8/2021;
- AZ-2018-003 Q4FY21 MPR/FFR submitted 11/8/2021;
- AZ-2020-030 Q4 FY21 MPR/FFR submitted 11/12/2021

This is a repeat deficiency from the FY 2018 Triennial Review.

The FY2022 Q2 FFRs and MPRs for all five (5) awards were submitted on time. The FTA Regional Office should be notified once these reports are submitted timely for FY2022 Q3.

2 CFR 200.328 Financial reporting

Unless otherwise approved by OMB (Office of Management and Budget), the Federal awarding agency may solicit only the standard, OMB-approved government wide data elements for collection of financial information (at time of publication the Federal Financial Report or such future collections as may be approved by OMB and listed on the OMB Web site). This information must be collected with the frequency required by the terms and conditions of the Federal award, but no less frequently than annually nor more frequently than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes, and preferably in coordination with performance reporting.

2 CFR 200.329 Monitoring and reporting program performance

(b) Non-construction performance reports. The Federal awarding agency must use standard, OMB-approved data elements for collection of performance information (including performance progress reports, Research Performance Progress Report, or such future collections as may be approved by OMB and listed on the OMB Web site).

(1) The non-Federal entity must submit performance reports at the interval required by the Federal awarding agency or pass-through entity to best inform improvements in program outcomes and productivity. Intervals must be no less frequent than annually nor more frequent than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes. Annual reports must be due 90 calendar days after the reporting period; quarterly or semiannual reports must be due 30 calendar days after the reporting period. Alternatively, the Federal awarding agency or pass-through entity may require annual reports before the anniversary dates of multiple year Federal awards. The final performance report will be due 90 calendar days after the period of performance end date. If a justified request is submitted by a non-Federal entity, the Federal agency may extend the due date for any performance report.

(c) Construction performance reports. For the most part, onsite technical inspections and certified percentage of completion data are relied on heavily by Federal awarding agencies and pass-through entities to monitor progress under Federal awards and subawards for construction. The Federal awarding agency may require additional performance reports only when considered necessary.

FTA Circular 5010.1E, Chapter. III, Section 3. Reporting Requirements

e. Report Due Dates. For FFRs and MPRs, the following reporting dates apply:

(1) Recipients located in urbanized areas of 200,000 or more populations. Recipients located in urbanized areas of 200,000 or more populations who receive more than \$1 million in funds from FTA, FFRs and MPRs must be submitted and are due to FTA within 30 days after the end of each quarter, i.e., by January 30, April 30, July 30, and October 30. The FTA regional or metropolitan office may request more frequent reporting or additional reports if circumstances warrant additional reporting.

Recipients located in urbanized areas of 200,000 or more populations who receive less than \$1 million in funds from FTA, FFRs and MPRs must be submitted and are due October 30, one month after the federal fiscal year (FY) ends. The FTA regional or metropolitan office may request more frequent reporting or additional reports if circumstances warrant additional reporting.

(2) Recipients located in urbanized areas of less than 200,000 populations. FFRs and MPRs must be submitted and are due October 30, one month after the federal fiscal year (FY) ends. The FTA regional or metropolitan office may request more frequent reporting or additional reports if circumstances warrant additional reporting.

(3) FTA may utilize a risk based approach to change the frequency of reporting requirements for a particular Award or recipient. This will be noted in the Grant Agreement or Cooperative Agreement.

(4) Exceptions:

(a) Section 5309 Grants: All grant recipients, regardless of location and population area, are required to submit quarterly reports in TrAMS according to the dates in subsection 3.e.(1) above when grants include construction of facility.

(b) State Departments of Transportation (State DOTs): State DOTs are required to report annually for all state administered programs; this includes Sections 5303, 5304, 5307 (Governor's Apportionment), 5310, 5311, former Section 5316, and former Section 5317 programs. The exception described in the preceding paragraph applies to the State DOTs.

(c) If the provisions of this FTA Circular 5010.1 differ from the provisions of the applicable FTA Programmatic Circular, the Program Circular takes precedence. FTA at its discretion may always require more stringent reporting or specialized reports. Depending on project complexity, at its discretion, FTA may also request other special reports or quarterly project management meetings."

FTA Dear Colleague Letter on Risk-Based Reporting Policy, October 9, 2017

OMB Memorandum M-20-17, “Administrative Relief for Recipients and Applicants of Federal Financial Assistance Directly Impacted by the Novel Coronavirus (COVID-19) due to Loss of Operations,” March 19, 2020

10. Extension of financial, performance, and other reporting. (2 CFR§ 200.327, 2 CFR§ 200.328)

Awarding agencies may allow grantees to delay submission of financial, performance and other reports up to three (3) months beyond the normal due date. If an agency allows such a delay, grantees will continue to draw down Federal funds without the timely submission of these reports. However, these reports must be submitted at the end of the postponed period. In addition, awarding agencies may waive the requirement for recipients to notify the agency of problems, delays or adverse conditions related to COVID-19 on a grant by grant basis (200 CFR 200.328(d)(1)).

OMB Memorandum M-20-26 “Audit Extension” June 18, 2020

Extension of Single Audit Submission from Appendix A, M-20-26:

1. Extension of Single Audit Submission and COVID-19 Emergency Acts Fund Reporting. (2 CFR § 200.512)

Awarding agencies, in their capacity as cognizant or oversight agencies for audit, may allow recipients and subrecipients that have not yet filed their single audits with the Federal Audit Clearinghouse as of March 19, 2020 that have normal due dates from March 30, 2020 through June 30, 2020 to delay the completion and submission of the Single Audit reporting package, as required under Subpart F of 2 CFR § 200.501 -Audit Requirements, up to six (6) months beyond the normal due date. Audits with normal due dates from July 31, 2020 through September 30, 2020 will have an extension up to three (3) months beyond the normal due date. No further action by awarding agencies is required to enact this extension. This extension does not require individual recipients and subrecipients to seek approval for the extension by the cognizant or oversight agency for audit; however, recipients and subrecipients should maintain documentation of the reason for the delayed filing. Recipients and subrecipients taking advantage of this extension would still qualify as a "low-risk auditee" under the criteria of 2 CFR § 200.520 (a) Criteria for a low-risk auditee.

Additionally, in order to provide adequate oversight of the COVID-19 Emergency Acts funding and programs, recipients and subrecipients must separately identify the COVID-19 Emergency Acts expenditures on the Schedules of Expenditures of Federal Awards and audit report findings.

FTA Frequently Asked Questions from FTA Grantees Regarding Coronavirus Disease 2019 (COVID-19), AD2

Recipients may delay submission by up to 90 days. A recipient’s next report, therefore, would be for the quarter ending June 30, 2020, with the report due on July 30, 2020.

Corrective Action(s) and Schedule: By July 30, 2022, the YCIPTA must:

- 1) Provide implemented procedures for submitting future reports on time certified by the Executive Director of the YCIPTA, including:
 - Specific due dates for MPR/FFR development, approval, and submission governing reporting,
 - Roles and responsibilities for ensuring completeness and timeliness, including communication and involvement of the Executive Director, and
 - Contacting the FTA Program Manager at least 30 days in advance, if an extension is required, documenting the reasons for the request.
- 2) Train relevant staff on the new procedures and provide evidence of the training (e.g. a meeting sign-in sheet, memorandum of training, et. al.).
- 3) Email the FTA regional office when the FY2022 Q3 FFRs and MPRs are submitted, and the reports must be submitted on time.

Deficiency Description #2: Incorrect FFR Reporting (TC-AM2-1)

The YCIPTA does not have a process for tracking and reporting unliquidated obligations. Unliquidated obligations for the 2020 rolling stock award were not reported (AZ-2020-030). Unliquidated obligations for bus shelters (AZ-90-X132 and AZ-2018-003) were also not reported during the review period.

After the review, the FY2022 Q2 FFRs were submitted including unliquidated obligations as appropriate.

2 CFR 200.328 Financial reporting

Unless otherwise approved by OMB, the Federal awarding agency may solicit only the standard, OMB-approved government wide data elements for collection of financial information (at time of publication the Federal Financial Report or such future collections as may be approved by OMB and listed on the OMB Web site). This information must be collected with the frequency required by the terms and conditions of the Federal award, but no less frequently than annually nor more frequently than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes, and preferably in coordination with performance reporting.

2 CFR 200.97 Unliquidated obligations

Unliquidated obligations means, for financial reports prepared on a cash basis, obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are obligations incurred by the non-Federal entity for which an expenditure has not been recorded.

FTA Circular 5010.1E, Chapter. III, Section 3. Reporting Requirements

3. *Federal Financial Report (FFR). FTA’s electronic FFR report is consistent with and includes information identified in OMB’s Standard Form FFR (SF FFR). A recipient must submit an FFR for each active Award. The FFR accompanies the MPR (described below) and is used to monitor the federal assistance awarded. The purpose of the FFR is to provide a current, complete, and accurate financial picture of the Award. This report is submitted electronically through TrAMS. The first 4 items (A-D) are prepared using cash accounting. The remaining report items (E-U) must be prepared on the accrual basis of accounting; that is, income is recorded when earned instead of when received, and expenses are recorded when incurred instead of when paid. These items, (E-U) of the FFR, may not be prepared on the cash basis of accounting, even though a recipient may keep its books on the cash basis during its accounting year. If this is the case, at the submission of the FFR, the recipient must prepare the necessary accruals and submit the FFR on the accrual basis of accounting. (See Appendix B, “Federal Financial Report”).*

The FFR must contain the following elements:

- (1) *All financial facts (e.g., expenditures and obligations) relating to the Award (scope of work and supporting activities); the purpose of each financial report and applicable reporting period should be completely and clearly displayed in the reports.*
- (2) *Reported financial data should be accurate to the last Award Budget (this may be the initial Award, or last revision to the Award Budget or amendment to the Award) and the reporting period. The requirement for accuracy does not rule out inclusion of reasonable estimates when precise measurement is impractical, uneconomical, unnecessary, or conducive to delay. Financial data reported may reconcile data included in the prior report, and must be explained in the explanation/remarks section of the report.*
- (3) *Financial reports must be based on the required supporting documentation maintained in the recipient’s official financial management system that produces information that objectively discloses financial aspects of events or transactions.*
- (4) *Financial data reported should be derived from accounts that are maintained on a consistent, periodic basis; material changes in accounting policies or methods and their effect must be clearly explained.*
- (5) *Reporting terminology used in financial reports to FTA should be consistent with receipt and expense classifications included in the latest Award.*
- (6) *The recipient is responsible for indicating whether or not it is charging indirect costs to the Award at the time of application. If the recipient is charging indirect costs to the Award, the recipient is responsible for having an approved Indirect Cost Rate Proposal or Cost Allocation Plan approved by the cognizant agency on file, and uploading the documentation into their TrAMS “Recipient Profile.” The recipient must report on related indirect expenditures.*

(7) *The recipient must provide financial information related to the FFR categories: Federal Cash, Recipient Share, Unliquidated Obligations, and Program Income.*

Corrective Action(s) and Schedule: By July 8, 2022, the YCIPTA must submit to the FTA regional office procedures for tracking and reporting unliquidated obligations.

Deficiency Description #3: MPRs lack required information (TC-AM3-1)

The review of the most recent MPR submittals included extensions of line items for security equipment (AZ-90-X143), bus shelters and training (AZ-2018-003) through 2022. There was no explanation for the extension, discussion of the expected impacts, or efforts to recover from the delays. This is a repeat deficiency from the FY18 Triennial Review.

After the review, FY2022 Q2 MPRs were submitted including updates per activity line item (ALI) with explanations of delays as well as impacts and mitigation plans related to those delays as applicable.

2 CFR 200.329 Monitoring and reporting program performance

(a) Monitoring by the non-Federal entity. The non-Federal entity is responsible for oversight of the operations of the Federal award supported activities. The non-Federal entity must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by the non-Federal entity must cover each program, function, or activity. See also § 200.331 Requirements for pass-through entities.

(b) Non-construction performance reports. The Federal awarding agency must use standard, OMB-approved data elements for collection of performance information (including performance progress reports, Research Performance Progress Report, or such future collections as may be approved by OMB and listed on the OMB Web site).

(1) The non-Federal entity must submit performance reports at the interval required by the Federal awarding agency or pass-through entity to best inform improvements in program outcomes and productivity. Intervals must be no less frequent than annually nor more frequent than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes. Annual reports must be due 90 calendar days after the reporting period; quarterly or semiannual reports must be due 30 calendar days after the reporting period. Alternatively, the Federal awarding agency or pass-through entity may require annual reports before the anniversary dates of multiple year Federal awards. The final performance report will be due 90 calendar days after the period of performance end date. If a justified request is submitted by a non-Federal entity, the Federal agency may extend the due date for any performance report.

(2) The non-Federal entity must submit performance reports using OMB-approved government wide standard information collections when providing performance information. As appropriate in accordance with above mentioned information collections, these reports will contain, for each Federal award, brief information on the following unless other collections are approved by OMB:

(i) A comparison of actual accomplishments to the objectives of the Federal award established for the period. Where the accomplishments of the Federal award can be quantified, a computation of the cost (for example, related to units of accomplishment) may be required if that information will be useful. Where performance trend data and analysis would be informative to the Federal awarding agency program, the Federal awarding agency should include this as a performance reporting requirement.

(ii) The reasons why established goals were not met, if appropriate.

(iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(c) Construction performance reports. For the most part, onsite technical inspections and certified percentage of completion data are relied on heavily by Federal awarding agencies and pass-through entities to monitor progress under Federal awards and subawards for construction. The Federal awarding agency may require additional performance reports only when considered necessary.

(d) Significant developments. Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, the non-Federal entity must inform the Federal awarding agency or pass-through entity as soon as the following types of conditions become known:

(1) Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

(2) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

(e) The Federal awarding agency may make site visits as warranted by program needs.

(f) The Federal awarding agency may waive any performance report required by this part if not needed.

FTA Circular 5010.1E, Chapter. III, Section 3. Reporting Requirements

a. Milestone Progress Reports (MPR). The MPRs must be submitted for each active Award. The MPR is the primary written communication between the recipient and FTA. This report must be submitted electronically. If only operating assistance is included in the Award, the reporting requirements are limited to the actual dates when all federal assistance has been expended.

The information provided in MPR reports should be as complete as possible, highlighting progress toward project objectives and any potential problem areas.

Each MPR must include the following data as appropriate:

- (1) *The current status, at a minimum, of each milestone that has passed during the prior reporting period, within an active Award. FTA, at its discretion, may request a recipient to update each milestone within an active Award. MPRs should identify:*
- a) *The actual completion dates for any milestones completed during the reporting period, and*
 - b) *Any revised dates when any original (or last revised) completion dates were not met.*
 - c) *If the milestone date exceeds the Award end date, the recipient should consult the FTA Regional Office to determine if the change to the Award end date will be made through a budget revision or an amendment.*
- (2) *A narrative of the activity status, any problems encountered in implementation, specification preparation, bid solicitation, resolution of protests, and third-party contract Awards.*
- (3) *A detailed discussion of all Award Budget or schedule changes.*
- (4) *An explanation of why scheduled milestones or completion dates were not met.*
- (5) *Identification of problem areas and a narrative on how the problems will be solved.*
- (6) *A discussion of the expected impacts and the efforts to recover from the delays.*
- (7) *An analysis of each significant project cost variance: Completion and acceptance of equipment and construction or other work should be discussed, together with a breakout of the costs incurred and those costs required to complete the project. Use quantitative measures, such as hours worked, sections completed, or units delivered.*
- (8) *A list of all outstanding claims exceeding \$100,000, and all claims settled during the reporting period. This list should be accompanied by a brief description, estimated costs, and the reasons for the claims.*
- (9) *A list of all potential and executed change orders, as defined in Circular 4220.1, and amounts exceeding \$100,000, pending or settled, during the reporting period. This list should be accompanied by a brief description. Identification of change orders does not imply notification, acceptance, or approval of budgetary changes that might be required.*
- (10) *A list of claims or litigation involving third-party contracts and potential third-party contracts that:*
- a) *Have a value exceeding \$100,000;*
 - b) *Involve a controversial matter, irrespective of amount; or*
 - c) *Involve a highly publicized matter, irrespective of amount.*

(11) *A list of all real property acquisition actions, including just compensation, property or properties under litigation, administrative settlements, and condemnation for each parcel during the reporting period.*

(12) *All rolling stock ALIs must include a milestone for Contract Award.*

Corrective Action(s) and Schedule: By July 8, 2022, the YCIPTA must submit to the FTA regional office procedures for ensuring all required information is included in future reports.

4. Technical Capacity – Program Management & Subrecipient Oversight

Basic Requirement: States must document and follow a public involvement process for the development of the long-range statewide transportation plan and State Transportation Improvement Program (STIP). Designated recipients of Sections 5310, 5311, and 5339 funds must develop and submit a State Management/ Program Management Plan to the FTA for approval. Recipients must enter into an agreement with each subrecipient, obtain required certifications from subrecipients, report in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) on subawards, and ensure subrecipients comply with the terms of the award.

Finding: During this Triennial Review of the YCIPTA, one (1) deficiency was found with the FTA requirements for Technical Capacity – Program Management & Subrecipient Oversight.

Deficiency Description: Inadequate oversight of subrecipients (TC-PgM7-1)

The YCIPTA established a memorandum of understanding (MOU) with the City of Yuma as a subrecipient to design and construct the Hotel del Sol in 2015. This MOU was amended multiple times, most recently in 2021. This subrecipient relationship had not been reviewed in previous Triennial Reviews, and the YCIPTA did not have an established subrecipient monitoring system in place.

During the review, the YCIPTA obtained a lobbying certificate from the City of Yuma and filed a SAM.gov check. The YCIPTA also completed the FSRS report during the report. The MOU does not include the following information required by 2 CFR Part 200:

- City of Yuma unique entity identifier
- Federal Award date of the FTA’s award to the YCIPTA
- Appropriate terms and conditions concerning closeout of the subaward

During the review, the recipient provided evidence of financial and project management oversight of the City. However, the YCIPTA does not have a comprehensive oversight system that ensures the City develops and shares required documentation including Single Audits and the Title VI Plan (compliance with the Title VI Circular). Additionally, it was noted that the City may remain a subrecipient throughout the construction phase of the Hotel del Sol project. Comprehensive oversight/monitoring procedures are not in place for this project.

2 CFR 200.332 Requirement for pass-through entities

All pass-through entities must:

(b) Evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring described in paragraphs (d) and (e) of this section, which may include consideration of such factors as:

- (1) The subrecipient's prior experience with the same or similar subawards;*
- (2) The results of previous audits including whether or not the subrecipient receives a Single Audit in accordance with Subpart F of this part, and the extent to which the same or similar subaward has been audited as a major program;*
- (3) Whether the subrecipient has new personnel or new or substantially changed systems; and*
- (4) The extent and results of Federal awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency).*

(c) Consider imposing specific subaward conditions upon a subrecipient if appropriate as described in §200.208.

(d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward performance goals are achieved. Pass-through entity monitoring of the subrecipient must include:

- (1) Reviewing financial and performance reports required by the pass-through entity.*
- (2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and written confirmation from the subrecipient, highlighting the status of actions planned or taken to address Single Audit findings related to the particular subaward.*
- (3) Issuing a management decision for applicable audit findings pertaining only to the Federal award provided to the subrecipient from the pass-through entity as required by §200.521.*
- (4) The pass-through entity is responsible for resolving audit findings specifically related to the subaward and not responsible for resolving crosscutting findings. If a subrecipient has a current Single Audit report posted in the Federal Audit Clearinghouse and has not otherwise been excluded from receipt of Federal funding (e.g., has been debarred or suspended), the pass-through entity may rely on the subrecipient's cognizant audit agency or cognizant oversight agency to perform audit follow-up and make management decisions related to cross-cutting findings in accordance with section §200.513(a)(3)(vii). Such reliance does not eliminate the responsibility of the pass-through entity to issue subawards that conform to agency and award-*

specific requirements, to manage risk through ongoing subaward monitoring, and to monitor the status of the findings that are specifically related to the subaward.

(e) Depending upon the pass-through entity's assessment of risk posed by the subrecipient (as described in paragraph (b) of this section), the following monitoring tools may be useful for the pass-through entity to ensure proper accountability and compliance with program requirements and achievement of performance goals:

(1) Providing subrecipients with training and technical assistance on program-related matters; and

(2) Performing on-site reviews of the subrecipient's program operations;

(3) Arranging for agreed-upon-procedures engagements as described in §200.425.

(f) Verify that every subrecipient is audited as required by Subpart F of this part when it is expected that the subrecipient's Federal awards expended during the respective fiscal year equaled or exceeded the threshold set forth in §200.501.

(g) Consider whether the results of the subrecipient's audits, on-site reviews, or other monitoring indicate conditions that necessitate adjustments to the pass-through entity's own records.

(h) Consider taking enforcement action against noncompliant subrecipients as described in §200.339 of this part and in program regulations.

FTA Circular 5010.1E, Chapter II, Section 3. Roles and Responsibilities of the Management of Awards

Recipients are responsible for the day-to-day management of their Awards that provide assistance for eligible activities or projects.

a. Recipient Role. In addition to FTA's responsibility to monitor FTA Awards and the federally assisted projects thereunder, recipients must monitor federally assisted activities to ensure compliance with applicable Federal requirements. This includes the administration and management of the Award in compliance with Federal regulations, the Grant or Cooperative Agreement, and applicable FTA circulars. A recipient is also responsible for Federal assistance that "passes through" to a subrecipient...

2 CFR 200.332 Requirements for pass-through entities

All pass-through entities must:

(a) Ensure that every subaward is clearly identified to the subrecipient as a subaward and includes the following information at the time of the subaward and if any of these data elements change, include the changes in subsequent subaward modification. When some of this information is not available, the pass-through entity must provide the best information available to describe the Federal award and subaward. Required information includes:

(1) Federal award identification.

(i) Subrecipient name (which must match the name associated with its unique entity identifier);

(ii) Subrecipient's unique entity identifier;

(iii) Federal Award Identification Number (FAIN);

(iv) Federal Award Date (see the definition of Federal award date in §200.1 of this part) of award to the recipient by the Federal agency;

(v) Subaward Period of Performance Start and End Date;

(vi) Subaward Budget Period Start and End Date;

(vii) Amount of Federal Funds Obligated by this action by the pass-through entity to the subrecipient;

(viii) Total Amount of Federal Funds Obligated to the subrecipient by the pass-through entity including the current financial obligation;

(ix) Total Amount of the Federal Award committed to the subrecipient by the pass-through entity;

(x) Federal award project description, as required to be responsive to the Federal Funding Accountability and Transparency Act (FFATA);

(xi) Name of Federal awarding agency, pass-through entity, and contact information for awarding official of the Pass-through entity;

(xii) Assistance Listings number and Title; the pass-through entity must identify the dollar amount made available under each Federal award and the Assistance Listings Number at time of disbursement;

(xiii) Identification of whether the award is R&D; and

(xiv) Indirect cost rate for the Federal award (including if the de minimis rate is charged) per §200.414.

(2) All requirements imposed by the pass-through entity on the subrecipient so that the Federal award is used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award;

(3) Any additional requirements that the pass-through entity imposes on the subrecipient in order for the pass-through entity to meet its own responsibility to the Federal awarding agency including identification of any required financial and performance reports;

(4)(i) An approved federally recognized indirect cost rate negotiated between the subrecipient and the Federal Government. If no approved rate exists, the pass-through entity must determine the appropriate rate in collaboration with the subrecipient, which is either:

(A) The negotiated indirect cost rate between the pass-through entity and the subrecipient; which can be based on a prior negotiated rate between a different PTE and the same subrecipient. If basing the rate on a previously negotiated rate, the pass-through entity is not required to collect information justifying this rate, but may elect to do so;

(B) The de minimis indirect cost rate.

(ii) The pass-through entity must not require use of a de minimis indirect cost rate if the subrecipient has a Federally approved rate. Subrecipients can elect to use the cost allocation method to account for indirect costs in accordance with §200.405(d).

(5) A requirement that the subrecipient permit the pass-through entity and auditors to have access to the subrecipient's records and financial statements as necessary for the pass-through entity to meet the requirements of this part; and

(6) Appropriate terms and conditions concerning closeout of the subaward.

FTA Frequently Asked Questions from FTA Grantees Regarding Coronavirus Disease 2019 (COVID-19)

ER11: Does a State DOT need to amend all active operating grants in TrAMS and grant agreements with sub-recipients?

A: Yes, for grants in which the State DOT and/or its subrecipients will use the expanded flexibilities. Active grant award recipients, under programs Section 5307 and 5311, that would like the increased flexibility offered will need to complete an award amendment or submit a new application. Award recipients will need to realign funds provided to sub-recipients specifically for COVID-19 Response Activities to the “ER” Account Classification Code (ACC), which was set up by the recipient for the increased flexibility. Appendix II to Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards Please see Procurement review area for the required clauses.

Corrective Action(s) and Schedule: By September 30, 2022, the YCIPTA must submit to the FTA regional office:

- 1) Procedures for evaluating subrecipient risk and a comprehensive program for monitoring subrecipients for compliance with federal requirements and performance goals,
- 2) Documentation of implementation including:
 - Amended agreement incorporating all elements and
 - Completed oversight efforts supported by a checklist with backup documentation (evidence of the City of Yuma compliance).

5. Technical Capacity – Project Management

Basic Requirement: The recipient must be able to implement the Federal Transit Administration (FTA)-funded projects in accordance with the award application, the FTA Master Agreement, and applicable laws and regulations using sound management practices.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Technical Capacity – Project Management.

6. Transit Asset Management

Basic Requirement: Recipients must comply with 49 CFR part 625 to ensure public transportation providers develop and implement transit asset management (TAM) plans.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Transit Asset Management.

7. Satisfactory Continuing Control

Basic Requirement: The recipient must ensure that Federal Transit Administration (FTA)-funded property will remain available to be used for its originally authorized purpose throughout its useful life until disposition.

Finding: During this Triennial Review of the YCIPTA, one (1) deficiency was found with the FTA requirements for Satisfactory and Continuing Control.

Deficiency Description: Inadequate equipment records (SCC8-3)

The YCIPTA equipment records do not include these required data elements required by 2 CFR 200.313:

- Tile holder
- FAIN
- Acquisition date and cost
- Federal percentage
- Use and condition

2 CFR 200.313 Equipment

(b) General. A state must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures. Other non-Federal entities must follow paragraphs (c) through (e) of this section.

(d) Management requirements. Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part under a Federal award, until disposition takes place will, as a minimum, meet the following requirements:

(1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property (including the FAIN), who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

(2) A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.

(3) A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.

Corrective Action(s) and Schedule: By September 30, 2022, the YCIPTA must submit to the FTA regional office updated equipment records which include all the required information.

8. Maintenance

Basic Requirement: Recipients must keep federally-funded vehicles, equipment, and facilities in good operating condition. Recipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Maintenance.

9. Procurement

Basic Requirement: The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, and conform to applicable Federal law and the standards identified in 2 CFR Part 200. State recipients can use the state's overall policies and procedures. When applied to Federal procurements, those policies and procedures must still be compliant with all Federal requirements as applied to non-state recipients. The flexibility afforded by 2 CFR Part 200 should not be misconstrued as absolving a state from Federal requirements. For example, the FTA does not require each State DOT to have policies and procedures separate from the state education department.

Finding: During this Triennial Review of the YCIPTA, four (4) deficiencies were found with the FTA requirements for Procurement.

Deficiencies in review of procurement files

During the virtual site visit to the YCIPTA, five (5) procurement files were reviewed: four (4) requests for proposals and one (1) piggyback was purchased off a Virginia state contract. The table below provides more details about these procurements.

Procurement #	1	2	3	4	5
Goods/Services Procured	Farebox Procurement	Gillig Bus	Legal Services	Strategic Planning	Vanpool Services
Date	2/1/2019	6/1/2020	5/19/2021	11/19/2020	7/1/2020
Dollar Value	768,940	\$3,686,988	\$64,800	\$58,220	\$126,000
Type	Farebox Equipment	Rolling Stock	Services	Services	Services
Method	RFP	Piggyback	RFP	RFP	RFP
New Start or Small Start	No	No	No	No	No
Awarded by Contractors or Subrecipients	No	No	No	No	No
Change Order	No	No	No	No	No
DBE Goal	No	No	No	No	No
Protest	No	No	No	No	No
Deficiencies	P4-1 P10-1 P10-2	P4-1 P5-1 P10-1 P10-2	P4-1	P4-1	P4-1

The responsibility determination deficiency was identified among the above procurements numbered 1, 2, 3, 4, and 5.

The incomplete written procurement history deficiency was identified among the above procurement numbered 2.

The independent cost estimate and cost and price analysis deficiencies were identified among the above procurements numbered 1 and 2.

Deficiency Description #1: Responsibility determination deficiencies (P4-1)

For all five (5) procurements, the YCIPTA did not have documentation of determining responsibility as required by 49 U.S.C 5325(j).

49 U.S.C 5325(j) AWARDS TO RESPONSIBLE CONTRACTORS

(1) IN GENERAL. Federal financial assistance under this chapter may be provided for contracts only if a recipient awards such contracts to responsible contractors possessing the ability to successfully perform under the terms and conditions of a proposed procurement.

(2) CRITERIA. Before making an award to a contractor under paragraph (1), a recipient shall consider:

- A. the integrity of the contractor;*
- B. the contractor's compliance with public policy;*
- C. the contractor's past performance, including the performance reported in the Contractor Performance Assessment Reports required under section 5309(l)(2); and*
- D. the contractor's financial and technical resources.*

Corrective Actions and Schedule: By July 8, 2022, the YCIPTA must:

- 1) For any contracts where the recipient was found to have failed to verify that the contractor was responsible, the recipient must verify the responsibility of those contractors.
- 2) Submit to the FTA regional office documentation of an implemented process to make adequate responsibility determinations prior to award of a contract.

By March 31, 2023, the YCIPTA must:

- 3) For the next procurement, submit to the FTA regional office documentation that the required process was implemented.

Deficiency Description #2: Incomplete written documentation of procurement history (P5-1)

No procurement history memo was documented for the Gillig piggyback purchase as required by 2 CFR 200.418(i).

2 CFR 200.318(i)

The non-Federal entity must maintain records sufficient to detail the history of the procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.

Corrective Actions and Schedule: By July 8, 2022, the YCIPTA must submit to the FTA regional office evidence that:

- 1) The deficiencies identified in its record-keeping process for the Gillig piggyback procurement have been corrected, and
- 2) Procurement staff have been trained on documenting procurement history.

Deficiency Description #3: Lacking independent cost estimate (P10-1)

The Genfare Farebox RFP and Gillig piggyback procurements were above the simplified acquisition threshold. No independent cost estimate was conducted for these two (2) procurements as required by 2 CFR 200.324.

2 CFR 200.324 Contract cost and price

(a) The non-Federal entity must perform a cost or price analysis in connection with every procurement action in excess of the Simplified Acquisition Threshold including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, the non-Federal entity must make independent estimates before receiving bids or proposals.

(b) The non-Federal entity must negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration must be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

(c) Costs or prices based on estimated costs for contracts under the Federal award are allowable only to the extent that costs incurred or cost estimates included in negotiated prices would be allowable for the non-Federal entity under subpart E of this part. The non-Federal entity may reference its own cost principles that comply with the Federal cost principles.

(d) The cost plus a percentage of cost and percentage of construction cost methods of contracting must not be used.

Corrective Actions and Schedule: By July 8, 2022, the YCIPTA must:

- 1) Submit to the FTA regional office documentation that it has updated its procurement procedures to include development of independent cost estimates prior to receipt of bids or proposals.

By March 31, 2023, the YCIPTA must:

- 2) For the next procurement, submit to the FTA regional office documentation that the required process was implemented.

Deficiency Description #4: Lacking required cost or price analysis (P10-2)

The Genfare Farebox RFP and Gillig piggyback procurements were above the simplified acquisition threshold. No cost or price analysis was conducted for these two (2) procurements as required by FTA Circular 4220.1F Chapter VI 6.a-b.

FTA Circular 4220.1F Chapter VI 6. a. Cost Analysis

The recipient must obtain a cost analysis when a price analysis will not provide sufficient information to determine the reasonableness of the contract cost. The recipient must obtain a cost analysis when the offeror submits elements (that is, labor hours, overhead, materials, and so forth) of the estimated cost, (such as professional consulting and A&E contracts, and so forth). The recipient is also expected to obtain a cost analysis when price competition is inadequate, when only a sole source is available, even if the procurement is a contract modification, or in the event of a change order. The recipient, however, need not obtain a cost analysis if it can justify price reasonableness of the proposed contract based on a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation.

FTA Circular 4220.1F Chapter VI 6. b. Price Analysis

If the recipient determines that competition was adequate, a price analysis, rather than a cost analysis, is required to determine the reasonableness of the proposed contract price.

Corrective Actions and Schedule: By July 8, 2022, the YCIPTA must:

- 1) Submit to the FTA regional office documentation that it has updated its procurement procedures to include performing applicable cost or price analysis for procurements above the Federal Simplified Acquisition Threshold and a market analysis for piggyback purchases.

By March 31, 2023, the YCIPTA must:

- 2) For the next procurement, submit to the FTA regional office documentation that the required process was implemented.

10. Disadvantaged Business Enterprise (DBE)

Basic Requirement: Recipients must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of US Department of Transportation (US DOT)-assisted contracts. Recipients also must create a level playing field on which DBEs can compete fairly for US DOT-assisted contracts.

Finding: During this Triennial Review of the YCIPTA, three (3) deficiencies were found with the US DOT requirements for DBE.

Deficiency Description #1: Semi-annual DBE reports not submitted or not submitted timely (DBE4-1)

All reports from 2018 were submitted 5/11/2021. At the time of the review, the December 2021 report was underway.

The June 1, 2022 semiannual report was submitted timely on May 1, 2022 after the review.

49 CFR 26.11(a)

You must transmit the Uniform Report of DBE Awards or Commitments and Payments, found in Appendix B to this part, at the intervals stated on the form.

49 CFR Appendix B 5.

For FHWA and FTA recipients, if this report is due June 1, data should cover October 1-March 31. If this report is due December 1, data should cover April 1 - September 30.

49 CFR 26.21(c)

You are not eligible to receive DOT financial assistance unless DOT has approved your DBE program and you are in compliance with it and this part. You must continue to carry out your program until all funds from DOT financial assistance have been expended.

Frequently Asked Questions (FAQ) Regarding Coronavirus Disease 2019 (COVID-19), CR17

FTA understands that recipients might need to submit their Uniform Reports after the June 1 deadline. During COVID-19, agencies may lack access to the files and information needed to complete the reports. Agencies must submit the reports in TrAMS as soon as practicably possible. FTA will review the report once a recipient is able to submit it and will not penalize agencies for reports received after June 1 as long as the agency's records document that the report was submitted as soon as practicably possible. See Uniform Reports Guidance at 49 CFR Part 26, Appendix B.

Frequently Asked Questions (FAQ) Regarding Coronavirus Disease 2019 (COVID-19), CR12

Recipients should make use of race-neutral measures, such as small business programs, technical and financial assistance, and unbundling of contracts to increase the ability and capacity of DBEs and other small businesses to perform contracts with CARES Act funding (49 CFR §§ 26.39, 26.51). Direct purchases by the recipient from a supplier or vendor (i.e., those contracts without subcontracting possibilities) always should be race-neutral (i.e., a contract-specific DBE goal is not applied to the purchase and DBE status is not a deciding factor in award or purchase). 49 CFR § 26.51(e)(1). FTA assumes most purchases of items, such as personal protective equipment, would be through direct procurement methods and therefore race-neutral.

The DOT DBE regulations (49 CFR § 26.37(b)) require recipients to have a mechanism to verify that the work committed to DBEs at contract award is actually performed by the DBEs. For the purposes of simplifying reporting and tracking, recipients may count multiple, ongoing purchases with a single vendor as a single contract awarded and completed on Uniform Reports (e.g. fuel, vehicle parts, vehicle servicing, or other purchase orders).

Corrective Action(s) and Schedule: By July 8, 2022 the YCIPTA must submit to the FTA Regional Civil Rights Officer (RCRO) an implemented procedure to ensure that future reports are submitted on time.

Deficiency Description #2: DBE uniform reports contain inaccuracies and/or are missing required information (DBE5-1)

During the review period, the Disadvantaged Business Enterprise Liaison Officer (DBELO) correctly reported payments to prime and subcontractors in Section C; these payments were also being reported in Section A instead of awards. Due to payments being reported in Section A, the YCIPTA did not have a shortfall analysis during the review period. The YCIPTA must analyze whether a shortfall exists after revising the reports.

DBE Reports for the review period were corrected and resubmitted on May 2, 2022. The June 2022 semiannual report was submitted May 1, 2022 and appears to be accurate.

49 CFR 26.37(c)

This mechanism must provide for a running tally of actual DBE attainments (e.g., payments actually made to DBE firms), including a means of comparing these attainments to commitments.

In your reports of DBE participation to the Department, you must display both commitments and attainments.

49 CFR Part 26 Appendix B “INSTRUCTIONS FOR COMPLETING THE UNIFORM REPORT OF DBE AWARDS/COMMITMENTS AND PAYMENTS”

Recipients of Department of Transportation (DOT) funds are expected to keep accurate data regarding the contracting opportunities available to firms paid with DOT dollars. Failure to submit contracting data relative to the DBE program will result in noncompliance with Part 26. All dollar values listed on this form should represent the DOT share attributable to the Operating Administration (OA): Federal Highway Administration (FHWA), Federal Aviation Administration (FAA) or Federal Transit Administration (FTA) to which this report will be submitted.

- 1. Indicate the DOT (OA) that provides your Federal financial assistance. If assistance comes from more than one OA, use separate reporting forms for each OA. If you are an FTA recipient, indicate your Vendor Number in the space provided.*
- 2. If you are an FAA recipient, indicate the relevant AIP Numbers covered by this report. If you are an FTA recipient, indicate the Grant/Project numbers covered by this report. If more than, ten vendors attach a separate sheet.*
- 3. Specify the Federal fiscal year (i.e., October 1 - September 30) in which the covered reporting period falls.*
- 4. State the date of submission of this report.*
- 5. Check the appropriate box that indicates the reporting period that the data provided in this report covers. For FHWA and FTA recipients, if this report is due June 1, data should cover October 1 - March 31. If this report is due December 1, data should cover April 1 - September 30. If the report is due to the FAA, data should cover the entire year.*
- 6. Provide the name and address of the recipient.*
- 7. State your overall DBE goal(s) established for the Federal fiscal year of the report being submitted to and approved by the relevant OA. Your overall goal is to be reported as well as the breakdown for specific race-conscious and race-neutral projections (both of which include gender-conscious/neutral projections). The race-conscious projection should be based on measures that focus on and provide benefits only for DBEs. The use of contract goals is a primary example of a race-conscious measure. The race-neutral projection should include measures that, while benefiting DBEs, are not solely focused on DBE firms. For example, a small business outreach program, technical assistance, and prompt payment clauses can assist a wide variety of businesses in addition to helping DBE firms.*

Section A: Awards and Commitments Made During This Period

The amounts in items 8(A)-10(I) should include all types of prime contracts awarded and all types of subcontracts awarded or committed, including: professional or consultant services,

construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. All dollar amounts are to reflect only the Federal share of such contracts and should be rounded to the nearest dollar.

Line 8: Prime contracts awarded during this period: The items on this line should correspond to the contracts directly between the recipient and a supply or service contractor, with no intermediaries between the two.

8(A). Provide the total dollar amount for all prime contracts assisted with DOT funds and awarded during this reporting period. This value should include the entire Federal share of the contracts without removing any amounts associated with resulting subcontracts.

8(B). Provide the total number of all prime contracts assisted with DOT funds and awarded during this reporting period.

8(C). From the total dollar amount awarded in item 8(A), provide the dollar amount awarded in prime contracts to certified DBE firms during this reporting period. This amount should not include the amounts sub contracted to other firms.

8(D). From the total number of prime contracts awarded in item 8(B), specify the number of prime contracts awarded to certified DBE firms during this reporting period.

8(E&F). This field is closed for data entry. Except for the very rare case of DBE-set asides permitted under 49 CFR Part 26, all prime contracts awarded to DBEs are regarded as race-neutral.

8(G). From the total dollar amount awarded in item 8(C), provide the dollar amount awarded to certified DBEs through the use of race-neutral methods. See the definition of race-neutral in item 7 and the EXPLANATION FOR THE RECIPIENT in item 8 of project types to include.

8(H). From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through race-neutral methods.

8(I). Of all prime contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 8(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

Line 9: Subcontracts awarded/committed this period: Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. Unlike prime contracts, which may only be awarded, subcontracts may be either awarded or committed.

9(A). If filling out the form for general reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded in prime contracts in 8(A), and therefore should never be greater than the amount awarded in prime contracts. If filling out the form for project reporting, provide the total dollar amount of subcontracts assisted with DOT funds awarded or committed during this period. This value should be a subset of the total dollars awarded or

previously in prime contracts in 8(A). The sum of all subcontract amounts in consecutive periods should never exceed the sum of all prime contract amounts awarded in those periods.

9(B). Provide the total number of all subcontracts assisted with DOT funds that were awarded or committed during this reporting period.

9(C). From the total dollar amount of subcontracts awarded/committed this period in item 9(A), provide the total dollar amount awarded in subcontracts to DBEs.

9(D). From the total number of subcontracts awarded or committed in item 9(B), specify the number of subcontracts awarded or committed to DBEs.

9(E). From the total dollar amount of subcontracts awarded or committed to DBEs this period, provide the amount in dollars to DBEs using race-conscious measures.

9(F). From the total number of subcontracts awarded or committed to DBEs this period, provide the number of subcontracts awarded or committed to DBEs using race-conscious measures.

9(G). From the total dollar amount of subcontracts awarded/committed to DBEs this period, provide the amount in dollars to DBEs using race-neutral measures.

9(H). From the total number of subcontracts awarded/committed to DBEs this period, provide the number of subcontracts awarded to DBEs using race-neutral measures.

9(I). Of all subcontracts awarded this reporting period, calculate the percentage going to DBEs.

Divide the dollar amount in item 9(C) by the dollar amount in item 9(A) to derive this percentage. Round percentage to the nearest tenth.

Line 10: Total contracts awarded or committed this period. These fields should be used to show the total dollar value and number of contracts awarded to DBEs and to calculate the overall percentage of dollars awarded to DBEs.

10(A)-10(B). These fields are unavailable for data entry.

10(C-H). Combine the total values listed on the prime contracts line (Line 8) with the corresponding values on the subcontracts line (Line 9).

10(I). Of all contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the total dollars awarded to DBEs in item 10(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

Frequently Asked Questions (FAQ) Regarding Coronavirus Disease 2019 (COVID-19), CR16

The DOT DBE regulations at 49 CFR § 26.21 require FTA recipients to have a DBE program when receiving planning, capital, and/or operating assistance and will award more than

\$250,000 in FTA-funded contracts (excluding transit vehicle purchases) in a federal fiscal year. A new or updated DBE program or goal is not required if CARES Act funds represent a temporary increase in the Federal share of already contracted operations expenses for the purposes of responding to COVID-19. Similarly, if CARES Act funds represent temporary adjustments to, or continuations of, existing operations contracts to respond to COVID-19, a new DBE program or goal is not required. A recipient with an existing DBE program should count CARES Act funds towards the DBE goal as it would all FTA funds.

For those recipients that do not already have a DBE program or goal, DOT envisions no added burden to increase the federal share of existing contracts and operating expenses. A recipient is encouraged to consult with FTA if it has specific questions regarding whether CARES Act funding is applicable to existing or new DBE programs or goal submissions. If a recipient needs to develop a new DBE program, it must be submitted to FTA by October 1, 2020. Please remember that, as a condition of receiving financial assistance, all FTA recipients ensure DBE compliance with Federal requirements by self-certification through the FTA Master Agreement. The most recent Master Agreement is dated October 1, 2019. See Section 12 for DBE requirements.

Corrective Action(s) and Schedule: By July 8, 2022, the YCIPTA must:

- 1) Submit implemented procedures for correctly completing Uniform Reports of DBE Awards or Commitments and Payments.
- 2) Submit a revised DBE Program to correctly describe how it will implement accurate reporting.
- 3) Determine if shortfall analyses are required per the revised reports, submit them to the RCRO.

Deficiency Description #3: Inadequate implementation of race-neutral measures (DBE8-1)

The YCIPTA did not provide evidence of implementing the following race neutral measures listed in the YCIPTA DBE Program per 49 CFR 26.51(a):

- Arranging solicitations, times for the presentations of bids, quantities, specifications and delivery schedules in a manner that facilitate DBE and other small businesses participation, such as unbundling large contracts to make them more accessible and encouraging prime contractors to sub-contract portions of the work effort.
- Minimizing bonding requirements while exercising due diligence with public resources.
- Providing technical assistance as requested.
- Providing information and printed materials in a bilingual format upon request.
- Coordinating with resource agencies such as workforce development, small business alliance, chambers of commerce and economic development centers.
- In addition, the YCIPTA will provide links on their respective web sites to the online training and information resources available from the ADOT Supportive Services Program. The ADOT Supportive Services office provides numerous opportunities for DBE-certified and DBE-eligible firms to learn about contracting opportunities at the state

and local levels, and organizes conferences, networking events, presentations, special programs, training, and workshops. Information on these programs is located at <http://www.adotdbe.com/programs> or http://azdot.gov/Inside_ADOT/CRO/DBEP_SS.asp.

49 CFR 26.51(a)

You must meet the maximum feasible portion of your overall goal by using race-neutral means of facilitating race-neutral DBE participation.

Corrective Action(s) and Schedule: By July 8, 2022, the YCIPTA must:

- 1) Submit to the FTA RCRO an implementation plan for applying race-neutral measures.
- 2) Submit evidence that these measures have been implemented.

11. Title VI

Basic Requirement: The recipient must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Title VI.

12. Americans with Disabilities Act (ADA) – General

Basic Requirement: Titles II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the US DOT requirements for ADA – General.

13. ADA – Complementary Paratransit

Basic Requirement: Under 49 CFR 37.121(a), each public entity operating a fixed-route system shall provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system. “Comparability” is determined by 49 CFR 37.123-37.133. Requirements for complementary paratransit do not apply to commuter bus, commuter rail, or intercity rail systems.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the US DOT requirements for ADA – Complementary Paratransit.

14. Equal Employment Opportunity

Basic Requirement: The recipient must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age or disability be excluded from participating in, or denied the benefits of, or be subject to discrimination in employment under any project, program or activity receiving Federal financial assistance under the Federal transit laws.

Finding: During this Triennial Review of the YCIPTA, one (1) deficiency was found with the FTA requirements for Equal Employment Opportunity.

Deficiency Description: Insufficient oversight of subrecipient/contractor EEO Program (EEO5-1)

The YCIPTA does not collect or review the operating contractor’s RATP Dev EEO Program; the contractor has 50 employees.

FTA Circular 4704.1A Ch. 2.2.7 Monitoring and Reporting

FTA requires that EEO programs include the following attachments: List of subrecipients or contractors the recipient is monitoring and the services they provide; proof of review of subrecipients or contractors’ EEO program (e.g., letter or memo to the subrecipient) ...

Corrective Action(s) and Schedule: By July 8, 2022, the YCIPTA must submit to the FTA RCRO documentation that it has received and reviewed the EEO programs from the operating contractor, RATP Dev, and provide copies of the program, if requested by the FTA RCRO.

15. School Bus

Basic Requirement: Recipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the Federal Transit Administration (FTA) Administrator under an allowable exemption. Federally-funded equipment or facilities cannot be used to provide exclusive school bus service.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for School Bus.

16. Charter Bus

Basic Requirement: Recipients are prohibited from using the FTA-funded equipment and facilities to provide charter service that unfairly competes with private charter operators. Recipient may operate charter only when the service meets a specified exception defined in rule.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Charter Bus.

17. Drug Free Workplace Act

Basic Requirement: Recipients are required to maintain a drug free workplace for all award-related employees; report any convictions occurring in the workplace timely; and have an ongoing drug free awareness program.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Drug-Free Workplace Act.

18. Drug and Alcohol Program

Basic Requirement: Recipients receiving Section 5307, 5309, 5311, or 5339 funds that have safety-sensitive employees must have a drug and alcohol testing program in place for such employees.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Drug and Alcohol Program.

19. Section 5307 Program Requirements

Basic Requirement: The recipient must participate in the transportation planning process in accordance with Federal Transit Administration (FTA) requirements and the metropolitan and statewide planning regulations.

Recipients shall develop, publish, afford an opportunity for a public hearing on, and submit for approval, a program of projects (POP).

Recipients are expected to have a written, locally developed process for soliciting and considering public comment before raising a fare or carrying out a major transportation service reduction.

For fixed-route service supported with Section 5307 assistance, fares charged seniors, persons with disabilities or an individual presenting a Medicare card during off peak hours will not be more than one half the peak hour fares.

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Section 5307 Program Requirements.

20. Section 5310 Program Requirements

Basic Requirement: Recipients must expend Section 5310 funds on eligible projects that meet the specific needs of seniors and individuals with disabilities. Projects selected for funding must be included in a locally developed, coordinated public transit-human services transportation plan. Recipients must approve all subrecipient leases of Section 5310-funded vehicles. Leases of Section 5310-funded vehicles must include required terms and conditions. Either the recipient or subrecipient must hold title to the leased vehicles.

Finding: This section only applies to recipients that receive Section 5310 funds directly from the FTA; therefore, the related requirements are not applicable to the review of the YCIPTA.

21. Section 5311 Program Requirements

Basic Requirement: States must expend Section 5311 funds on eligible projects to support rural public transportation services and intercity bus transportation.

Finding: This section only applies to recipients that receive Section 5311 funds directly from FTA; therefore, the related requirements are not applicable to the review of the YCIPTA.

22. Public Transportation Agency Safety Plan (PTASP)

Basic Requirement: Recipients must comply with the Public Transportation Agency Safety Plan (PTASP) regulation (49 CFR Part 673) to ensure public transportation providers develop and implement an Agency Safety Plan (ASP).

Finding: During this Triennial Review of the YCIPTA, no deficiencies were found with the FTA requirements for Public Transportation Agency Safety Plan Requirements.

23. Cybersecurity

Basic Requirement: Recipients that operate rail fixed guideway public transportation systems must certify compliance with the requirements for establishing a cybersecurity process under 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019).

Finding: During this Triennial Review of the YCIPTA, the FTA requirements for Cybersecurity Requirements were found to be not applicable.

V. Summary of Findings

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
1. Legal	ND				
2. Financial Management and Capacity	ND				
3. Technical Capacity – Award Management	D	TC-AM1-1: Late or unsubmitted MPR/FFRs	<p>The YCIPTA must:</p> <ol style="list-style-type: none"> 1) Provide implemented procedures for submitting future reports on time certified by the Executive Director of the YCIPTA, including: <ul style="list-style-type: none"> - Specific due dates for MPR/FFR development, approval, and submission governing reporting, - Roles and responsibilities for ensuring completeness and timeliness, including communication and involvement of the Executive Director, and - Contacting the FTA Program Manager at least 30 days in advance, if an extension is required, documenting the reasons for the request. 2) Train relevant staff on the new procedures and provide evidence of the training (e.g. a meeting sign-in sheet, memorandum of training, et. al.). 3) Email the FTA regional office when the FY2022 Q3 FFRs and MPRs are submitted, and the reports must be submitted on time. 	July 30, 2022	
		TC-AM2-1: Incorrect FFR Reporting	The YCIPTA must submit to the FTA regional office procedures for tracking and reporting unliquidated obligations.	July 8, 2022	
		TC-AM3-1: MPRs lack required information	The YCIPTA must submit to the FTA regional office procedures for ensuring all required information is included in future reports.	July 8, 2022	

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
4. Technical Capacity – Program Management and Subrecipient Oversight	D	TC-PgM7-1: Inadequate oversight of subrecipients	The YCIPTA must submit to the FTA regional office: 1) Procedures for evaluating subrecipient risk and a comprehensive program for monitoring subrecipients for compliance with federal requirements and performance goals, 2) Documentation of implementation including: <ul style="list-style-type: none">• Amended agreement incorporating all elements and• Completed oversight efforts supported by a checklist with backup documentation (evidence of the City of Yuma compliance).	September 30, 2022	
5. Technical Capacity – Project Management	ND				
6. Transit Asset Management	ND				
7. Satisfactory Continuing Control	D	SCC8-3: Inadequate equipment records	The YCIPTA must submit to the FTA regional office updated equipment records which include all the required information.	September 30, 2022	
8. Maintenance	ND				
9. Procurement	D	P4-1: Responsibility determination deficiencies	The YCIPTA must: 1) For any contracts where the recipient was found to have failed to verify that the contractor was responsible, the recipient must verify the responsibility of those contractors. 2) Submit to the FTA regional office documentation of an implemented process to make adequate responsibility determinations prior to award of a contract. The YCIPTA must: 3) For the next procurement, submit to the FTA regional office documentation that the required process was implemented.	July 8, 2022 March 31, 2023	

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
		P5-1: Incomplete written documentation of procurement history	The YCIPTA must submit to the FTA regional office evidence that: <ul style="list-style-type: none"> 1) The deficiencies identified in its record-keeping process for the Gillig piggyback procurement have been corrected, and 2) Procurement staff have been trained on documenting procurement history. 	July 8, 2022	
		P10-1: Lacking independent cost estimate	The YCIPTA must: <ul style="list-style-type: none"> 1) Submit to the FTA regional office documentation that it has updated its procurement procedures to include development of independent cost estimates prior to receipt of bids or proposals. The YCIPTA must: <ul style="list-style-type: none"> 2) For the next procurement, submit to the FTA regional office documentation that the required process was implemented. 	July 8, 2022 March 31, 2023	
		P10-2: Lacking required cost or price analysis	The YCIPTA must: <ul style="list-style-type: none"> 1) Submit to the FTA regional office documentation that it has updated its procurement procedures to include performing applicable cost or price analysis for procurements above the Federal Simplified Acquisition Threshold and a market analysis for piggyback purchases. The YCIPTA must: <ul style="list-style-type: none"> 2) For the next procurement, submit to the FTA regional office documentation that the required process was implemented. 	July 8, 2022 March 31, 2023	
10. Disadvantaged Business Enterprise	D	DBE4-1: Semi-annual DBE reports not submitted or not submitted timely	The YCIPTA must submit to the FTA Regional Civil Rights Officer (RCRO) an implemented procedure to ensure that future reports are submitted on time.	July 8, 2022	

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
		DBE5-1: DBE uniform reports contain inaccuracies and/or are missing required information	The YCIPTA must: <ul style="list-style-type: none"> 1) Submit implemented procedures for correctly completing Uniform Reports of DBE Awards or Commitments and Payments. 2) Submit a revised DBE Program to correctly describe how it will implement accurate reporting. 3) Determine if shortfall analyses are required per the revised reports, submit them to the RCRO. 	July 8, 2022	
		DBE8-1: Inadequate implementation of race-neutral measures	The YCIPTA must: <ul style="list-style-type: none"> 1) Submit to the FTA RCRO an implementation plan for applying race-neutral measures. 2) Submit evidence that these measures have been implemented. 	July 8, 2022	
11. Title VI	ND				
12. Americans with Disabilities Act (ADA) – General	ND				
13. ADA – Complementary Paratransit	ND				
14. Equal Employment Opportunity	D	EEO5-1: Insufficient oversight of subrecipient/contractor EEO Program	The YCIPTA must submit to the FTA RCRO documentation that it has received and reviewed the EEO programs from the operating contractor, RATP Dev, and provide copies of the program, if requested by the FTA RCRO.	July 8, 2022	
15. School Bus	ND				
16. Charter Bus	ND				
17. Drug-Free Workplace	ND				
18. Drug and Alcohol Program	ND				
19. Section 5307 Program Requirements	ND				
20. Section 5310 Program Requirements	NA				

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
21. Section 5311 Program Requirements	NA				
22. Public Transportation Agency Safety Plan	ND				
23. Cybersecurity	NA				

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are: Deficient (D)/Not Deficient (ND)/Not Applicable (NA)

VI. Participants

Name	Title	Phone Number	E-mail Address
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FTA			
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VII. Appendices

No appendices are included in this report.