



Yuma County Intergovernmental Public Transportation Authority

2715 East 14th Street, Yuma, AZ 85365-1900, Telephone: 928-539-7076

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NOTICE AND AGENDA OF THE REGULAR MEETING OF THE BOARD OF DIRECTORS FOR 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, November 14, 2022 – 1:30 PM
Yuma County Department of Development Services – Aldrich Hall
2351 West 26th Street -- Yuma, AZ, 85364

Pursuant to A.R.S. § 38-431.05, notice is hereby given to the members of the Yuma County Intergovernmental Transportation Authority (YCIPTA) and to the general public that YCIPTA as part of its regular meeting will hold a meeting open to the public as noted above.

In addition to the purpose of the regular meeting the board will additionally seek to ratify an action of YCIPTA taken during an emergency meeting that may have been inconsistent with the Open Meeting Law. This action involved:

Discussion and or action regarding contract negotiations.

The public may obtain a detailed written description of the action to be ratified, and all deliberations, consultations, and decisions by members of the public body that preceded and relate to this action to be ratified at 2715 E 14th St, Yuma, Az 85365, Monday – Friday from 8:00am to 5:00pm at least 72 hours in advance of the meeting.

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

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Brian Golding, Sr.-Quechan Tribe, Eric Holland – Cocopah Tribe, Ian McGaughey – Yuma County,
Susan M. Zambrano - Arizona Western College

Shelly Kreger, Transit Director

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.

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 September 26, 2022 regular session minutes. Action required. Pg.4

DISCUSSION & ACTION ITEMS:

1. Welcome Louie Galaviz, City Manager for the City of Somerton. No action required.
2. Discussion and or action to ratify the action taken during the YCIPTA Emergency Board Meeting on October 27, 2022 regarding contract negotiations. Action required. Pg. 8
3. Discussion and or action regarding the new YCIPTA Subrecipient Monitoring Procedures. Action required. Pg. 10
4. Discussion and or action regarding the updated YCIPTA Procurement Policies. Action required. Pg. 63
5. Discussion and or action regarding the updated YCIPTA Financial and Grants Management Policies and Procedures. Action required. Pg. 123

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6. Discussion and or action regarding YCIPTA Shelter and Bus Stop permit status report. No action required. Pg. 151
7. Discussion and or Action regarding the timeline for new Operations and Maintenance Facility. No action required. NO UPDATES

PROGRESS REPORTS:

1. Operations Manager Report/Maintenance Update– Shane Bollar, General Manager – RATP Dev. *No action required.* Pg. 153
2. Transit Director Report/Ridership Report – Shelly Kreger, YCIPTA Transit Director. *No action is required.* Pg. 154
3. Financial Report – Carol Perez, Financial Services Operations Manager. *Will be provided at the meeting.* No action is required.

SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:

TBD – December 19, 2022 due to Christmas Holiday

ADJOURNMENT

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Louie Galaviz - Chairman - City of Somerton, Ralph Velez – Vice Chairman - City of San Luis,
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The Yuma County Intergovernmental Public Transportation Authority (YCIPTA) met in Regular Board Meeting session on Monday, September 26, 2022 at Yuma County Department of Development Services, Aldrich Hall; 2351 West 26th Street, Yuma, AZ 85364. The Chair, Ms. Carmen Juarez called the meeting to order at 1:31 P.M.

Members Present:

Carmen Juarez/ City of Somerton/Chair
Jay Simonton/City of Yuma/Secretary/Treasurer
Richard Marsh/Town of Wellton
Brian Golding, Sr./Quechan Tribe
Eric Holland/Cocopah Tribe
Ian McGaughey/Yuma County
Susanna M. Zambrano/Arizona Western College

Members Absent:

Ralph Velez/City of San Luis/Vice Chair

Others Present:

Shelly Kreger/YCIPTA/Transit Director
Carol Perez/YCIPTA/Transit Operations Manager
Lorena Sanchez/YCIPTA/Clerk II
Shane Bollar/RATP DEV/General Manager
Michael Birch/ RATP DEV/ Regional Vice President-West
Elizabeth Punpayuk/Benesch, Shadle & White, PLC /Legal Counsel

The Pledge of Allegiance was led by Ms. Zambrano.

CALL TO PUBLIC:

No. 1: Mr. Douglas Saltmarsh

Mr. Saltmarsh began by stating he was saddened by the cut of Foothills Service. He continued stating he believed since the route was funded by tax payer money the Foothills should be included.

Mr. Saltmarsh explained there are veterans and disabled people as well as working people from south county depending on this route to provide transportation to work and other transportation needs.

CONSENT CALENDAR:

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

Motion (McCaughey/Marsh): To approve as presented.

Voice Vote: Motion Carries, 7-0 with Mr. Velez being excused.

PROGRESS REPORTS:

No.1: Operations Manager Report/Maintenance Update– Shane Bollar, General Manager – RATP Dev. No action required.

Mr. Bollar presented the item as contained in the member packet.

Mr. Bollar added progress will be tracked and monitored weekly. He stated the delay issue was brought to the attention of the drivers and they were compliant to fixing the issue.

Ms. Zambrano inquired as to when an update will be provided on the progress and if a goal is set in place.

Mr. Bollar stated he will be collecting more information to analyze in the coming months. He added updates will be provided monthly and expects to see a significant change by December.

No action taken; no action required

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

Ms. Kreger presented the item as contained in the member packet.

No action taken; no action required

No.3: Financial Report – Carol Perez, YCIPTA Financial Services Manager. No action is required.

Ms. Perez presented the report 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 (Zambrano/ Simonton): To recess the Regular Session and convene Executive Session. Voice Vote: Motion Carries, 7-0 with Mr. Velez being excused.

The regular session recessed at 1:43pm.

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)(4)

Motion (McGaughey/Simonton): To adjourn the Executive Session and reconvene Regular Session.

Voice Vote: Motion Carries, 7-0 with Mr. Velez, being excused.

Chairman adjourns Executive Session and reconvenes Regular Session at 2:08pm.

DISCUSSION & ACTION ITEMS:

No. 1: Discussion and or action regarding Financial Sustainability Committee recommendations. Action may be required.

Mr. Simonton stated no action should be taken until union negotiation are completed.

Ms. Kreger agreed

No action taken.

**No. 2: Discussion and or action regarding YCIPTA Shelter and Bus Stop permit status report.
No action required.**

Ms. Kreger presented the item as contained in the member packet.

Mr. Simonton questioned if there were interested parties for the advertisements.

Ms. Kreger stated Wealth Management will be advertising in the location near YRMC.

Mr. Simonton asked if the price would be the \$300 monthly fee.

Ms. Kreger confirmed, adding all supplies and cost of printing would be handled by the interested party as opposed to past instances. Resulting in all fees being collected by YCIPTA. Ms. Kreger added approval from YCIPTA would still be needed prior to installation.

Mr. Golding asked if YCIPTA would handle the installation.

Ms. Kreger answered yes utility workers would be assigned when needed.

Mr. Golding inquired if there were any additional in-kind contributions available.

Ms. Kreger stated a meeting with Yuma County has been requested to attempt to re-establish funding.

Ms. Punpayuk clarified no response has been received from the County yet.

Mr. Golding asked if anything was needed from the City of Yuma.

Ms. Kreger stated the resolution was added to the Federal Transit Authority (FTA) but has received no response from the program manager.

No Action Taken. No Action Required.

Mr. Simonton stated he has been absent in the past resulting in him being unaware of route cuts, only hearing about it from public comment. He questioned if before more changes are done what is the process and if there is a committee or group that determine the need to make these changes.

Ms. Kreger stated most research is done in house by herself and Ms. Perez. She added there is no committee dedicated to this research but one could be established.

Mr. Golding stated there is an operations committee with himself and Mr. Velez, who has been absent. He continued to explain the purpose of the committee is to fill the reporting gaps between the short- and long-term plans. Mr. Golding added there is a ridership committee that has been in the works, trying to motivate the public to join and include their own perspective on the service. He stated the response was not enough to compile a full committee.

Mr. Marsh questions how frequently the said committee was supposed to meet.

Ms. Kreger stated the meeting were intended for a monthly meeting.

Ms. Zambrano stated there were students informed and interested in the committee but there were not enough to complete the full committee.

Mr. Golding recalled discussing this matter in past meetings deciding the information was needed, especially from riders themselves. He continued to state there were insufficient resources in gathering the needed input. Mr. Golding implied if the public was not interested, the board members could possibly be the resources to gather the needed information, adding he himself has reported things of concern when he spots them.

Ms. Punpayuk cautioned if a plan or intent to create a committee was present it would need to be added to the agenda and discussed in the next meeting.

Mr. Golding suggested the established operations committee would need to be completed and monitored in specific time frames which was not done before.

Mr. Marsh requested Ms. Kreger investigate the possibility of having the option of being present in the board meetings in person or virtually.

Ms. Kreger stated she has already spoke with Ms. Perez on the topic and would advise when information is available.

SCHEDULE NEXT MEETING DATE AND IDENTIFY AGENDA ITEMS:

October 24, 2022

ADJOURNMENT

There being no further business to come before the Authority in regular session, the meeting was adjourned at 2:21 p.m.

YUMA COUNTY INTERGOVERNMENTAL TRANSPORTATION AUTHORITY

Adopted this _____, 2022, Agenda Item _____.

Lorena Sanchez, Board Secretary



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November 14, 2022

Discussion and Action Item 2

To: Yuma County Intergovernmental Public Transportation Authority
Board of Directors
From: Shelly Kreger, Transit Director
Subject: Discussion and or action to ratify the action taken during the YCIPTA
Emergency Board Meeting on October 27, 2022 regarding contract
negotiations

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors ratify the action taken during the YCIPTA Emergency Board Meeting on October 27, 2022 regarding contract negotiations.

Background and Summary: RATP Dev has been under contract negotiations with the Amalgamated Transit Union Local 1433. Contract negotiations take place every three years. Under normal circumstances the negotiations take place before our budget is approved by June 30. Due to several reason beyond YCIPTA's control this negotiation took much longer to complete.

The first offer to the Union was voted down 100% so they went back to the bargaining table on October 27th & 28th. RATP Dev was seeking approval to submit an offer to the Union no later than October 28th. This is the reason behind the emergency board meeting.

The meeting was held via Zoom on October 27, 2022 at 4:00 pm. Members present were as follows:

Carmen Juarez/City of Somerton/Chair
Jay Simonton/City of Yuma/Secretary/Treasurer
Brian Golding, Sr./Quechan Tribe
Richard Marsh/Town of Wellton
Eric Holland/Cocopah Tribe

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Shelly Kreger, Carol Perez and Elizabeth Punpayuk – Legal Counsel were also present.

The second offer was presented to the members present and the motion voted on was as follows:

Motion (Simonton/Golding): For RATP Dev to continue negotiations with the information provided to the Board.

Voice Vote: Motion carries, (4-1) with Mr. Marsh opposed and Mr. Velez, Ms. Zambrano and Mr. McGaughey being excused.

Financial Impacts: \$115,973.50 in additional local cash match and \$115,973.50 in FTA funding for current fiscal year.

Budgeted: No

Recommended Motion: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors ratify the action taken during the YCIPTA Emergency Board Meeting on October 27, 2022 regarding contract negotiations.

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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November 14, 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 new YCIPTA Subrecipient
Monitoring Procedures.

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the new YCIPTA Subrecipient Monitoring Procedures.

Background and Summary: During YCIPTA's FY2022 Triennial Review there were findings in the Technical Capacity – Program Management and Subrecipient Oversight area. The finding was TC-PgM7-1 – Inadequate oversight of subrecipient. This pertains to the Passthrough Agreement with the City of Yuma on the Hotel Del Sol predesign project. YCIPTA had never adopted a subrecipient procedure as YCIPTA had never had a subrecipient until the City of Yuma. As a result of the Triennial Review, it was discovered that the Passthrough Agreement was actually a subrecipient agreement.

In order to close this finding, it is required that YCIPTA adopt Subrecipient Monitoring Procedures. These procedures have been approved by FTA and are now ready for YCIPTA adoption. This will close out part of this finding. In order to completely closeout this finding YCIPTA will need to follow all of the procedures in regards to the City of Yuma and document its entirety and provide to FTA when completed. This is a large undertaking and will consume considerable amount of time on behalf of YCIPTA and FTA is aware of the undertaking and is giving YCIPTA extra time to complete this process. Estimate of when this can be completed is by January 30, 2023.

Also needed to completely close out this finding the agreement with the City of Yuma will need to be amended incorporating all elements that are missing that includes the subrecipient UIE (unique entity ID) Federal award date and agency,

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Shelly Kreger, Transit Director

and closeout conditions. This amended agreement will be prepared for the next YCIPTA Board meeting.

Financial Impacts: N/A

Budgeted: N/A

Recommended Motion: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the new YCIPTA Subrecipient Monitoring Procedures.

Legal Counsel Review: N/A

Attachments: YCIPTA Subrecipient Monitoring Procedures (redline version)

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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*YCIPTA Subrecipient
Monitoring Procedures*

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INTRODUCTION

As a prime recipient and pass-through entity of federal awards, YCIPTA is required to ensure subrecipient compliance with certain federal and grantor requirements. A subrecipient is any entity that receives federal assistance through YCIPTA, rather than from the granting agency directly. The term "subrecipient" also includes the term "subgrantee" but does not include "third-party contractor" or "third party subcontractor".

Simply stated the direct recipient or grantee can designate a subrecipient whereas contractors must be selected through a competitive procurement process. The procurement process is more rigorous for contractors while the administrative monitoring requirements are higher when working with subrecipients.

A contractor is an individual or firm (either non-profit or for-profit) which is paid with federal funds by the grantee in return for the delivery or performance of specific services. The contractor normally provides similar goods or services to many different purchasers as part of its regular business and operates in a competitive environment. When the contractor finishes its job, it walks away from the project (having been paid a fair price for quality work) and has no further vested interest in the project. The grantee retains its interest or ownership in the project. In most instances, a contractor is simply a vehicle to carry out project activities which the grantee is not capable of undertaking.

A subrecipient, on the other hand, is an organization that is provided federal funds by a grantee (or direct recipient), for its use in carrying out agreed-upon eligible activities. The organization which receives the funding is undertaking activities which are supported by the grantee. Such an organization is authorized, by its articles of incorporation charter, and/or experience, to conduct the activities for which it will receive federal funding. It does not have to be procured in the same manner as a contractor; in fact, such an organization may be, and usually is, "designated" by the grantee.

There are typically three kinds of subrecipients:

1. Governmental non-profits, which are public agencies, commissions, or authorities that are created by the grantee government;
2. Private Non-profits, which are incorporated under the non-profit statutes of state law, and frequently having 501(c) (3) status under IRS); or,
3. Less frequently, a private for-profit which can carry out special activities.

PURPOSE

The purpose of the Subrecipient Monitoring Procedures is to accomplish the following:

1. Meet federal requirements for oversight of subrecipients.
2. Provide guidelines for YCIPTA and subrecipients.
3. Ensure that all technical specifications and contract requirements are met by subrecipients.
4. Monitor compliance of federally-funded assets that are maintained by subrecipients, leased to service providers, or maintained under contract by other than YCIPTA employees.
5. Monitor milestone progress reporting, identify any performance issues and address them in a timely manner
6. Track information regarding performance and quality for the purposes of evaluating subrecipients for future procurements and grants.

This document explains methods of monitoring, persons responsible, frequency and expected deliverables associated with subrecipient oversight.

YCIPTA will update the document as federal rules and requirements change.

GRANTS ADMINISTRATIONS ROLES AND RESPONSIBILITIES

The following general procedures outline the roles and responsibilities of grant management in determining federal subrecipients and reporting on those subrecipient awards.

After a subrecipient project has been selected for award through project selection processes, the project is submitted for inclusion (if a project doesn't currently already exist) in the Yuma Metropolitan Planning Organization's Transportation Improvement Program (TIP), the Regional and State Transportation Program (STIP) and grant application executed with the Federal Transit Administration (FTA), and an Interlocal Agreement (ILA) / Subrecipient Agreement is executed. YCIPTA's Finance Department and Transit Director is responsible for administering these tasks and will coordinate with the Yuma Metropolitan Planning Organization for this region, for STIP approval. The YCIPTA Legal is responsible for drafting a subrecipient agreement for review and approval by YCIPTA's Board of Directors. The Agreement is specific for the FTA funding program and is the mechanism for grant management including YCIPTA access to the subrecipient's records and financial statements. Once the interlocal/subrecipient agreement is executed, the Finance Department will retain one agreement and the other sent to the subrecipient.

The Finance Manager will setup the grant in the agency's financial system identifying the FTA Activity Line (ALI) items, establish a unique grant code that designates a federally funded grant project, activity and Catalog of Federal Domestic Assistance (CFDA) number. Spending cannot begin on a grant-funded project until the FTA grant agreement and Interlocal Agreement/Subrecipient Agreement have been executed.

All awards over ~~\$30,00025,000~~ are also filed in the Federal Sub-Award Reporting System (FSRS). The Grants Division is responsible for completing this reporting requirement.

SUBRECIPIENT AGREEMENT

YCIPTA will work with all applicable departments and agency subject matter experts that play a key role in financial and project management and oversight in advance of finalizing a subrecipient agreement. The subrecipient is also expected to include all parties involved in the project and execution of the agreement early in the process so that they stay informed of the requirements and understand the oversight process.

Federal requirements will be stated in the agreement, including the information required by 2 CFR part 200 (refer to Appendix A for a list of these requirements) and incorporating the FTA Master Agreement by reference to meet the requirement to include all federally required clauses. In addition, the agreement should include any applicable references for data collection needs for a variety of compliance monitoring needs.

Prior to execution of the subrecipient agreement YCIPTA will:

1. Obtain lobbying certifications (if agreement exceeds \$100,000) and
2. Confirm that the subrecipient is not suspended/debarred (if agreement exceeds ~~\$30,00025,000~~)

When the agreement is executed, the subrecipient agrees to comply with all applicable Federal requirements and understands it will be subject to ongoing monitoring and oversight by YCIPTA. The subrecipient agrees to follow the FTA Master Agreement and federal circulars and requirements in place at the time of execution of the grant.

YCIPTA's Finance Manager will maintain all pertinent information its subrecipients including contact information, source and amount of funds, and summary project information for inclusion into required FTA reports. All relevant information related to the oversight of each subrecipient should be easily and quickly identified, complete and readily available. Information will be kept within the Finance files.

YCIPTA cannot release funds without an executed grant and subrecipient agreement and if the subrecipient award is over ~~\$30,00025,000~~, YCIPTA's Finance Manager will report to FSRS at www.FSRS.gov by the end of the month following the month that the subrecipient agreement was signed.

MONITORING

YCIPTA monitors subrecipient activities necessary to ensure that federal awards are used for authorized purposes; are in compliance with laws, regulations, and agreements and performance goals are achieved. Specifically, YCIPTA's Finance Manager and Transit Director is responsible for ensuring that executed grant awards are administered properly to ensure that grant funds are used for intended purposes, in accordance with laws and regulations, and lead to agreed-upon results. Finance staff and the Transit Director are the agency's main points of contact for subrecipient management and monitoring. Effective management and oversight increase the likelihood that grants will remain eligible and contribute to achieving agency and subrecipient goals and outcomes. When managing subrecipients, staff will:

1. Develop and execute subrecipient agreement(s).
2. Monitor the financial status of grants and project activity.
3. Ensure results through milestone and performance reporting.
4. Evaluate subrecipient risk to determine level of monitoring and oversight.
5. Work with the subject area experts to complete required subrecipient monitoring.

All reimbursement requests are fully documented and reviewed prior to the disbursement of funds.

Depending on the nature/size of the subrecipient, award/scope of work and assessed risk level, YCIPTA will determine the type and frequency of oversight and reporting required under the grant agreement. Reports (submitted and evaluated monthly, bi-monthly, quarterly, or other) will be used to monitor federal compliance, project status and grant spending. Areas to provide oversight may include (where applicable), but are not limited to: procurement (YCIPTA requires review and approval of procurement and contract documents); Title VI; Disadvantaged Business Enterprise; Drug and Alcohol, ADA, satisfactory continuing control, maintenance, NEPA; and grant administration. YCIPTA will document its oversight and monitoring progress.

The Subrecipient Risk Assessment Questionnaire (Appendix B) template helps determine risk level of the subrecipient administering a federal grant. High scores correspond to high risk subrecipients and more in-depth and frequent monitoring.

The Subrecipient Monitoring Frequency and Monitoring Steps (Appendix C) outlines the methodology for determining frequency and monitoring steps.

FISCAL MONITORING

The timely receipt of financial records and reports from subrecipients is necessary for YCIPTA to effectively monitor the financial status of grants. Ineffective grant monitoring increases the risk of improper payments and untimely grant expenditures and may result in the misuse or waste of funds. YCIPTA has various tools to monitor the financial status of grants, including grant accounting and cash management procedures (these are available upon request). Fiscal monitoring includes, but is not limited to:

- Reviewing bills, invoices or other fiscal documentation
- Comparing budgets and/or budget limits to actual costs
- Obtaining reasonable documentation that services charged to the subaward were actually delivered according to the contract
- Comparing bills with supporting documentation to determine that costs were allowable, necessary and/or allocable according to the policies of the federal program and the terms of the subrecipient agreement.

When reviewing invoices YCIPTA's Finance team verifies that the charges:

- Occurred within the grant period of performance
- Are eligible under the grant (award) and allowable under Federal regulations per 2 CFR 200 Subpart E
- Supported with adequate documentation
- Are not duplicate charges

For adequate documentation the invoice submitted to YCIPTA must have enough information so that someone unrelated to the grant could determine that the charges were appropriate. Such information would include documentation such as progress report or work statements, invoices for support services and materials, certification by the subrecipient that the work has been satisfactorily rendered, copies of the original bills, invoices, expense accounts, and miscellaneous supporting data retained by the subrecipient including, but not limited to work records, rates, material and equipment costs, and list of names, hours worked, and wage information.

YCIPTA will review all subrecipient requests for reimbursement using the Subrecipient Invoice Review Checklist and Form (Appendix D). This will ensure all required supporting documents are submitted and all requests are eligible for reimbursement under the grant.

YCIPTA will review invoices to ensure only eligible expenses are charged to the grant. If a subrecipient invoices for indirect costs, they must have had prior approval and an approved Cost Allocation Plan.

The subrecipient will use the YCIPTA Subrecipient Invoice Review Checklist and Form as the coversheet for all invoices (Appendix D).

PERFORMANCE REPORTING

YCIPTA's Finance Department is responsible for managing FTA milestone progress and financial status reporting respectively. Subrecipient site visits are planned based on level of risk identified through the subrecipient risk assessment process (per 2 CFR 200). The Grants Division maintains documentation on subrecipient site visits and monitoring activities performed.

- Monthly Reporting – when applicable subrecipients must complete the Monthly Subrecipient Report Form (Appendix E) or the Monthly DBE TITLE VI Report Form (Appendix F) (depending on the level of risk) and submit to YCIPTA monthly. If the project demonstrates arising issues, YCIPTA will work with the subrecipient in developing corrective actions. The deadlines are outlined on the Subrecipient Reporting Schedule (Appendix L).
- Quarterly Reporting – subrecipients must complete the Quarterly Subrecipient Report Form (Appendix G) and submit to YCIPTA quarterly. The deadlines are outlined on the Subrecipient Reporting Schedule (Appendix L).

YCIPTA will review the completed report and clarify any information with the subrecipient if necessary. YCIPTA will also ensure this information is incorporated into the quarterly milestone progress reports submitted to FTA where applicable.

ONGOING DUTIES

YCIPTA monitors subrecipient activities as necessary to ensure that federal awards are used for authorized purposes; are in compliance with laws, regulations and agreements; and performance goals are achieved.

YCIPTA must understand the subrecipient's environment, systems, and controls sufficiently to identify the level and methods of monitoring required. The level of monitoring should appropriately reflect the level of risk or exposure identified during the risk assessment process.

To help ensure compliance with applicable grant requirements, the Finance Manager/Transit Director will regularly:

- Review grant scope and activity
- Conduct, evaluate and review Risk Assessment(s)
- Provide ongoing communication and training with the subrecipient

REVIEW SUBAWARD REIMBURSEMENT REQUESTS

YCIPTA reviews all documentation associated with each reimbursement request submitted by subrecipient. Reimbursements are monthly or quarterly. The Finance Manager receives the request from the subrecipient and routes to Accounts Payable (AP) so that it can be logged into the agency's financial system. Once that is complete, AP returns the reimbursement request packet back to the Finance Manager so that it can be distributed for review to the Transit Director.

RISK ASSESSMENT

YCIPTA will determine the level of risk (low, medium or high) based on the results of the Subrecipient Risk Assessment Questionnaire (Appendix B).

The risks help determine the level of oversight and type and frequency of reviews as outlined in the Subrecipient Monitoring Frequency and Monitoring Steps (Appendix C).

When evaluating subrecipient risk, YCIPTA considers:

- Grant sources and amounts awarded to the subrecipient
- Subrecipient experience with federal award management
- Financial audits and findings
- Past site reviews and findings
- Quarterly performance reports

The cumulative risk assessment determines the level of oversight and review:

- High Risk – more in-depth oversight and frequent monitoring, detailed compliance reviews and site visits
- Medium Risk – detailed compliance reviews, site visit discretionary based on prior compliance reviews
- Low Risk – compliance review optional with written justification

Even if a subrecipient is determined to be low risk, if there are changes in regulations or guidance, YCIPTA may need to perform additional monitoring/site visit to subrecipient, to ensure compliance with the new regulation/guidance.

COMMUNICATION, EDUCATION, TRAINING

Effective communication is important for project success. To assist with establishing roles and contacts, the Communication and Outreach Protocol (Appendix J) and the Subrecipient Staff Roles and Contact Information (Appendix K) documents should be kept up to date.

As the main point of contact for subrecipients, the Finance Manager/Transit Director provides regular communication, support, and guidance to subrecipients and other YCIPTA staff to assist with understanding federal requirements and practical ways to comply with grant requirements. As part of this communication, the Transit Director identifies areas that the subrecipient may need clarification and training, prepares and distributes written guidelines (e.g., FTA circulars, BPPM, etc.) related to grant compliance. The Finance Manager also addresses compliance related inquiries from subrecipients and project related staff.

When applicable, the Finance Manager/Transit Director will provide or inform of training opportunities for the subrecipients in the form of meetings, workshops, webinars, distribution of grant-related materials such as applicable FTA circulars, Regional Bulletins, and other grant guidance.

SITE VISITS

Subrecipients will receive on-site compliance reviews. The frequency and effort depend on the level of risk and length of the funding agreement.

Elements of an On-site review entails the following:

- Review team requests subrecipient documents and sets up on-site meeting
- Subrecipient sends information to recipient
- Review team examines information using FTA Triennial Review guide and circulars
- Review team sends list of potential issues to subrecipient as preparation for on-site visit
- Conduct on-site review with subrecipient

Activities covered during On-site review:

- Entrance conference
- Interviews and review of outstanding documentation
- Visits and inspect federally funded facilities, vehicles and other major assets (where applicable)
- Preliminary findings of deficiency
- Exit conference

At the exit conference, the preliminary findings of the deficiency will be distributed by the review team and discussed with the subrecipient along with proposed corrective actions (a corrective action plan) and dates for completion. The subrecipient should advise if any comments have been misstated or if there are any obstacles to the implementation of corrective actions.

CLOSEOUT

Grant closeout is the term used to signify the process by which all activities in a grant are complete and/or federal funds have been expended.

YCIPTA will conduct a formal grant closeout review before closing out any subrecipient agreements. A review ensures all requirements have been met and properly documented, and that all requests for reimbursement have been processed. Final reimbursements will be held until subrecipient agreement closeout has been initiated.

The subrecipient must submit all closeout documentation within 45 days of the completion of all activities in the grant.

The results of the closeout review will be documented in a final status report for the project/subrecipient. A summary of the closeout activity will be included in the final progress report.

ANNUAL FINANCIAL AUDIT REVIEW

Subrecipients that receive \$750,000 or more in federal funds in any year (from all federal sources) must have an annual single audit or program specific audit conducted by an independent audit in accordance with 2 CFR 200. The FTA specifically requires audits when the total of Federal funds received are equal to or greater than \$750,000.

Single Audits of subrecipients will be retrieved by YCIPTA's Finance team from the Federal Audit Clearinghouse Internet Data Entry System. Finance will also use audit results to determine the level of risk and if additional review is required in the site visit(s).

APPENDICES

Appendix A - Subrecipient Agreement Information required by 2 CFR part 200

Recipients must enter into an agreement with each subrecipient. Agreements must state the terms and conditions of assistance and includes information required by FTA and 2 CFR part 200.

Required Agreement Information	
Information	Comment
Federal award identification:	
Subrecipient name (which must match the name associated with its unique entity identifier)	
Subrecipient's unique entity identifier (DUNS)	
Federal award identification number (FAIN)	
Federal award date of award to the recipient by the Federal agency	
Subaward period of performance start and end date	
Amount of Federal funds obligated by this action by the pass-through entity to the subrecipient	
Total amount of Federal funds obligated to the subrecipient by the pass-through entity including the current obligation	
Total amount of the Federal award committed to the subrecipient by the pass-through entity	
Federal award description as required to be responsive to the Federal Funding Accountability and Transparency Act	
Name of Federal awarding agency, pass-through entity, and contact information for awarding official of the pass-through entity	

YCIPTA Subrecipient Monitoring Procedures

Required Agreement Information	
Information	Comment
Catalog of Federal Domestic Assistance (CFDA) number and name; the pass-through entity must identify the dollar amount made available under each Federal award	
Identification of whether the award is research and development (R&D)	
Indirect cost rate for the Federal award (including if the application of the de minimis rate per §200.414 Indirect (F&A) costs)	
Pass-through Requirements:	
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, i.e. federally required clauses	
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	
Indirect Costs: If a federally approved indirect cost rate is negotiated between the subrecipient and the Federal government, this rate must be used. If no such rate exists, the subrecipient may either negotiate a rate with the pass-through entity and the subrecipient (in compliance with this part), or elect the de minimis indirect cost rate as defined in §200.414 Indirect (F&A) costs, paragraph (f), if eligible.	
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	
Appropriate terms and conditions concerning closeout of the subaward	

Appendix B - Subrecipient Risk Assessment Questionnaire

This Monitoring Needs Assessment has been developed to determine the appropriate level of monitoring for each FTA subrecipient subaward.

This form should be completed by the project manager at the start of the award cycle when FTA subrecipients are identified, before any funding agreements are made, and then at least annually thereafter. The assessment should be revised in the event of significant changes to the subaward or subrecipient operation. Information may need to be requested from the subrecipient directly. The Excel 'FTA Subrecipient Monitoring Needs Assessment' tool can be used to document the scores and calculate the level of monitoring needed.

The level of monitoring needed will influence the approach and frequency of OCTA monitoring activity. The project manager should send the Subrecipient Monitoring Needs Assessment to the Government Relations Division and agree on any amendments to the Subrecipient Monitoring Plan.

Instructions:

Each question is multiple choice, with a different score (1, 3, 5) for each answer option. Complete all questions and calculate the total score of all answers. The total score indicates the level of monitoring needed (high, medium or low) for the subrecipient subaward. This is outlined on the last page of the assessment. Particular responses to certain questions lead to an automatic 'High' score. These are highlighted in red and identified with (*).

Where a question is N/A for the subrecipient or subaward, score one (1). New or potential subrecipients may score one (1) in a number of areas as they have no proven record in reporting, FTA compliance and Federal Cost Principles.

<u>I. Project Complexity/Technical Capacity</u>	
<u>1. What is the duration of the project?</u>	
<u>0-12 months</u>	<u>1</u>
<u>12-24 months</u>	<u>3</u>
<u>25 months and over</u>	<u>5</u>
<u>Comments:</u>	
<u>2. How many phases does the project have?</u>	
<u>One phase</u>	<u>1</u>
<u>Some phases</u>	<u>3</u>
<u>Many phases</u>	<u>5</u>
<u>Comments:</u>	
<u>3. How many contractors and/or subcontractors are involved in the project?</u>	
<u>One contractor</u>	<u>1</u>
<u>Some contractors and subcontractors</u>	<u>3</u>
<u>Many contractors and subcontractors</u>	<u>5</u>
<u>Comments:</u>	
<u>4. Complexity of the business environment or program funding/match requirements:</u>	
<u>Simple program requirements and operations environment</u>	<u>1</u>
<u>Moderately complex program requirements and operations environment</u>	<u>3</u>

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<u>Complex operations environment and program requirements</u>	<u>5</u>
<u>Comments:</u>	
5. Has the project experienced changes in scope and schedule?	
<u>No changes</u>	<u>1</u>
<u>A few minor changes in scope and schedule</u>	<u>3</u>
<u>Many changes in scope and/or schedule</u>	<u>5</u>
<u>Comments:</u>	
6. Type of project	
<u>All projects except those listed below</u>	<u>1</u>
<u>Large construction, Environmental, Coordinate with railroad; Design-build projects, Large BRT, New or Small Starts</u>	<u>5</u>
<u>Comments:</u>	

II. General Assessment	
1. Subrecipient experience delivering an FTA Funded Subaward: *	
<u>5+ years</u>	<u>1</u>
<u>1-4 years</u>	<u>3</u>
<u>No previous experience as FTA subrecipient or recipient*</u>	<u>5</u>
<u>Comments:</u>	
2. Management or staff turnover or reorganization that affects this project or program:	
<u>No turnover or reorganization</u>	<u>1</u>
<u>Little turnover or reorganization</u>	<u>3</u>
<u>Significant turnover or reorganization</u>	<u>5</u>
<u>Comments:</u>	
3. Experience of staff and management assigned to the program:	
<u>5+ years/funding cycles</u>	<u>1</u>
<u>2-5 years/funding cycles</u>	<u>3</u>
<u>Less than 2 years/funding cycles</u>	<u>5</u>
<u>Comments:</u>	
4. Subrecipient timeliness in document submission:*	
a) Applications, Amendments, Close-out	
b) Fiscal or Financial Reporting, Budgets/Revisions	
c) Monitoring document requests, Quarterly Reports	
d) Single audits and corrective action (if applicable)	
<u>On time submission of all documents</u>	<u>1</u>
<u>Rarely late or sometimes late on some documents</u>	<u>3</u>
<u>Consistently late on some or all documents*</u>	<u>5</u>
<u>Comments:</u>	
5. Subrecipient timely response to program/fiscal questions:	
<u>Always timely in response</u>	<u>1</u>
<u>Sometimes late in response</u>	<u>3</u>

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<u>Consistently late in response</u>	<u>5</u>
<u>Comments:</u>	
6. Effective written procedures and controls for this program:	
<u>Formal/Written and Distributed to Employees</u>	<u>1</u>
<u>Informal and Formal Policies and Controls</u>	<u>3</u>
<u>No or only informal Policies or Controls</u>	<u>5</u>
<u>Comments:</u>	
7. Operates a fixed route service	
<u>Substantial experience</u>	<u>1</u>
<u>Some experience</u>	<u>3</u>
<u>Little to new experience</u>	<u>5</u>
<u>Comments:</u>	
8. Civil rights	
<u>Has all plans written and endorsed/approved</u>	<u>1</u>
<u>Has some plans written and endorsed, some have questionable status</u>	<u>3</u>
<u>Has few civil rights plans written and approved/endorsed</u>	<u>5</u>
<u>Comments:</u>	
9. Operates a Paratransit or Demand Response	
<u>Substantial experience</u>	<u>1</u>
<u>Some experience</u>	<u>3</u>
<u>Little to new experience</u>	<u>5</u>
<u>Comments:</u>	
10. Outsources transit services	
<u>Has a written oversight plan</u>	<u>1</u>
<u>Has an informal and partially written plan</u>	<u>3</u>
<u>Has only an informal unwritten plan</u>	<u>5</u>
<u>Comments:</u>	

III. Overall Financial Assessment	
1. Variations between expenditures and budget:	
<u>No variations</u>	<u>1</u>
<u>Small variations</u>	<u>3</u>
<u>Large and frequent variations</u>	<u>5</u>
<u>Comments:</u>	
2. Subrecipient amount of budget carryover year to year:	
<u>No carryover</u>	<u>1</u>
<u>Small amount of carryover</u>	<u>3</u>
<u>Large amount of carryover</u>	<u>5</u>

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<u>Comments:</u>	
3. Difficulty meeting match requirements:	
<u>Always meets match requirements (No difficulty)</u>	<u>1</u>
<u>Meets match requirements most of the time (Some difficulty)</u>	<u>3</u>
<u>Consistently has difficulty meeting match requirements</u>	<u>5</u>
<u>Comments:</u>	

IV. Legal Assessment	
1. Does the subrecipient have or previously had a lawsuit(s) filed against them? (Obtain all necessary documentation if answer is yes)	
<u>No previous or current lawsuits</u>	<u>1</u>
<u>Has previously had a lawsuit</u>	<u>3</u>
<u>Has a lawsuit</u>	<u>5</u>
<u>Comments:</u>	
2. Subrecipient staff that have been jailed, convicted of a felony or are currently under criminal investigation:	
<u>No staff jailed, convicted or currently under criminal investigation</u>	<u>1</u>
<u>Has staff that has been jailed, convicted or is currently under criminal investigation</u>	<u>5</u>
<u>Comments:</u>	

V. Monitoring/Audit Assessment	
1. Have there been material Audit findings from the Single Audit or any other Internal Audit?*	
<u>No material findings</u>	<u>1</u>
<u>Some findings, not material</u>	<u>3</u>
<u>Has material findings*</u>	<u>5</u>
<u>Comments:</u>	
2. Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?*	
<u>No material findings</u>	<u>1</u>
<u>Some findings, not material</u>	<u>3</u>
<u>Has material findings*</u>	<u>5</u>
<u>Comments:</u>	
3. Has the subrecipient been debarred or suspended or been on restricted drawdown? If so, when?*	
<u>Never debarred or suspended, restricted</u>	<u>1</u>
<u>Has been debarred or suspended, restricted*</u>	<u>5</u>
<u>Comments:</u>	
4. Corrective Action Plans (CAP) and Resolution (Obtain copy)	
<u>No outstanding CAPs past or current</u>	<u>1</u>
<u>Has had CAPs but some have been resolved on time</u>	<u>3</u>

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Has CAPs and most are not resolved on time	5
<u>Comments:</u>	

VI. Financial Systems Assessment	
1. Does the sub-recipient have a financial management system and procedures in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)*	
Yes, has financial management system in place; Has procedures covering allowability of costs and timeliness of disbursements	1
No integrated financial management system or procedures in place*	5
<u>Comments:</u>	
2. Does the accounting system identify the receipts, time and expenditures specific to award funds, as well as the award funded project?	
Accounting system identifies receipts, time and expenses of program funds separately for each award fund and each award funded project	1
Accounting system identifies receipts, time and expenses of program funds but does not separate for both award funds and projects	3
Accounting system does not identify receipts, time and expenditures of program funds	5
<u>Comments:</u>	
3. Does the sub-recipient have a time and accounting system to track time and expenditures by cost objective?	
Yes, subrecipient has a time and accounting system to track time and expenditures by cost objective	1
Subrecipient has a time and accounting system but does not track time and expenditures by cost objective	3
Subrecipient does not have a time and accounting system to track time and expenditures	5
<u>Comments:</u>	

Once assessment is complete, total the scores to determine the Risk level using the table below.

Subrecipient Questionnaire Score	Monitoring Need	Total of score
<u>Less than 30</u>	<u>Low</u>	
<u>31 to 60</u>	<u>Medium</u>	
<u>Greater than 60</u>	<u>High</u>	
Automatic High Level, regardless of overall score		

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YCIPTA Subrecipient Monitoring Procedures

<p>A score of 5 on any of the following questions - <u>Section II Q 1 or 4, Section V Qs 1, 2, and 3, Section VI, Q 1</u></p> <ul style="list-style-type: none"> • <u>No previous experience as FTA subrecipient</u> • <u>Consistently late on some or all document reporting</u> • <u>Material Findings from previous audits</u> • <u>Drawdown or invoicing restrictions</u> • <u>No financial management systems in place</u> 	<p>High</p>
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What is Risk Assessment?

2CFR 200.331 requires an evaluation of the risk that a subrecipient has in complying with the Federal statutes, regulations and the terms and conditions of the subaward from a grantee. This evaluation will help determine the level of monitoring required by YCIPTA. This questionnaire will be used to assist in the evaluation of risk associated with sub-granting state and/or federal funds.

Subrecipient Name:
Address:
Subrecipient's Federal Employer Identification Number (EIN):
Subrecipient DUNS Number:
Agency/Organization is registered in SAM:
Grant Identification/Grant Number:

I. GENERAL ASSESMENT

Question _____ **Select One ("x")**

1. Subrecipient Experience with Similar Project(s):

5+ years	
3-5 years	
0-3 years	

Comments: If applicable, were the projects completed on time and within budget?

2. Subrecipient experience with State or Federal Funds:

5+ years	
3-5 years	
0-3 years	

Comments:

3. Subrecipient experience with FTA Grant program(s):

5+ years	
3-5 years	
0-3 years	

Comments:

4. Management or staff turnover or reorganization that affects this program:

No turnover or reorganization	
Little turnover or reorganization	
Significant turnover or reorganization	

Comments:

5. Average experience of project staff and management in the current position:

5+ years	
2-5 years	
Less than 2 years	

Comments:

6. Experience of staff and management with the FTA program(s):

5+ years	
2-5 years	
Less than 2 years	

Comments: Please list specific experience.

7. Familiarity with the program:

Have managed/conducted many similar programs in the past (5+ years' experience)	
Have managed/conducted a few similar programs	
Have minimal or no experience with this type of program	

Comments:

~~{IF YOU ARE A FIRST-TIME YCIPTA SUBRECIPIENT, THIS QUESTION IS NOT APPLICABLE FOR THE FIRST RISK ASSESSMENT ANALYSIS}~~

8. Subrecipient timeliness in document submission: (Applications, Amendments, Fiscal/Financial Reporting, Budgets/revisions, Close-out A-133 audits and corrective action plan (if applicable)):

On-time submission of all documents	
Rarely late or sometimes late on some documents	
Consistently late on some or all documents	

Comments: If applicable, explain reason for late submissions.

~~{IF YOU ARE A FIRST-TIME YCIPTA SUBRECIPIENT, THIS QUESTION IS NOT APPLICABLE FOR THE FIRST RISK ASSESSMENT ANALYSIS}~~

9. Subrecipient timely response to program/fiscal questions:

Always timely in response	
Sometimes late in response	
Consistently late in response	

Comments: If applicable, explain reason for late submissions.

40. Effective written procedures and controls for this program:

Formal/written and distributed to employees	
Informal policies and controls	
No policies or controls	

Comments: If applicable please attach written procedures.

41. Complexity of the program:

Simple program requirements and operations environment	
Moderately complex program requirements and operations environment	
Complex operations environment and program requirements	

Comments:

42. Past projects completed on time:

Yes	
No	

Comments: If no, please provide overview.

43. What policy or procedures have changed since the last compliance review? Please identify the effective date of the changes.

Comments:

**II. OVERALL FISCAL ASSESSMENT
For any similar projects in past 5 years**

Question _____ **Select One ("x")**

1. Variations between expenditures and budget:

No variations	
Small variations	
Large and frequent variations	

Comments:

2. Difficulty meeting matching requirements:

Have funds in a reserved account	
Have budgeted funds for project	
Will provide funds from general fund or general capital funds	

Comments:

III. LEGAL ASSESSMENT

Question _____ **Select One ("x")**

1. Does the subrecipient have or previously had a lawsuit(s) filed against them? (such as EEO, DBE, contractor suing for payment)

No previous or current lawsuits	
Has previously had a lawsuit	
Has a lawsuit	

Comments: Please provide necessary documentation for existing or prior lawsuits:

2. Subrecipient staff that have been arrested, convicted of a felony or are currently under criminal investigation:

No staff arrested, convicted or currently under criminal investigation	
Has staff that has been arrested, convicted or is currently under criminal investigation	

Comments:

3. Does the subrecipient have a conflict of interest policy in place (pursuant to 200 CFR-200.112?)

Yes	
No	

Comments:

4. Does the subrecipient have any violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award?

No	
Yes	

Comments: If yes, provide supporting documentation.

IV. MONITORING/AUDIT ASSESSMENT

Question _____ **Select One ("x")**

1. Past Audit findings from the A-133 Audit or any Internal Audits:

No material findings	
Some findings, not material	
Has material findings	

Comments: If applicable, please discuss how corrective actions were handled for finding(s). Include timeline taken to get findings closed.

2. Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?

No material findings	
Some findings, not material	
Has material findings	

Comments:

[IF YOU ARE A FIRST-TIME YCIPTA SUBRECIPIENT, THIS QUESTION IS NOT APPLICABLE FOR THE FIRST RISK ASSESSMENT ANALYSIS]

3.— Corrective Action Plans (CAP) and Resolution (CAP's are required when a project is not meeting deliverables/milestones. The subrecipient submits a CAP that outlines the course of action proposed to get back on schedule/budget).

No CAPs past or current	
Has had CAPs but been resolved on time	
Has Caps and not resolved on time	

Comments:

4.— When was the last on-site monitoring visit?

Less than one funding cycle has passed since on-site visit	
Less than three funding cycles have passed since on-site visit	
More than three funding cycles have passed since on-site visit	

Comments: Provide the year of visit and provide details about the funding agency and project. List specific findings for each visit and provide details on how the findings were resolved.

V. FINANCIAL SYSTEMS ASSESSMENT

Question _____ Select One ("x")

1.— Does the subrecipient have a financial management system in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)?

Yes, has financial management system in place	
No financial management system in place	

Comments: Please list the system used and length of time in use.

2.— Does the accounting system identify the receipts and expenditures of program funds separately for each award?

Accounting system identifies receipts and expenditures of program funds separately for each award	
Accounting system identifies receipts and expenditures of program funds but does not separate for each award	
Accounting system does not identify receipts and expenditures of program funds	

Comments:

3.— Does the subrecipient have a time and accounting system to track time and expenditures by cost objective?

Yes, subrecipient has a time and accounting system to track time and expenditures by cost objective	
Subrecipient has a time and accounting system but does not track time and expenditures by cost objective	
Subrecipient does not have a time and accounting system to track time and expenditures	

Comments:

~~4. Does the subrecipient maintain appropriate internal controls? (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)~~

Yes	
No	

Comments:

VI. CAPITAL ASSET TRACKING

Question _____ **Select One ("x")**

~~4. The subrecipient maintains appropriate capital asset tracking: Maintains a detailed capital asset record system, inventory counts verified by individuals independent of those in charge of inventory records, physical inventory is taken once every two years and reconciled to detailed capital asset records) and inventory records contain the following:~~

- ~~• Description~~
- ~~• I.D. number~~
- ~~• Acquisition Date~~
- ~~• Cost~~
- ~~• Federal Percentage~~
- ~~• Grant Number~~
- ~~• Location~~
- ~~• Use and Condition~~
- ~~• Disposition Action~~
- ~~• Vested Title~~
- ~~• Useful Life~~

Yes	
No	

Comments: ~~List the items not contained in agency inventory records.~~

~~The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application/project are aware of sponsor policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies.~~

Signature of Subrecipient's Authorized Official

Date

Name, Title
Agency
Email
Phone Number

Appendix C - Subrecipient Monitoring Frequency and Monitoring Steps

Monitoring Step Process		Low	Medium	High
1	Subrecipient identification and initial monitoring needs assessment	All subrecipients	All subrecipients	All subrecipients
2	Elaboration of FTA Requirements and Subrecipient Guidelines	All subrecipients	All subrecipients	All subrecipients
3	FTA Subrecipient Funding Agreement execution	All subrecipients	All subrecipients	All subrecipients
4	Ongoing FTA subrecipient monitoring, including: 4.1 Invoice reviews	Monthly	Monthly	Monthly
	4.2 Reporting requirements	Quarterly	Quarterly	Monthly
5	Formal compliance reviews 5.1 Desk review of submitted documents <i>(for the first visit review all policies and procedures)</i>	Annual Review only policies and procedures that have changed	Annual Review only policies and procedures that have changed	Bi-Annual Review only policies and procedures that have changed
	5.2 On-site review	Every 24 months	Every 18 months	Every 6-12 months
	5.3 Compliance review report	Modified version for desk top, full for on-site	Modified version for desk top, full for on-site	Modified version for desk top, full for on-site
	5.4 Corrective action monitoring	Where necessary	Where necessary	Where necessary
6	Closeout	All subrecipients at project end	All subrecipients at project end	All subrecipients at project end

** monitoring frequency may vary based on risk assessment and progress of the subrecipient through the life of the grant

Appendix D - Subrecipient Invoice Review Checklist and Form¹

Invoice Review Checklist

FTA Subrecipient Invoice Review Checklist

Contract/Recipient Number _____ Invoice Number _____

Project Title _____ Invoice Date(s) _____

Subrecipient _____ Invoice Value _____

Purchase Order # _____ Actual Local Match _____ %

Contract Value _____ Payments to Date _____

Project Manager _____ Division _____

Type of Contract: Fixed Price Fixed Unit Price T&M Construction Management Services

Payment Terms: Milestone Progress Emergency

Applicable Wage Rates: Devils Denon

I. Supporting Documentation		Comments
a. Project Description (Invoice #s)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Project Location (Invoice #s)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Project Site Photos (where applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
d. Vendor / Contract Invoices	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
e. Purchase Orders	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
f. Canceled Checks or proof of	<input type="checkbox"/> Yes <input type="checkbox"/> No	

payment with payment date	<input type="checkbox"/> N/A	
h. Operating costs (from Ledger in Financial system)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
i. Cost estimate update (Invoice #)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
2. Invoice - Format as per Contract	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3. Review of Rates		
a. Complies with Contract Pricing Including Local Match Level	<input type="checkbox"/> Yes <input type="checkbox"/> No	
b. Reflects Current Wage Rates	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4. Performance within Terms of Contract	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5. Complies with Established Contract Cost/ Price	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Appendix A: PTA Subrecipient Invoice Review Checklist 2

6. If Subrecipient had invoiced indirect costs, have they...		
a) Had prior approval?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b) An approved Cost Allocation Plan (CAP)? And, do the invoiced indirect costs follow the agreed CAP?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

7. Cost Questioned:

Type	Value	Allowable Cost?	Comments
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

8. Retainage _____ % 9. Costs approved _____
(optional) 3

10. DBE Affidavit Attached (only applies to Streetscape) Yes

Approval	Signature	Date
Project Manager		

Notes:

Invoice Form

OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS		DATE APPROVAL:	PAGE	PAGE 1 OF 1 (PAGE)
1. TYPE OF REQUEST REQUESTED: <input type="checkbox"/> ADVANCE <input checked="" type="checkbox"/> REIMBURSEMENT <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL		2. BASIS OF REQUEST: <input checked="" type="checkbox"/> REIMBURSEMENT <input type="checkbox"/> PARTIAL	3. BASIS OF REQUEST: <input checked="" type="checkbox"/> CASH <input type="checkbox"/> ACCOUNTS	
4. FEDERAL AGENCY OR OTHER AGENCY AGENCY NUMBER		5. FEDERAL AGENCY OR OTHER AGENCY AGENCY NUMBER		6. FEDERAL AGENCY OR OTHER AGENCY AGENCY NUMBER FOR THE REQUEST
7. PROJECT IDENTIFICATION NUMBER	8. PROJECT ACCOUNT NUMBER OR OTHER FEDERAL NUMBER	9. PERIOD COVERED BY THIS REQUEST FROM (month/year) TO (month/year)		
10. PROJECT DESCRIPTION NAME: NUMBER: C.F. DATE:		11. FUND (Please check to see if different from the above) NUMBER: C.F. DATE:		
12. STATUS OF FUNDS				
CLASSIFICATION				TOTAL
All and Task Description				
All and Task Description				
All and Task Description				
All and Task Description				
Total cumulative for period covered (sum of above) (00%)				0.00
In kind Local share matching (Funded by Sub recipient) (x%)				
Local share (Funded by Sub recipient) (x%)				0.00
Federal share (Reimbursement amount) (x%)				0.00
13. CERTIFICATION		SIGNATURE OF SUBRECIPIENT OFFICIAL		DATE SIGNED
I certify that to the best of my knowledge and belief the billed costs or disbursements are in accordance with the terms of the period and that the reimbursement requested by the Federal share which has not been previously requested was not or otherwise has been performed and of work is in accordance with the terms of the award.		SIGNATURE OF SUBRECIPIENT OFFICIAL		DATE SIGNED
		SIGNATURE OF SUBRECIPIENT OFFICIAL		DATE SIGNED
I certify that the contract related to the attached invoice bears the approved FTA dollar amount.		SIGNATURE OF ALPHONSE CERTIFYING OFFICIAL		DATE SIGNED
		N/A (Based on no contract request in award/instrument)		

Along with this summary listing of invoices and labor involved in this project, please provide the following with each invoice: (1) progress report or work statements, (2) invoices for support services and materials, (3) certification by the subrecipient that the work has been satisfactorily rendered, (4) copies of the original bills, invoices, expense accounts, and miscellaneous supporting data retained by the subrecipient including, but not limited to work records, rates, material and equipment costs, and (5) list of names, hours worked, and wage information. If fringe is calculated, please show the calculation within the backup. Invoices and documentation should be sent to skreger@ycipta.az.gov and cperez@ycipta.az.gov or can be mailed to YCIPTA, Attention: Finance, 2715 E 14th St., Yuma, AZ 85365

YCIPTA will provide the subrecipient with an Excel version of the form.

Appendix E - Monthly Subrecipient Report Form

Subrecipient:	
Project:	
Funding Agency:	
Date of Submission of Monthly Report:	
Report Submitted By:	
Submittal Date:	

Please provide an update on the status of the project. Updates should include the following:

- Work plan deliverables (scope of work) ²
- Milestone status
- Invoice status (including a total of amount invoiced to date)
- Briefing of project meetings conducted
- Briefing of public meetings conducted
- NEPA Status (this item concludes when FTA issues NEPA determination)
- Overview of any issues that have arisen or are anticipated
- Projection of work plan and meetings for the next month

Per Federal Register Vol 79/ No 171 FTA Transit Oriented Development Planning Pilot Program requirement for work plan submission to FTA at quarterly report time.

Appendix F - Monthly DBE TITLE VI Report Form

Subrecipient:	
Project:	
Funding Agency:	
Date of Submission of Monthly Report:	
Report Submitted By:	
Submittal Date:	

Please provide an update on the status of the project. Updates should include the following:

Disadvantaged Business Enterprise

What percentage of the DBE contract(s) is complete?

What are the date(s) of invoices received compared to payment date(s) (is prompt payment being met?)

TITLE VI

Have there been any Title VI complaints associated with this project filed during this time period?

Deliverable Tracking

AREA OF THE PROJECT	DELIVERABLE	DESCRIPTION	STATUS
1.			
2.			
3.			

Appendix G - Quarterly Subrecipient Report Form (FTA Quarterly Report Elements per C5010.IE, Chapter III)

Subrecipient:	
Project:	
Funding Agency:	
Date of Submission of Quarterly Report:	1 st Qtr due Jan 15 th 2 nd Qtr due April 15 3 rd Qtr due July 15 4 th Qtr due Oct 15 <i>(if the due date falls on a weekend, submit the next business day)</i>
Report Submitted By:	
Submittal Date:	
QUESTION	RESPONSE
1. Current status of each open ALI within the active/executed grant.	
2. A narrative description of projects, status, any problems encountered in implementation, specification preparation, bid solicitation, resolution of protests, and contract awards.	
3. Detailed discussion of all budget or schedule changes.	
4. The dates of expected or actual requests for bid, delivery, etc.	
5. Actual completion dates for completed milestones.	
6. Revised estimated completion dates when original estimated completion dates are not met.	
7. Explanation of why scheduled milestones or completion dates were not met.	
8. Analysis of significant project cost variances. 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.	

YCIPTA Subrecipient Monitoring Procedures

<p>9. 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.</p>	
<p>10. A list of all potential and executed change orders and amounts exceeding \$100,000, pending or settled, during the reporting period. This list should be accompanied by a brief description.</p>	
<p>11. A list of claims or litigation involving third party contracts and potential third party contracts that:</p> <ul style="list-style-type: none"> 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. 	
<p>12. A list of all real property acquisition actions, including just compensation, property(s) under litigation, administrative settlements, and condemnation for each parcel during the reporting period.</p>	

In addition, please include the following:

<p>Project Schedule including original and current completion dates</p>	
<p>Funding table for each ALI including fiscal year, original planned allocation, current estimates, actual expenditures, and remaining allocation</p>	
<p>CAP including updates for any delayed projects</p>	
<p><i>Updated Risk Assessment Questionnaire (Appendix B) should accompany the report</i></p>	

Appendix H - Federal Reference Documents

1. Federal Register Notices (any applicable such as NOFA, listing of award etc.)
2. [OMB Super Circular](#)
3. [49 CFR Section 18.37](#)
4. [FTA Fiscal Year 2018 \(or current year\) Certifications and Assurances](#)
5. [USDOT FTA Master Agreement / FY 2017 \(or current year\)](#)
6. [4220.1F Third Party Contracting Guidance](#)
7. [5010.1E Grant Management Requirements](#)
8. [2018 Triennial Review Guide](#)
9. [FTA Best Practices Procurement Manual](#)
10. [FTA Third Party Procurement FAQs](#)

Appendix I - FTA Triennial Review Workbook Areas of Compliance

Compliance Area	Basic Requirement (per the 2017 FTA Triennial Review Workbook)
Financial Management and Capacity	The grantee must demonstrate the ability to match and manage Federal Transit Administration (FTA) grant funds, cover cost increases and operating deficits, cover maintenance and operational costs for FTA funded facilities and equipment, and conduct and respond to applicable audits.
Technical Capacity	The grantee must be able to implement Federal Transit Administration (FTA)-funded projects in accordance with the grant application, FTA Master Agreement, and all applicable laws and regulations, using sound management practices.
Maintenance	Grantees and subrecipients must keep federally funded vehicles, equipment, and facilities in good operating condition. Grantees and subrecipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.
Americans with Disabilities Act (ADA)	Titles II and III of the Americans with Disabilities Act of 1990 (ADA) 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.
Title VI	The grantee 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 grantee must ensure that federally supported transit services and related benefits are distributed in an equitable manner.
Procurement	Grantees use their own procurement procedures that reflect applicable state and local laws and regulations, provided that the process ensures competitive procurement and the procedures conform to applicable Federal law, including 49 CFR Part 18, (repealed effective December 26, 2014), 2 CFR Part 1201, incorporating 2 CFR Part 200 (specifically Sections 200.317-200.326), and Federal Transit Administration (FTA) Circular 4220.1F, "Third Party Contracting Guidance."
Disadvantaged Business Enterprise (DBE)	The grantee must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of U. S. Department of Transportation (US DOT)-assisted contracts. Grantees also must create a level playing field on which DBEs can compete fairly for US DOT-assisted contracts.
Legal	The grantee must be eligible and authorized under state and local law to request, receive, and dispense Federal Transit Administration (FTA) funds and to execute and administer FTA-funded projects.
Satisfactory Continuing Control	The grantee 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.
Planning/Program of Projects	The grantee must participate in the transportation planning process in accordance with Federal Transit Administration (FTA) requirements, Moving Ahead for Progress in the 21st Century (MAP-21), and the metropolitan and statewide planning regulations. Each recipient of a Section 5307 grant shall develop, publish, afford an opportunity for a public hearing on, and submit for approval, a program of projects (POP).
Public Comment on Fare Increases and Major Service Reductions	Section 5307 grantees 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.
Half Fare	For fixed-route service supported with Section 5307 assistance, fares charged seniors, persons with disabilities or an individual presenting a Medicare card

YCIPTA Subrecipient Monitoring Procedures

	during off peak hours will not be more than one half the peak hour fares.
Charter Bus	Grantees are prohibited from using federally funded equipment and facilities to provide charter service if a registered private charter operator expresses interest in providing the service. Grantees are allowed to operate community based charter services excepted under the regulations.
School Bus	Grantees are prohibited from providing exclusive school bus service 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. School tripper service that operates and looks like all other regular service is allowed.
Security	As recipients of Section 5307 funds, grantees must annually certify that they are spending at least one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.
Drug Free Workplace and Drug and Alcohol Program	Grantees are required to maintain a drug free workplace for all grant-related employees and to have an ongoing drug-free awareness program. Grantees 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.
Equal Employment Opportunity	The grantee 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. (Note: Equal Employment Opportunity Commission's regulation only identifies/recognizes religion and not creed as one of the protected groups.)

Appendix J - Communication and Outreach Protocol

The table lists contacts by scope/activity and outlines required subrecipient actions.

Subrecipient:	
Project:	
Primary contact for all inbound YCIPTA communications: Grants	
Please route all phone and Email communications through Grants	
Scope Activity	Secondary Contact
1.	
2.	
3.	
4.	
5.	
Additional Activity	
6.	
7.	
8.	
Required Actions	
1. Make best efforts to coordinate this Project with YCIPTA's Hotel Del Sol project including:	
2. Provide YCIPTA written notice (Email) 10 business days' in advance before scheduling any public meetings relating to the project and before finalizing the agendas and supporting materials for such meetings.	
3. Include a YCIPTA representative at each of the citizen advisory meetings.	

Appendix K - Subrecipient Staff Roles and Contact Information

Please provide a list of the key staff that will be participating on the Project.

Subrecipient:		
Project:		
Primary contact for all inbound City of Tacoma communications: [Name]		
Please route all phone and Email communications through [Point of Contact]		
Monica's Schedule: T, W, Fri. 9am - 4pm		
Staff Name	Title	Role / Key Area of Focus

Contact Information:

Appendix L - Subrecipient Reporting Schedule

The table lists a schedule of reports and actions for the subrecipient.

Subrecipient:			
Project:			
Report/Action	Frequency	Notes	Recipient
1. Project Update and Projection for Month Ahead	Monthly	Email 1 st Monday of the month	YCIPTA Grants POC
2. Submit Invoice	Monthly		YCIPTA Invoice POC
3. Quarterly Reports for FTA	Quarterly <i>(if the due date falls on a weekend, submit the next business day)</i>	1 st Qtr due Jan 15 th 2 nd Qtr due April 15 3 rd Qtr due July 15 4 th Qtr due Oct 15	YCIPTA Grants POC
4. Risk Assessment	Quarterly <i>(if the due date falls on a weekend, submit the next business day)</i>	Update Subrecipient Risk Assessment Questionnaire <i>(submit with quarterly reports)</i>	YCIPTA Grants POC
5. Compliance Review	Annual	YCIPTA will schedule 12 month timeframe	NA
6. Closeout	Once	YCIPTA will coordinate closeout	NA

Appendix M - Areas for Subrecipient Review

Compliance Area	Capital Projects	Transit	Planning	JARC & New Freedom
Financial Management and Capacity	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Technical Capacity	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Maintenance	All subrecipients with FTA funded facilities	All Subrecipients with FTA funded rolling stock or FTA funded facilities	All subrecipients with FTA funded facilities	All Subrecipients with FTA funded rolling stock or FTA funded facilities
ADA	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Title VI	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Procurement	All subrecipients	All subrecipients	All subrecipients	All subrecipients
DBE	All subrecipients with procurements	All subrecipients All subrecipients with procurements	All subrecipients with procurements	All subrecipients with procurements
Legal	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Satisfactory Continuing Control	All subrecipients	All subrecipients	All subrecipients	All subrecipients
Planning/Program of Projects	All subrecipients receiving 5307	All subrecipients receiving 5307	All subrecipients receiving 5307	
Public Comments on Fare Increases and Major Service Reductions		All subrecipients receiving 5307		
Half Fare		All subrecipients operating fixed route services		All subrecipients operating fixed route services
Charter Bus		All subrecipients		All subrecipients
School Bus		All subrecipients		All subrecipients
Security	All subrecipients receiving 5307	All subrecipients receiving 5307		
Drug and Alcohol Program	All subrecipients with safety sensitive employees	All subrecipients with safety sensitive employees		All subrecipients with safety sensitive employees
Equal Employment Opportunity	All subrecipients (that meet threshold)	All subrecipients (that meet threshold)	All subrecipients (that meet threshold)	All subrecipients (that meet threshold)

Appendix N - Letter to Subrecipient (Desk Review)
For low to medium risk subrecipients

Mr. /Ms.
Title
[Subrecipient]
Street Address
City, State, Zip

Re: FTA Subrecipient Compliance Review and Information Request

Dear Mr. /Ms. (Title of Executive Director/Project Manager):

YCIPTA is conducting a Subrecipient Compliance Review of your agency. This annual desk based review determines whether a subrecipient is administering its FTA-funded programs in accordance with 49 U.S.C. Chapter 53, Federal transit law provisions. It assesses subrecipient management practices and program implementation to ensure that the programs are administered in accordance with FTA requirements and are meeting program objectives.

Please find attached a Subrecipient Information Request which provides instructions and document requests. If you believe any document requested is not applicable to your organization, please explain why. Your responses to this request will support our assessment of your agency's compliance with federal requirements.

Please send the requested information to [Transit Agency] by [insert date].

The findings and any corrective actions will be discussed with you following the review.

If you have any questions about the review, the discussion items or the documentation required, please contact [insert project manager name and contact information].

Sincerely,

[Name]
[Title, Department]

Appendix O - Letter to Subrecipient (On-Site Review)

Mr. /Ms.
Title
[Subrecipient]
Street Address
City, State, Zip

Re: FTA Subrecipient Compliance Review and Information Request

Dear Mr. /Ms. (Title of Executive Director/Project Manager):

YCIPTA plans on conducting a Subrecipient Compliance Review of your agency on [insert date]. The review will determine whether you are administering your FTA-funded programs in accordance with 49 U.S.C. Chapter 53, Federal transit law provisions and our subrecipient agreement.

The purpose of the review is to assess your management practices and program implementation to ensure that programs are administered in accordance with FTA requirements and are meeting program objectives.

Our process begins with the attached Subrecipient Information Request which provides instructions and document requests. Your responses to this request will support our assessment of your agency's compliance with federal requirements.

Please send the requested information to [Transit Agency] by [date]. If you believe any document requested is not applicable to your organization, please explain why. This document request includes a list of procurement files, as the Review Team will wish to review a sample of files on-site. The sample of files will be determined before the site visit.

Please have members of your staff who are familiar with the topics and related issues available during the site visit so that our time together will be as productive as possible.

If you have any questions about the review, the discussion items or the documentation required, please contact [insert project manager name and contact information]. We look forward to a meaningful and successful visit.

Thank you.

Sincerely,
[Name]
[Title, Department]

Appendix P - Letter to Subrecipient (Pre –Visit Information Report)

Mr. /Ms.
Title
[Subrecipient]
Street Address
City, State, Zip

Re: FTA Subrecipient Compliance Review and Information Request

Dear Mr. /Ms. (Title of Executive Director/Project Manager):

YCIPTA will be conducting a Subrecipient Compliance Review of your agency. The review will determine whether you are administering your FTA-funded programs in accordance with 49 U.S.C. Chapter 53, Federal transit law provisions and our subrecipient agreement. The purpose of the review is to assess your management practices and program implementation to ensure that programs are administered in accordance with FTA requirements and are meeting program objectives.

On [date] we sent you a Subrecipient Information Request providing instructions and document requests. Thank you for the documents you have sent us.

In order for your agency to prepare for the on-site review, we have provided you with our initial review of the documents received so far. This outlines the documents received, missing documents and any issues with submitted documents outlined under the 'comments' sections. Please review the attached report in advance of the site-visit. Please have all outstanding documents available for the Review Team at the site visit and ensure all relevant staff members are available for interview.

As agreed, the site visit will occur [dates]. This will start with an Entrance Conference [time date] introducing the Review Team, and will conclude with an Exit Conference at [time/date] to discuss the preliminary findings. During the review the team will undertake interviews, review documentation and visit and inspect federally funded facilities, vehicles and other major assets.

If you have any questions about the Pre-Visit Information report or the review activities, please contact [insert project manager name and contact information]. We look forward to a meaningful and successful visit. Thank you.

Sincerely,
[Name]
[Title, Department]

Appendix Q - Site Review Checklist

This is not a comprehensive list, but a summary of review items; some areas may not be applicable. YCIPTA will also refer to FTA Triennial Review guide and circulars for site reviews.

Review Area	Result	Corrective Action
Eligibility: - Verify subrecipient eligibility - Lobbying (certify compliance w restrictions on lobbying, >\$100k) - Suspension/Debarment - certify that they are not excluded from federally assisted transactions,		
Financial Management and Capacity - Legal, managerial, financial and technical capability to carry out FTA programs and to receive and disburse federal funds. Financial systems must be sufficient to prepare reports and track grant funds. All subrecipients are required to submit annual Single Audit and Financial audit reports. - System/internal controls in place, ECHO - Confirm matching funds: reasonable assurance that matching requirements are met using only allowable funds or costs		
Technical Capacity - Award management - Program and project management - Progress/milestone reporting		

YCIPTA Subrecipient Monitoring Procedures

<p>Maintenance</p> <ul style="list-style-type: none"> - Recipients must keep federally funded equipment and facilities in safe, operating order. Recipients must have policies and procedures to maintain vehicles. Recipients must maintain in operative condition those features of facilities and vehicles that are required to make the vehicles and facilities readily accessible. ADA accessibility features must be repaired promptly if they are damaged or out of order. Recipients must establish a system of regular and frequent maintenance checks of lifts sufficient to determine if they are operative. - Confirm pre-award and post-delivery reviews conducted to confirm Buy America, purchaser's requirements, and Federal Motor Vehicle Safety Standards (FMVSS) and certify compliance for all revenue service rolling stock procurements 		
<p>ADA</p> <ul style="list-style-type: none"> - Requires that public transportation facilities and services must be made accessible to individuals with disabilities. 		
<p>Title VI</p> <ul style="list-style-type: none"> - ensure that no person in the United States, on the grounds of race, color, or national origin be excluded from participating in, denied the benefits of, or be subject to discrimination under any project, program or activity funded in whole or in part through these section grants. Subrecipients that receive federal funds are required to comply with Title VI laws and regulations, including FTA Circular 4702.1B which requires subrecipients to submit the following information - Title VI Plan in place w required elements 		

YCIPTA Subrecipient Monitoring Procedures

<p>Procurement</p> <ul style="list-style-type: none"> - Procurement procedures in place that comply with federal requirements as stipulated in FTA Circular 4220 or revisions thereof, along with provisions of FTA's Master Grant Agreement, as applicable when awarding and administering FTA-assisted contracts. Any pass thru agreement shall include the FTA language, which maybe be modified to include changes to and incorporate any new rules and regulations, as applicable. To the extent that the subgrantee contracts with third parties, the subgrantee is required to include in their contracts the clauses required by federal statutes and executive orders and their 		
<p>DBE</p> <ul style="list-style-type: none"> - All subrecipients that receive planning, capital, and/or operating assistance and will award prime contracts exceeding \$250,000 in FTA funds in a fiscal year must also have a DBE program. 		
<p>Satisfactory Continuing Control</p> <ul style="list-style-type: none"> - Maintaining control of FTA funded assets. proper records are maintained for equipment acquired with federal awards, equipment is adequately safeguarded and maintained, disposition or encumbrance of any equipment or real property is in accordance with Federal requirements, and the Federal awarding agency is appropriately compensated for its share of any property sold or converted to non-Federal use. 		
<p>Charter Bus</p> <ul style="list-style-type: none"> - ensure subrecipients/contractors not providing charter bus service 		
<p>School Bus</p> <ul style="list-style-type: none"> - ensure subrecipients/contractors not 		

YCIPTA Subrecipient Monitoring Procedures

<p>Drug Free Workplace/Drug and Alcohol Program</p> <ul style="list-style-type: none"> - Contractors must have a drug and alcohol testing program in place for all safety sensitive employees. - Recipients must have a drug and alcohol testing program in place for all safety sensitive employees. If a grantee uses a contract service provider or maintenance provider to perform safety sensitive functions, these contractors also are subject to the provisions of these regulations. 		
<p>EEO – EEO Plan in place if applicable</p>		
<p>Section 5307 Requirements:</p> <ul style="list-style-type: none"> - MPO Agreement, Public Participation Plan,, TIP notice, Public comment Fare/Svc changes, Half Fare, 		

Appendix R - Sample Site Review List of Findings (Corrective Action Plan)

Subrecipient:				
Project:				
Review Date:				
Report Submitted By:				
Area	Deficiency	Corrective Action	Due Date	Actual Completion Date

Appendix S - Letter to Subrecipient (Draft Compliance Report)

Mr. /Ms.
Title
[Subrecipient]
Street Address
City, State, Zip

Re: FTA Subrecipient Compliance Report

Dear Mr. /Ms. (Title of Executive Director/Project Manager):

As you know, YCIPTA recently undertook a Subrecipient Compliance Review of your agency.

This review determines whether a subrecipient is administering its FTA-funded programs in accordance with 49 U.S.C. Chapter 53, Federal transit law provisions. It assesses subrecipient management practices and program implementation to ensure that the programs are administered in accordance with FTA requirements and are meeting program objectives.

The review focused on [subrecipients] compliance in [#] areas. No deficiencies were found with FTA requirements in [#] areas. Deficiencies were found in [#] areas [LIST]. [Subrecipient] had [#] repeat deficiencies from the previous [date] Suprecipient Compliance Review, in the areas of [LIST]. Please find attached a draft Compliance Review Report, outlining these findings and the corrective actions.

Please review this draft report for accuracy and provide your comments to the Review Team Leader within ten business days from the date of this letter. A final report, that incorporates your comments to the draft report, will be provided to you within [#] business days of your response.

Thank you for your cooperation and assistance during this Subrecipient Compliance Review. If you have any questions, please do not hesitate to contact [review team leader name and contact info].

Sincerely,
[Name]
[Title, Department]



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

November 14, 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 Updated YCIPTA
Procurement Policies

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the Updated YCIPTA Procurement Policies.

Background and Summary: During YCIPTA's FY2022 Triennial Review there were findings in the Procurement area of the review. Areas include, Responsibility determination deficiencies, incomplete written documentation of procurement history, lacking independent costs estimates and lacking required cost or price analysis.

Attached to this staff report is the FTA approved redline version of the updated Procurement Policies that include corrected language and forms required to be included in procurement files depending on the type of procurement. Approving this updated Procurement Policies will close out part of this finding. In order to fully close out the finding YCIPTA will have to provide evidence that staff has been trained on the updated policies and to go through the procurement files and include any missing documentation that is missing.

Financial Impacts: N/A

Budgeted: N/A

Recommended Motion: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the updated Procurement Policies

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Louie Galaviz - 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

Shelly Kreger, Transit Director

Legal Counsel Review: N/A

Attachments: YCIPTA Procurement Policies (redline version)

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

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Louie Galaviz - 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

Shelly Kreger, Transit Director



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

Procurement Policy

Adopted: October 1, 2011
Revised: November 14, 2022

(A.R.S. 11-254.01, Title 34-201)

Commented [TRO-91]: There are a couple of things I would like for YCIPTA to consider for the four procurement deficiencies (P4-1, P5-1, P10-1, P10-2).

-Referencing/Adding a form to the Appendix for the four procedure steps to document the procurement information identified as missing during the Triennial Review.
-Qualifying the procurement threshold for the four procedure steps.

There are a couple of other comments noted. Please review the comment boxes inserted throughout the document.

Commented [TRO-92]: Please update revision date.

1 SCOPE AND PURPOSE

1.1 Scope:

This Purchasing Policy addresses the purchase of all goods and services by the Yuma County Intergovernmental Public Transportation Authority (YCIPTA). It includes policy direction about how to handle these transactions in their various forms and within the constraints of legal and policy requirements.

1.2 Purpose:

The purpose of this Policy is to provide guidance and uniformity for purchases of goods and services. It also serves to assist staff with preparing procedures to comply with the requirements of the YCIPTA bylaws, the laws of the State of Arizona, and Federal Transit Administration (FTA) regulations relating to purchases of goods and services. Unless otherwise specified in this Policy, applicable State or Federal laws shall apply.

1.3 Compliance:

When procurement involves the expenditure of FTA grant funds, the Financial Services Operations Manager or Purchasing Agent, or authorized authority shall comply with Code of Federal Regulations Title 49, Subtitle A, Part 18, and U.S. Department of Transportation Circulars (i.e. FTA C 4220.1F) for full compliance with terms of the grant. Additionally, procurement shall comply with local guidelines as set forth in the YCIPTA bylaws, any local administrative rule, and any written established internal procedure as well as applicable Arizona law. In the event of a conflict, the Federal guidelines shall govern. If there is no State law on a particular aspect of procurement, then Federal contract law principles apply.

The FTA Best Practices Procurement Manual shall be used when making procurement decisions when utilizing Federal funds.

1.4 Contracting Party:

Throughout this manual, "YCIPTA" is the contracting and procuring party.

1.5 Responsibility:

YCIPTA is responsible for the management of a public transportation system. This includes the planning, design and programming of transportation projects.

YCIPTA receives funding from both Federal and state government. Therefore, YCIPTA must follow procurement policies and procedures that are consistent with local and federal regulations and the laws of the State of Arizona. Additional guidance on specific contractual actions is provided by OMB Circular A-102, Attachment O and FTA Circular 4220.1F as well as the FTA Best Practices Procurement Manual.

1.6 Standards:

The purpose of this policy is to provide standards for YCIPTA and its staff in the procurement of supplies, equipment, construction and other services. These standards have been developed and will be adopted by YCIPTA to ensure that such materials and services are obtained in an effective manner and in compliance with the provisions of all applicable federal, state, and local laws and regulations. This policy includes guidelines for the solicitation, award and administration of formally advertised contracts as well as small purchases.

1.7 Review of Purchases:

The Chairman or a delegated member of the Board of Directors shall review purchases made by the YCIPTA Transit Director on a monthly basis for accountability and financial oversight prior to submission to Yuma County Financial Services.

2 GENERAL STANDARDS - THIRD PARTY PROCUREMENTS

2.1 Contract Administration System:

YCIPTA will maintain a contract administration system that ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

2.2 Full and Open Competition:

All procurement transactions will be conducted in a manner providing full and open competition. Some situations considered to be restrictive of competition include, but are not limited to:

2.2.1 Prohibition Against Geographic Preferences: YCIPTA shall conduct procurements in a manner that prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. This does not preempt State licensing laws. However, geographic location may be a selection criterion in procurements for architectural and engineering (A&E) services provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract. The criterion may only be used to account for the benefits that can be brought to the project by specialized knowledge of local geography, geology, or architecture.

2.2.2 In order to promote full and open competition no unreasonable requirements will be placed on firms in order to qualify to do business within the jurisdiction of YCIPTA.

2.3 Written Procurement Selection Procedures:

YCIPTA shall have written selection procedures for procurement transactions. All solicitations shall:

1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features that unduly restrict competition. The description may include a statement of the qualitative nature of the material, product, or service to be procured and when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient characteristics of a procurement. The specific features of the named brand which must be met by offerors shall be clearly stated.

2) Identify all requirements that offerors must fulfill and all other factors to be used in evaluating bids or proposals.

2.4 Prequalification Criteria:

YCIPTA shall not preclude potential bidders from qualifying during the solicitation period, which is from the issuance of the solicitation to its closing date. All procurement transactions will be conducted in a manner providing full and open competition.

2.5 Written Standards and Code of Conduct:

The standards established in this Policy shall apply to all employees engaged in the award and administration of contracts and contractors, consultants or advisors who provide advice on the selection and award of contracts. No employee, contractor, consultant, advisor, officer, agent, immediate family member, or Board member of YCIPTA shall participate in the selection, award, or administration of a contract for YCIPTA if a conflict of interest, real or apparent, would be involved.

2.6 Personal Conflict of Interest:

Conflict of interests arises, whether real or apparent, may arise when any of the following has a financial or other interest in the firm(s) considered or selected for award:

- a) An employee, officer, director, or agent of YCIPTA;
- b) Any member of his/her immediate family, including but not limited to, husband, wife, father, mother, brother, sister, son, daughter, father-in-law, mother-in-law, son-in-law, and daughter-in-law;
- c) His/her business associate; or
- d) A company or organization, which is about to employ any of the above.

Employees, officers, directors, and agents of YCIPTA shall be subject to the laws of the State of Arizona concerning conflicts of interest. Anyone found to violate the standards

established by such laws may be subject to the penalties, sanctions, or other disciplinary actions as provided by law.

In cases where an employee, officer, director, or agent of YCIPTA may have a conflict or potential conflict of interest, YCIPTA's policy is that such individual(s) must promptly report the conflict in writing to the YCIPTA Transit Director. If the YCIPTA Transit Director has a conflict or potential conflict, they must promptly report the conflict in writing to the Chair of the YCIPTA Board of Directors. Failure to adhere to this requirement shall constitute a violation of policy and may subject the violator to disciplinary action, up to and including discharge.

2.7 Organizational Conflict of Interest:

An organizational conflict of interest occurs where - because of other activities, financial interests, relationships, or contracts - a contractor is unable, or potentially unable, to render impartial assistance or advice to the grantee; the contractor's objectivity in performing the contract work is or might be impaired; or a contractor has an unfair competitive advantage.

Where a real or apparent organizational conflict of interest is detected by staff steps will be taken to mitigate or avoid the conflict. Every effort will be made to ensure a level playing field for all potential contractors is maintained by making all pertinent non-proprietary information available to all parties.

A fairly won competitive advantage is not an organizational conflict of interest. A contractor may have a fair competitive advantage by virtue of its prior experience, its expertise, its more efficient operations, etc. Occasionally an incumbent contractor may have what appears to be an insurmountable competitive advantage by virtue of its previous work for the grantee. An advantage of this type may not necessarily be unfair.

2.8 Gifts and Gratuities:

No employee, officer, director, or agent of YCIPTA may solicit or accept, either directly or indirectly, any gift, gratuity, loan, or other item or service of value from a contractor or potential contractors, or parties to subagreements.

Notwithstanding the above, this section shall not apply to the following:

- a) An occasional non-monetary gift of nominal (\$50) value accepted in the ordinary course of a business meeting; or
- b) Unsolicited advertising or promotional material of nominal value.

1 See also State of Arizona Secretary of State (<http://www.azsos.gov/>) for State law concerning limitations on Gifts, Honoraria, Travel, and Loans.

Failure to adhere to the provisions of this section shall constitute a violation of YCIPTA policy and may subject the violator to disciplinary action, up to and including discharge.

2.9 Contacts with Vendor, Bidders and Proposers:

Prior to the issuance of a procurement solicitation, informational and research contacts with prospective vendors may be made for the purpose of gathering data. However, in making such contacts, employees, officers, directors, and agents shall adhere to these written guidelines, and avoid any commitment, or implication, of a possible future award.

Accordingly, requests for substantial complimentary services or supplies, which may imply an obligation on the part of YCIPTA, shall be prohibited. Requests for testing services, product samples, or demonstrations, for which YCIPTA shall have no obligations to purchase said items or services may be allowed.

Whenever procurement is in process (e.g., during the solicitation, evaluation, negotiation, and award phases) all contacts with potential contractors or vendors shall be made through the designated staff person identified in the solicitation or the YCIPTA Transit Director.

2.10 Releases and Use of Information:

All technical and price information received from a vendor will be treated as confidential during the bid/quotation period. These documents will become public information only after the bid/purchase has been awarded, with the exception of sealed bid pricing during bid opening. During the bidding/quotation period extreme care will be taken to avoid giving a bidder an advantage over another through an unequal exchange of information. Vendors should be informed that it is YCIPTA's practice to make competitive choices for Invitations for Bid (IFBs) on the basis of the first price submitted and no revised prices will be solicited or accepted.

No employee, officer, director, or agent of YCIPTA shall use such confidential information for the actual or anticipated benefit for themselves, their relatives, or persons with whom they have a common financial interest.

2.11 Disadvantaged Business Enterprise (DBE):

YCIPTA will file, as prescribed by law, a DBE program which describes YCIPTA's procedures and obligations regarding DBE's.

For the purpose of this program, a DBE is defined as a small business concern, which is both owned and controlled by socially and economically disadvantaged persons. This means that disadvantaged individuals must own at least 51% of the business and control the management and daily operations of the business. Included in the classification of disadvantaged individuals are United States citizens who are Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans, women or members of other groups or individuals who the Small Business Administration (SBA) has determined are economically and socially disadvantaged under 49 CFR Part 26.

The following affirmative steps shall be taken to assure that small and minority businesses are utilized when possible as sources of supplies, equipment, construction and services:

- a) Including qualified small and minority businesses on solicitation lists;
- b) Assuring that small and minority businesses are solicited whenever they are potential sources;
- c) When economically feasible, dividing total requirements into smaller tasks or quantities so as to permit maximum small and minority business participation;
- d) Where the requirement permits, establishing delivery schedules which will encourage participation by small and minority businesses;
- e) Using the services and assistance of the Small Business Administration, the Office of Minority Business Enterprises of the Department of Commerce and the Community Services Administration as required; or
- f) If any subcontracts are to be let, requesting that the prime contractor take the affirmative steps listed above. If separate contract goals are established, the prime contractor is required to take the affirmative steps listed above.

YCIPTA does not certify DBEs. DBEs will be identified through the database maintained by the Arizona Department of Transportation at <http://www.azdot.gov/azdbe/index.asp>.

2.12 Equal Employment Opportunity (EEO) Policy:

YCIPTA has adopted an Equal Employment Opportunity (EEO) Policy, which applies to both internal hiring and promotion practices as well as to vendors who do business with YCIPTA. All invitations for Bids and Requests for Proposal issued by YCIPTA require the Bidder or Proposer to certify that:

- a) It does not discriminate against any employee or applicant for employment, because of race, religion, sex, age, creed, color, disability, or national origin;
- b) It is in compliance with all Executive Orders and federal, state and local laws regarding fair employment practices and non-discrimination in employment; and
- c) It agrees to demonstrate positively and aggressively the principle of equal opportunity in employment.

2.13 Intergovernmental Procurements:

2.13.1 Whenever feasible YCIPTA will utilize available federal, state, and local intergovernmental agreements for procurement or use of common goods and services, including purchases from available Federal General Services Administration (GSA) and State of Arizona ProcureAZ cooperative procurements. When obtaining goods or services in this manner, YCIPTA will ensure all federal requirements, required clauses, and certifications (including Buy America) are properly followed and included, in the contract.

2.13.2 Whenever feasible, YCIPTA will procure goods and services jointly with other FTA grantees. When obtaining goods or services in this manner, YCIPTA must

ensure all federal requirements, required clauses, and certifications are properly followed and included in the resulting joint solicitation and contract documents.

2.13.3 Any procurement obtained through use of this section must not be obtained by any partnering government engaging in a prohibited “Tag-on” process as defined in section 14 of this policy regarding Changes to Purchase Orders and Contracts.

2.14 Written Records of Procurement History:

YCIPTA will maintain records detailing the history of each procurement. See Procurement History Form - Appendix A. This is required for ALL procurements, regardless of the procurement type and/or dollar amount, including emergency purchases. At a minimum, these records shall include:

- 1) The rationale for the method of procurement;
- 2) Selection of contract type; (if a Time & Materials type of contract is selected it must be documented to file that no other type of contract is suitable and that a ceiling price is set for the contract);
- 3) Reasons for contractor selection or rejection;
- 4) The basis for the contract price; and
- 5) A determination that the price offered is fair and reasonable.

2.15 Dividing Procurements Prohibited:

The requirements outlined in this Purchasing and Procedures document apply to the total purchase amount of supplies, equipment, materials, construction or services. Related parts of procurement are not to be divided for the express purpose of avoiding bidding requirements (e.g. bid-splitting).

2.16 Ensuring Most Efficient and Economic Purchase:

Each proposed procurement will be reviewed by staff to avoid purchase of unnecessary or duplicative items. Consideration will be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis will be made of lease versus purchase alternatives and any other appropriate analysis to determine the most economical approach.

2.17 No Advance Payments:

Advance payments utilizing FTA funds are prohibited without prior written FTA concurrence. Progress payments may be made for receipt of deliverables, percentage of work completed, milestones, or titles received. The Project Manager or Contract Administrator shall make determinations regarding work completed and milestones achieved as part of the invoice payment process.

2.18 Liquidated Damages:

Commented [TRO-93]: Suggest referencing/requiring a memo/form to document the history in an Appendix. See example forms provided.

Note, this is required for all procurements, regardless of the procurement type and/or dollar amount. YCIPTA should consider qualifying the threshold required per Federal requirements.

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Liquidated Damage assessments must be calculated at a specific rate per day for each day of overrun, and must be credited to the project unless written permission to do otherwise is obtained from FTA. Calculations for liquidated damages must be based on data showing how delay causes damage.

2.19 Authority to Contract:

Authority to purchase and contract is held by the YCIPTA Board of Directors and currently delegated to the YCIPTA Transit Director for all purchases in the amount of \$100,000 and less which are not subject to formal competitive bidding procedures and for all service contracts for which there are appropriated funds in the YCIPTA Board of Directors approved budget.

The YCIPTA Transit Director shall have the authority to issue request for proposals and/or invitation for bids necessary to procure the necessary services and supplies for YCIPTA.

If the YCIPTA Transit Director determines that operational efficiency and effectiveness may be negatively impacted by a delay in obtaining YCIPTA Board of Directors approval, the YCIPTA Transit Director is delegated the authority to make such necessary purchases and/or contracts for all purchases or services up to \$150,000 for which there are appropriated funds in the YCIPTA Board of Directors approved budget. Such determination shall be made in writing and provided to the YCIPTA Board of Directors at the next regularly scheduled Board of Directors meeting.

The YCIPTA Transit Director may delegate this authority, wholly or in part pursuant to a letter of delegation filed with the Board Secretary.

For purchases and contracts which are above \$100,000, including public works projects in an amount above \$100,000, and all other goods and services which must be competitively bid either because the YCIPTA Bylaws require it, or because the Arizona state procurement statutes requires it, or because the Federal guidelines require such competitive bidding, YCIPTA will look to its bylaws and this policy for purposes of determining whether the authority to approve any purchase or enter into any contract exists.

Under no circumstances will a subcontractor or consultant have signatory authority to enter into any contract on behalf of YCIPTA. For goods and services which are competitively bid, and whose final contract price exceeds \$100,000, the award must be made by the YCIPTA Board of Directors. Awards for competitively bid or otherwise quoted good and services whose final contract price is less than \$100,000, may be made by the YCIPTA Transit Director or the YCIPTA Board of Directors.

2.20 Independent Cost Estimates:

~~YCIPTA must perform a cost or price analysis in connection with every procurement action, including contract modifications. The method and degree of analysis is dependent~~

Commented [TRO-94]: I don't see a procedure to state that a market analysis will be completed and documented for piggyback purchases.

This is what the corrective action states: "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."

on the facts surrounding the particular procurement situation (FTA Circular 4420.1F Section 10). The Financial Services Operations Manager must make and document independent costs estimates before receiving bids or proposals on all procurements over the Federal Simplified Acquisition Threshold of \$250,000 to be placed in the procurement file. Independent Cost Estimate (ICE) form – Appendix B. These estimates may be obtained from published competitive prices, results of competitive procurements, historical prices and trends, or by the Financial Service Operations Manager estimates or outside estimators. Further, on all procurements over the Federal Simplified Acquisition Threshold, YCIPTA must also perform a cost or price analysis in connection with every procurement action, including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation (FTA Circular 4420.1F Section 10).

The Cost and Price Analysis Form – Appendix C, must be submitted to the Financial Services Operations Manager prior to after issuing any solicitation, but prior to award, to be placed in the procurement file.

1. Cost Analysis

- a. A cost analysis must be performed when the offeror is required to submit the elements (i.e., Labor Hours, Overhead, Materials, etc.) of the estimated cost, e.g., under professional consulting and architectural and engineering services contracts.
- b. A cost analysis will be necessary when adequate price competition is lacking and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or on the basis of prices set by law or regulation.

2. Price Analysis

- a. A price analysis may be used in all other instances to determine the reasonableness of the proposed contract price.
- 2. Profit
 - a. The Financial Services Operations Manager or Financial Services Operations Manager or Purchasing Agent will 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.
 - b. To establish a fair and reasonable profit, consideration will 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.

Note: the Independent Cost Estimate and Cost/Price Analysis requirements apply when YCIPTA is completing a piggyback purchase for a procurement over the Federal Simplified Acquisition Threshold. YCIPTA can obtain contractual rights through

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Commented [AJM5]: I noticed that an appendix/form was not included in the policy to document the independent cost estimates. Some ICE form examples were provided and I reattached them again to this email. If no forms are used, please update the policy to include the additional language.

Commented [TRO-96]: Suggest referencing/requiring a form to document the ICE in an Appendix. See example forms provided.

Note, this is required for procurements above the Federal Simplified Acquisition Threshold. Not sure if YCIPTA plans to complete an ICE for only those procurements over the Federal Simplified Acquisition Threshold or a different threshold. YCIPTA should consider qualifying the threshold required per Federal requirements.

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Commented [AJM7]: This is explicitly noted in the corrective action to include in the procedure. I'm not sure where YCIPTA addressed it in the procedure so I added it here. Please clarify.

Commented [TRO-98]: Shouldn't this say "OR" and not "AND" because it's two different forms? Also, where is the form that YCIPTA uses?

Suggest referencing/requiring a form to document the Cost or Price analysis in an Appendix. See example forms provided.

Note, this is required for procurements above the Federal Simplified Acquisition Threshold. Not sure if YCIPTA plans to complete a Cost or Price analysis for only those procurements over the Federal Simplified Acquisition Threshold or a different threshold. YCIPTA should consider qualifying the threshold required per Federal requirements

Commented [AJM9]: I'm confused. Is this true? To be clear, the ICE and Cost or Price Analysis are two different steps. I thought cost or price analysis is completed after solicitation/receipt of bids/quotes/proposals, but prior to the award? However, the ICE is completed prior to solicitation?

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assignment (via a piggyback purchase) after first determining that the contract price remains fair and reasonable, and the contract provisions are adequate for compliance with all Federal requirements. YCIPTA need not perform a second price analysis if a price analysis was performed for the original contract. However, FTA expects YCIPTA to determine whether the contract price or prices originally established are still fair and reasonable before using those rights. As with the piggyback purchases, YCIPTA should maintain respective documentation on file.

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2.21 Full and Open Competition:

The principle of full and open competition has one primary and two secondary purposes. The primary purpose is to obtain the best quality and service at minimum cost, in other words, to get the best buy. The secondary purposes are to guard against favoritism and profiteering at public expense and to provide equal opportunities to participate in public business to every potential offeror.

YCIPTA staff must conduct all procurement in a manner providing full and open competition. This policy assures that all responsible bidders are permitted to compete for the procurement. In the case of sole or single source procurement, justification for use of the source must be documented on the Sole Source Justification Form.

Contracts with a value of more than \$100,000 shall be awarded by sealed bid or by the competitive and noncompetitive proposal process unless there is an explicit exception. YCIPTA staff must refrain from the following practices, which are deemed restrictive of competition:

- a. Unreasonable requirements placed on firms in order for them to qualify to do business;
- b. Unnecessary experience and excessive bonding requirements;
- c. Noncompetitive pricing practices between firms or between affiliated companies;
- d. Noncompetitive awards to any person or firm on retainer contracts;
- e. Organizational conflicts of interest;
- f. Restrictive use of brand names;
- g. Any arbitrary action in the procurement process; and
- h. Geographic preferences.

2.22 Contract Provisions

All contracts shall include provisions to define a sound and complete agreement. In addition, contracts and subcontracts shall contain contractual provisions or conditions that allow for:

- a. Administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, including sanctions and penalties as may be appropriate. (All contracts in excess of the small purchase threshold.)
- b. Termination for cause and for convenience by YCIPTA or subgrantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of \$10,000.)

3 METHODS OF PROCUREMENT

Once authority to purchase or contract has been determined, the following methods of procurement may be used as appropriate:

3.1 Purchases for less than ~~\$10,000~~~~3,000~~ - Procurement by Micro-Purchases:

Micro-purchases are those purchases under ~~\$10,000~~~~3,000~~. Purchases below that threshold may be made without obtaining competitive quotations. Such purchases are exempt from Buy America requirements. There should be equitable distribution among qualified suppliers and no splitting of procurements to avoid competition. The Davis-Bacon Act applies to construction contracts above \$2,000. Minimum documentation required, but purchases must be documented as fair and reasonable.

These purchases may be accomplished by Petty Cash, if under \$50, by purchase through a purchasing card, or by Purchase Requisition and/or purchase order.

3.2 Purchases for amounts between \$10,000 and \$250,000~~between \$3,000 to \$100,000~~ - Procurement by Small Purchase Procedures / Informal Quotes (IQ):

Small purchase procedures will be used for those relatively simple and informal procurement methods for securing services, supplies, or other property that cost more than ~~\$10,000~~~~3,000~~ but less than ~~\$100,000~~~~250,000~~. The Davis-Bacon Act applies to construction contracts above \$2,000. Minimum documentation is required. A determination that the price is fair and reasonable and how this determination was derived must be included in the file.

Purchase Requisitions are appropriate for purchases in this category. Purchase orders will be obtained. A Purchase Requisition, with the correct approval, must be completed before a purchase order can be prepared.

3.2.1 Minimum Number of Bids. Wherever possible, small purchases will be based on at least three bids, and shall be awarded to the lowest responsible bidder. The requisitioner would need to give the approving authority a Requisition form with at least three vendors, if possible, and their contact information. If only two bids can be obtained, documentation must be provided by the requesting party that a total of five businesses have been solicited.

3.2.2 Notice Inviting Quotes / Bids. The Financial Services Operations Manager or Purchasing Agent will solicit bids or quotes by written or verbal requests to prospective vendors.

3.2.3 As an alternative to Small Purchase Procedures, materials, equipment or supplies may be made by request from the State Purchasing Cooperative, which is a program of the Arizona Department of Administration, State Procurement Office, in accordance with the provisions of A.R.S. 11-254.01, Title 34-201.

3.3 Purchases of More than ~~\$250,000~~ \$400,000 - Procurement By Sealed Bids/Invitation For Bid (IFB):

Bids are publicly solicited and a firm-fixed-price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price. In order for sealed bidding to be feasible, the following conditions should be present:

- 1) A complete, adequate, and realistic specification or purchase description is available;
- 2) Two or more responsible bidders are willing and able to compete effectively for the business;
- 3) The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price; and
- 4) No discussion with bidders is needed.

3.3.1 Requirements. If this procurement method is used, the following requirements apply:

a) Technical specifications and requirements for the Invitation for Bids (IFB) will be prepared by the appropriate requisitioner and submitted to YCIPTA Transit Director or his or her designee. If approved, the YCIPTA Transit Director or his or her designee will forward the information to the appropriate staff member who will work with the requisitioner to draft the appropriate Invitation for Bids (IFBs). The IFB will be reviewed for FTA, local and state law compliance and accuracy before release.

b) The invitation for bids will be publicly advertised and bids shall be solicited from an adequate number of known suppliers, providing them sufficient time to prepare bids prior to the date set for opening the bids; advertising for sealed proposals shall at a minimum be by publication in the official newspaper by at least one insertion made by at least ten days prior to the time for opening of bids and publication on the YCIPTA website. Notices inviting bids shall at least include a general description of work, equipment, materials or supplies, and shall refer for details to bid specifications. Location of bid specifications shall be released in the notice inviting bids and may include physical or internet addresses or both.

c) The invitation for bids, which will include any specifications and pertinent attachments, shall define the items or services sought in order for the bidder to properly respond.

d) Any change or modification in plans or specifications will occur by way of addenda issued to contractors who have signed up to be on the project planholder's list. Addenda will be posted to the YCIPTA website and notice sent to contractors appearing on the planholder's list.

e) Sealed bids shall be submitted to the person and address appearing in the notice to contractors and shall be identified as "Bids-[insert solicitation number and short title]" on the envelope or package.

f) All proposals shall be made in accordance with the solicitation documents and furnished to interested bidders as provided in the "Notice Inviting Bids/Proposals" with a non-collusion affidavit and any other forms / bonds as required by the solicitation documents. Each bid shall have thereon the affidavit of the bidder that this is genuine and not sham or collusive, or made in the interest of, or in behalf of any persons not therein named, and that the bidder has not directly or indirectly induced or solicited any other bidder to put in a sham bid, or any other person, or corporation, or firm to refrain from bidding, and that the bidder has not in any manner sought by collusion to secure to himself an advantage over other bidders.

g) Any bid made without such affidavits or other documents as required by the solicitation documents or in violation thereof and any contract let as a result shall be void.

h) If, at any time, discovery is made that a contract has been let to a bidder who has violated or evaded this oath, the contract shall be canceled and no recovery shall be had thereon, and the YCIPTA Board of Directors shall at once proceed as before to award a new contract.

i) All proposals or bids offered, except as provided below, shall be accompanied by a bank cashier's check, or by a check certified by a responsible bank, payable to YCIPTA, in an amount as specified in the notice inviting bids, or by a bidder's bond for the amount and so payable, signed by the bidder and any one or more sureties authorized to transact surety business in the state of Arizona, acceptable to the Financial Services Operations Manager or Purchasing Agent and YCIPTA Legal Counsel. No proposal shall be considered unless accompanied by such check or bond; provided, however, that in the case of proposals or bids concerning a contract for the purchase of materials, supplies, equipment or services, the Financial Services Operations Manager or Purchasing Agent may:

1. Eliminate the requirement that the bids or proposals for a contract be accompanied by a bidder's check or bond; or
2. Set the amount of security required to accompany bids for a contract on a purchase by purchase basis.

j) Construction or facility improvement contract and subcontract bids over ~~\$250,000~~ \$400,000 have the following additional requirements:

1. A bid guarantee equivalent to five (5) percent of the bid price. The bid guarantee shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of his bid, execute such contractual documents as may be required within the time specified;
2. A performance bond on the part of the contractor for 100 percent of the contract price. A "performance bond" is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract; and
3. A payment bond on the part of the contractor. A payment bond is one executed in connection with a contract to assure payment, as required by law, of all persons supplying labor and material in the execution of the work provided for in the contract. Payment bond amounts determined to adequately protect the federal interest are as follows:
4. Fifty percent of the contract price if the contract price is not more than \$1 million;

5. Forty percent of the contract price if the contract price is more than \$1 million but not more than \$5 million; or

6. Two and a half million dollars if the contract price is more than \$5 million.

k) The Financial Services Operations Manager or Purchasing Agent shall direct opening of sealed bids at the time and place designated in the invitation for bids as stated in the public notices. The opening shall occur in the presence of any two of the following officers: a member of the YCIPTA Board of Directors, the Financial Services Operations Manager or Purchasing Agent, the YCIPTA legal counsel, or the YCIPTA Transit Director, and all other interested parties and bidders who desire to be present. As each bid is opened, it shall be read aloud so that all persons interested in the bidding may become acquainted with the contents thereof. From and after the time of opening, the Financial Services Operations Manager or Purchasing Agent shall, upon the request of any interested party, read or give such further information from the said bid as may be requested. A tabulation of all bids received shall be open for public inspection at the office of the Financial Services Operations Manager or Purchasing Agent during business hours for a period of one year after the bid opening.

l) After they have been opened, all bids shall be referred to the YCIPTA Transit Director together with a price and cost analysis and, if appropriate, a staff report to the YCIPTA Board of Directors together with such recommendations as may be deemed appropriate. (Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of.

m) Any or all bids may be rejected if there is a sound documented business reason.

n) Upon execution of the contract, the contractor will deliver to the Financial Services Operations Manager or Purchasing Agent security to guarantee performance of the requirements and obligations to be performed by the contractor.

o) The sealed bid method is the preferred method for procuring construction if the conditions in paragraph (a) above apply.

3.4 Procurement By Competitive Proposal/Request for Proposals (RFP):

This method is appropriate when conditions are not appropriate for the use of sealed bids because one of the following reasons exists and the method is not prohibited by state or local law:

1) A complete, adequate, and realistic specification or purchase description is not available.

2) Two or more responsible bidders are not willing and able to compete effectively for the business.

3) The procurement does not lend itself to a firm fixed price contract and the selection of the successful bidder cannot be made principally on the basis of price.

4) Discussion with the bidders is needed.

3.4.1 Requests for proposals will be publicized, which shall require at a minimum publication on the YCIPTA website. All evaluation factors will be identified along with their relative importance; technical specifications and requirements.

3.4.2 Awards will be made to the responsible firm whose proposal is most advantageous and of best value to YCIPTA's program with price and other factors considered.

3.4.3 In determining which proposals is most advantageous, YCIPTA may award to the proposer whose proposals offer the greatest business value to YCIPTA based upon an analysis of a tradeoff of qualitative technical factors and price/cost to derive which proposal represents the "Best Value" to YCIPTA. "Best Value" is a selection process in which proposals contain both price and qualitative components, and award is based upon a combination of price and qualitative considerations. The award selection is based upon consideration of a combination of technical and price factors to determine {or derive} the offer deemed most advantageous and of the greatest value to YCIPTA if the Financial Services Operations Manager elects to use the best value selection method as the basis for award, however, the solicitation must contain language which establishes that an award will be made on a "best value" basis. Publication of evaluation criteria with the RFP will serve as notice to proposers that a "best value" method will be used.

3.5 Procurement of Architectural and Engineering Services (A&E):

YCIPTA will use qualifications-based competitive proposal procedures when contracting for A&E services as defined in 40 U.S.C. §541 and 49 U.S.C. §5325(d). Services subject to this requirement are program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, and related services.

Qualifications-based competitive proposal procedures require that:

- 1) An offeror's qualifications be evaluated;
- 2) Price be excluded as an evaluation factor;
- 3) Negotiations be conducted with only the most qualified offeror; and

4) Failing agreement on price, negotiations with the next most qualified offeror be conducted until a contract award can be made to the most qualified offeror whose price is fair and reasonable to YCIPTA.

These qualifications-based competitive proposal procedures can only be used for the procurement of the services listed above. This method of procurement cannot be used to obtain other types of services even though a firm that provides A&E services is also a potential source to perform other types of services.

3.6 Procurement of Design-Bid-Build:

YCIPTA may procure design-bid-build services through means of sealed bidding or competitive negotiations. These services must be procured in a manner that conforms to applicable state and local law, the requirements of the appropriate FTA guidance relative to the method of procurement used and all other applicable federal requirements.

3.7 Procurement of Design-Build:

YCIPTA may procure services using the design-build delivery method. YCIPTA must procure design-build services through means of qualifications-based competitive proposal procedures based on the Brooks Act when the preponderance of the work to be performed is considered to be for architectural and engineering (A&E) services. Qualifications-based competitive proposal procedures should not be used to procure design-build services when the preponderance of the work to be performed is not of an A&E nature, unless required by State law.

3.8 Procurement By Noncompetitive Proposals (Sole Source):

Sole source procurements are accomplished through solicitation of a proposal from only one source, or after solicitation of a number of sources, competition is determined inadequate. A contract change that is not within the scope of the original contract is considered a sole source procurement that must comply with this subparagraph.

3.8.1 Other Than Full and Open Competition (Federally Funded Purchases).

Normally, the recipient must provide for full and open competition when soliciting bids or proposals. The Common Grant Rule for governmental recipients, however, acknowledges that under certain circumstances, a recipient may conduct procurements without providing for full and open competition.

1.) When appropriate, YCIPTA may use noncompetitive proposals only when the procurement is inappropriate for small purchase procedures, sealed bids, or competitive proposals, and at least one of the following circumstances are present:

a. Competition Adequacy. After soliciting several sources, the Financial Services Operations Manager or Purchasing Agent will review its specifications to determine if they are unduly restrictive or if changes can be made to encourage submission of more bids or proposals. After the

Financial Services Operations Manager or Purchasing Agent determines that the specifications are not unduly restrictive and changes cannot be made to encourage greater competition, the Financial Services Operations Manager or Purchasing Agent may determine the competition adequate. A cost analysis must be performed in lieu of a price analysis when this situation occurs.

b. Sole Source. When YCIPTA requires supplies or services available from only one responsible source, and no other supplies or services will satisfy its requirements, YCIPTA may make a sole source award. When the YCIPTA requires an existing contractor to make a change to its contract that is beyond the scope of that contract, YCIPTA has made a sole source award that must be justified.

i. Unique Capability or Availability. The property or services are available from one source if one of the conditions described below is present:

1. Unique or Innovative Concept. The offeror demonstrates a unique or innovative concept or capability not available from another source. Unique or innovative concept means a new, novel, or changed concept, approach, or method that is the product of original thinking, the details of which are kept confidential or are patented or copyrighted, and is available to YCIPTA only from one source and has not in the past been available to YCIPTA from another source.

2. Patents or Restricted Data Rights. Patent or data rights restrictions preclude competition.

3. Substantial Duplication Costs. In the case of a follow-on contract for the continued development or production of highly specialized equipment and major components thereof, when it is likely that award to another contractor would result in substantial duplication of costs that are not expected to be recovered through competition.

4. Unacceptable Delay. In the case of a follow-on contract for the continued development or production of a highly specialized equipment and major components thereof, when it is likely that award to another contractor would result in unacceptable delays in fulfilling the recipient's needs.

ii. Single Bid or Proposal. Upon receiving a single bid or proposal in response to a solicitation, the Financial Services Operations Manager or Purchasing Agent should determine if competition was adequate. This should include a review of the specifications for undue restrictiveness and might include a survey of potential sources that chose not to submit a bid or proposal.

1. Adequate Competition. Competition is acknowledged to be adequate when the reasons for few responses were caused by conditions beyond the control of YCIPTA. Many unrelated factors beyond YCIPTA's control might cause potential sources not to submit a bid or proposal. If the competition can be determined adequate, competition requirements will be fulfilled, and the procurement will qualify as a valid sole source.

2. Inadequate Competition. Competition is inadequate when, caused by conditions within YCIPTA's control. For example, if the specifications used were within the YCIPTA's control and those specifications were unduly restrictive, competition will be inadequate.

c. Unusual and Compelling Urgency. YCIPTA may limit the number of sources from which it solicits bids or proposals when a YCIPTA has such an unusual and urgent need for the property or services that YCIPTA would be seriously injured unless it were permitted to limit the solicitation. YCIPTA may also limit the solicitation when the public exigency or emergency will not permit a delay resulting from competitive solicitation for the property, supplies, or services.

d. Associated Capital Maintenance Item Exception Repealed. Any sole source procurement of associated capital maintenance items must qualify for an exception under the same standards that would apply to other sole source acquisitions.

e. Authorized by FTA. The Common Grant Rules provide Federal agencies authority to permit a recipient to use noncompetitive proposals. Under this authority, FTA has made the following determinations:

i. Consortium, Joint Venture, Team, Partnership. With some exceptions, when FTA awards a grant agreement or enters into a cooperative agreement with a consortium, joint venture, team, or partnership, or provides FTA assistance for a research project in which FTA has approved the participation of a particular firm or combination of firms in the project work,

the grant agreement or cooperative agreement constitutes approval of those arrangements. In such cases, FTA expects the recipient to use competition, as feasible, to select other participants in the project.

ii. Federal Acquisition Regulation (FAR) Standards. To ensure that the recipient has flexibility equal to that of Federal contracting officers, FTA authorizes procurement by noncompetitive proposals in all of the circumstances authorized by FAR Part 6.3. In addition to circumstances discussed in the Common Grant Rules, the FAR authorizes less than full and open competitive procurements in one or more of the following circumstances:

1. Statutory Authorization or Requirement. To comply with Department of Transportation (DOT) appropriations laws that include specific statutory requirements, with the result that only a single contractor can perform certain project work.

2. National Emergency. To maintain a facility, producer, manufacturer, or other supplier available to provide supplies or services in the event of a national emergency or to achieve industrial mobilization.

3. To establish or maintain an educational or other non-profit institution or a federally funded research and development center that has or will have an essential engineering, research, or development capability.

4. Protests, Disputes, Claims, Litigation. To acquire the services of an expert or neutral person for any current or anticipated protest, dispute, claim, or litigation.

5. International Arrangements. When precluded by the terms of an international agreement or a treaty between the United States and a foreign government or international organization, or when prohibited by the written directions of a foreign government reimbursing the recipient for the cost of the acquisition of the supplies or services for that government.

6. National Security. When the disclosure of the recipient's needs would compromise the national security.

7. Public Interest. When the recipient determines that full and open competition in connection with a particular acquisition is not in the public interest.

2.) When prohibited, less than full and open competition is not justified based on:

a. Failure to Plan. YCIPTA's lack of advance planning, or

b. Limited Availability of Federal Assistance. Concerns about the amount of Federal assistance available to support the procurement (for example, expiration of Federal assistance previously available for award).

3.) **Procurement Procedures.** When less than full and open competition is available to YCIPTA will:

a. Potential Sources. Solicit offers from as many potential sources as is practicable under the circumstances.

b. Sole Source Justification. If YCIPTA decides to solicit an offer from only one source, YCIPTA must justify its decision adequately in light of the standards of subparagraph (1)(b) of this Chapter. Sole source justification must be in writing.

c. Cost Analysis. Prepare or obtain a cost analysis verifying the proposed cost data, the projections of the data, and the evaluation of the costs and profits.

d. Preaward Review. Submit the proposed procurement to FTA for preaward review if FTA so requests.

3.9 Options:

YCIPTA may include options in contracts. An option is a unilateral right in a contract by which, for a specified time, YCIPTA may elect to purchase additional equipment, supplies, or services called for by the contract, or may elect to extend the term of the contract. If an option is included in a contract, the requirements below apply:

1) **Evaluation of Options.** The option quantities or periods contained in the contractor's bid or offer must be evaluated in order to determine contract award. When options have not been evaluated as part of the award, the exercise of such options will be considered a sole source procurement.

2) **Exercise of Options.**

a. YCIPTA will ensure that the exercise of an option is in accordance with the terms and conditions of the option stated in the initial contract awarded.

b. An option may not be exercised unless YCIPTA has determined that the option price is better than prices available in the market or that the option is the more advantageous offer at the time the option is exercised.

3.10 Capital Purchases:

For financial purposes, items over \$5,000 with a useful life of over one (1) year are defined as capital purchases. In addition to any other requirements which may apply, such expenditures must be charged against capital accounts, rather than operating accounts. The YCIPTA Board of Directors must approve all budgeted capital expenditures for the current fiscal year along with the operating budget. Un-budgeted capital expenditures must be submitted to the YCIPTA Board of Directors for approval. The YCIPTA Transit Director or designee must approve all capital expenditures. The YCIPTA Transit Director may delegate this authority to approve capital purchases. If this authority is delegated, the YCIPTA Transit Director must specify the dollar limit for purchases that the authorized staff may approve.

4 CONTRACT COST OR PRICE ANALYSIS FOR EVERY ACTION

YCIPTA will perform a cost or price analysis in connection with every procurement action, including contract modifications. A cost or price analysis must be performed before Bids or Proposals are received. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, YCIPTA must make independent estimates before receiving bids or proposals. Responsibility for ensuring that an independent estimate is completed will reside with the person issuing the solicitation. No solicitation will be issued prior to conducting an independent estimate regarding the anticipated cost of the item or service to be procured. The estimate will include the methodology used to make the estimate.

4.1 Cost Analysis:

A cost analysis must be performed when the offeror is required to submit the elements (i.e., labor hours, overhead, materials, etc.) of the estimated cost, (e.g., under professional consulting and architectural and engineering services contracts, etc.). A cost analysis will be necessary when adequate price competition is lacking and for sole source procurements, including contract modifications or change orders, unless price reasonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or on the basis of prices set by law or regulation.

4.2 Price Analysis:

A price analysis may be used in all other instances to determine the reasonableness of the proposed contract price.

4.3 Profit:

YCIPTA will 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 will 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.

4.4 Federal Cost Principles:

Costs or prices based on estimated costs for contracts under grants will be allowable only to the extent that costs incurred or cost estimates included in negotiated prices are consistent with Federal cost principles. Grantees may reference their own cost principles that comply with applicable Federal cost principles.

4.5 Cost Plus Percentage of Cost Prohibited:

The cost plus a percentage of cost and percentage of construction cost methods of contracting shall not be used.

5 REJECTION OF BIDS

Invitations for bids may be canceled after opening but prior to award, and all bids rejected, where it is consistent with Federal, State, and local procurement regulations. A written determination must be included in the invitation for bid file stating that cancellation is in the best interest of YCIPTA for reasons such as the following:

- a) Inadequate, ambiguous, or otherwise deficient specifications were cited in the invitation for bids;
- b) The supplies or services are no longer required;
- c) The invitation for bids did not provide for consideration of all factors of cost to YCIPTA;
- d) Bids received indicate that the needs of YCIPTA can be satisfied by a less expensive item differing from that on which bids were received;
- e) All otherwise acceptable bids received are at unreasonable prices;
- f) The bids were not independently arrived at in open competition, were collusive, or were submitted in bad faith. Such situation must be substantiated and reported to YCIPTA Legal Counsel;
- g) The bids received did not provide competition, which was adequate to ensure reasonable prices. A price or cost analysis may be used to establish the reasonableness of price; or
- h) Adequate funding is not available to enter into and administer the contract.

5.1 Rejection of Individual Bids:

Normally, any bid which fails to conform to the essential requirements of the invitation for bids, such as specifications, delivery schedule, warranty, or the required bid documents, shall be rejected as non-responsive.

A bid shall be rejected where the bidder imposes conditions, which modify requirements of the invitation for bids. For example, bids may be rejected in which the bidder:

- 1) Attempts to protect himself against future changes in conditions such as increased costs, if a total price to YCIPTA cannot be determined for bid evaluation;
- 2) Fails to state a price and in lieu thereof states that price shall be “price
- 3) States a price but qualifies such price as being subject to “price in effect at time of delivery”;
- 4) Where not authorized by the invitation for bid, conditions or qualifies his/her bid by stipulating that the bid is to be considered only if, prior to date of award, bidder received or does not receive award under a separate procurement;
- 5) Limits rights of YCIPTA under any contract clause;
- 6) Fails to comply with all of the requirements of the IFB.

5.1.1 Bids received from any person or firm debarred or ineligible shall be rejected if the period of debarment or ineligibility has not expired.

5.1.1.1 The Excluded Parties Listing System (EPLS) shall be verified for all procurements over \$25,000 is made to ensure that the vendor is not debarred suspended, ineligible or voluntary excluded from participation in Federally assisted transactions or procurements. Visit <https://www.epls.gov/> for the EPLS.

5.1.1.2 A copy of the printed screen should be included in the procurement file showing that the vendor selected is not showing up in the EPLS.

5.1.2 Low bids received from firms determined to be not responsible pursuant to Federal, State or local procurement regulations shall be rejected.

5.1.2.1 A determination of responsibility will be made and documented to file prior to award, and the review used to make that determination shall consist of an analysis of the bidder’s ability to provide the appropriate financial backing, equipment, facility and personnel; ability to meet the delivery schedule, a satisfactory period of performance, record of integrity (suspension or debarred list checks), and receipt of all necessary data from the supplier.

5.1.3 A bid may be rejected if a bid guarantee and / or insurance is required and a bidder fails to furnish it in accordance with the requirement of the invitation for bids.

5.1.4 The originals of all rejected bids, and any written findings with respect to such rejections, shall be preserved in the file relating to the procurement.

5.1.5 After submitting a bid, if a bidder transfers all of his/her assets or that part of his/her assets related to the bid during the period between the bid opening and the award, the transferee may not take over the bid, thus, YCIPTA may reject the bid.

6 AWARD OF CONTRACT/COMPETITIVELY BID CONTRACTS

In the event of a purchase subject to sealed bids, after considering the report of the YCIPTA Transit Director, the YCIPTA Board of Directors shall award the contract to the lowest responsible bidder, or reject all bids, and may readvertise in its discretion. A firm fixed-price contract award will be made in writing to the lowest responsive and responsible bidder. When specified in bidding documents, factors such as discounts, transportation costs, and life cycle costs shall be considered in determining which bid is lowest. Contracts for goods or services based on other procurement methods allowed as described above in section 3 may be awarded as follows:

6.1 Contracts for procurement of goods and services for amounts of \$100,001 and above:

Contracts in this range will be awarded by YCIPTA Board of Directors authorizing the YCIPTA Transit Director to enter into such contract.

6.2 Contracts for Procurement of goods and services for amounts between \$0 and \$100,000:

Contracts for procurements of goods and services for amounts between \$0 and \$100,000 shall be awarded by the YCIPTA Transit Director, in his/her discretion and as authorized by YCIPTA bylaws, or any other YCIPTA Board of Directors action or resolution.

6.3 Contract Term Limitation

YCIPTA shall not enter into any contract for rolling stock or replacement parts with a period of performance exceeding five (5) years inclusive of options. All other types of contracts (supply, service, leases of real property, revenue and construction, etc.) will be based on sound business judgment. Length of contracts shall be for not more than the amount of time required to accomplish the purpose of the contract, and will also include consideration for competition, pricing, fairness, and public perception. Once a contract has

been awarded, an extension of the contract term length that amounts to an out of scope change will require a sole source justification.

6.4 Revenue Contract

Revenue contracts are those third party contracts whose primary purpose is to either generate revenues in connection with a transit related activity, or to create business opportunities utilizing an FTA funded asset. FTA requires these contracts to be awarded utilizing competitive selection procedures and principles. The extent of and type of competition required is within the discretionary judgment of YCIPTA.

7 DETERMINATION - LOWEST RESPONSIBLE BIDDER EVALUATION

Before the YCIPTA Board of Directors awards the contract, or the YCIPTA Transit Director authorizes the procurement, YCIPTA shall make a determination that a prospective contractor is responsible and the prices are reasonable prior to award of contract. To determine whether a contractor is responsible, YCIPTA will ~~by completing the Bidder's Responsiveness and Responsibility Checklist – Appendix D.~~ YCIPTA will complete this requirement for procurements over the micro-purchase threshold. Note: For any award purchases meeting the micro-purchase threshold, responsibility determinations must also be kept on file \$25,000 or more for the suspension and debarment requirements. This information will be given to the Financial Services Operations Manager or Purchasing Agent to be placed in the procurement file. A responsible prospective contractor is one who meets the standards forth below:

- a) Has adequate financial resources, or the ability to obtain such resources as required during the performance of the contract;
- b) Is not listed on the Federal “List of Parties Excluded from Federal Procurement or Nonprocurement Programs (Debarred List)” located at <http://www.epls.gov/>
- c) Is able to comply with the required or proposed deliver or performance schedule, taking into consideration all existing business commitments, commercial as well as governmental;
- d) Has a satisfactory record of performance. Contractors who are, or have been seriously deficient in current or recent contract performance, when the number of contracts and the extent of deficiency of each are considered, will be considered non-responsive;

Commented [TRO-910]: Suggest referencing/requiring a form to document the determination in an Appendix. See example forms provided.

Note, the CORTAP manual states that "procurements over the micro-purchase threshold for responsibility determinations and procurements of \$25,000 or more for the suspension and debarment requirements." Not sure if YCIPTA plans to complete responsibility for all contracts, those only over the micro-purchase threshold, or a different threshold. YCIPTA should consider qualifying the threshold required per Federal requirements

Commented [AJM11]: The Responsiveness part of the checklist is not included in the appendix so amended the title.

Commented [AJM12]: Wrong threshold was cited. Thus, edit made.

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- e) Has a satisfactory record of integrity and business ethics;
- f) Is otherwise qualified and eligible to receive an award under applicable laws and regulations;
- g) Has the necessary organizational, experience, operational controls; and technical skills, or the ability to obtain them; or
- h) Has the necessary production, construction, and technical equipment and facilities, or the ability to obtain them.

Evaluation of the responsibility of prospective contractors may be made based upon the following sources:

- 1) A list of debarred, suspended or ineligible firms or individuals;
- 2) From the prospective contractor's bids and proposals, replies to questionnaires, financial data such as balance sheets, profits & loss statements, cash forecasts, and financial histories of the contractor and affiliated concerns; current and past production records, list of tools, equipment, and facilities, written statements of commitments concerning financial assistance and subcontracting arrangements;
- 3) Publications, including credit ratings, trade and financial journals, and business directories may also be used;
- 4) References such as suppliers, subcontractors, customers or the prospective contractor, banks and financial institutions, commercial credit agencies, other government agencies, purchasing and trade associations, and better business bureaus and chamber of commerce; or
- 5) Documented past performance on contracts with YCIPTA.

8 FILING PROTESTS

8.1 Definitions

1) Awarding Authority: The YCIPTA Board of Directors or Transit Director or Financial Services Operations Manager or Purchasing Agent possessing the authorization to make final decisions regarding selection of bidders or proposers.

8.2 Filing Procedure:

Protests dealing with restrictive specifications or alleged improprieties in solicitation must be filed no later than ten (10) working days prior to bid opening or closing date for receipt of proposals. Any other protest must be filed no later than three (3) working days after:

1. Notification of Intent to Award is issued for award of contract if the contract is awarded by YCIPTA Board of Directors and YCIPTA Board of Directors follows staff recommendation; or

2. Notification of Award is issued if the YCIPTA Board of Directors has delegated award authority to the Financial Services Operations Manager or Purchasing Agent or YCIPTA Board of Directors does not award the contract according to the Notification of Intent to Award.

Protests shall be in writing and addressed to the YCIPTA Transit Director.

The protest shall identify the protestor, contain a statement officially declaring a protest and describing the reasons for the protest, and provide any supporting documentation. Additional materials in support of the initial protest will only be considered if filed within the time limit specified above. The protest shall indicate the ruling or relief desired from YCIPTA.

8.3 Confidentiality:

Materials submitted by a protester will not be withheld from any interested party, except to the extent that the withholding of information is permitted or required by law or regulation. If the protest contains proprietary material, a statement advising of this fact may be affixed to the front page of the protest document and the alleged proprietary information must be so identified wherever it appears.

8.4 Withholding of Award:

When a protest is filed before opening of bids or closing date of proposals, the bids will not be opened prior to resolution of the protest, and when the protest is filed before award, the award will not be made prior to resolution of the protest, unless the Awarding Authority determines that:

- a) Items to be procured are urgently needed, or delivery or performance will be unduly delayed by failure to make award promptly; or
- b) Failure to make award will cause undue harm to YCIPTA.

In the event an award is to be made while a protest is pending, the FTA shall be notified if Federal funding is involved.

8.5 Processing the Request:

- a) The YCIPTA Transit Director shall respond to the protestor within five (5) working days of receiving the protest. A conference on the merits of the protest may be held with the protester.

b) Any additional information required by YCIPTA from the protester shall be submitted as expeditiously as possible, but no later than three (3) days after receipt of such request.

8.6 Notification:

The YCIPTA Transit Director shall notify the protester of a decision regarding the protest no later than ten (10) days following receipt of all relevant information.

8.7 Appeal:

If a protester is not satisfied with the decision made by the YCIPTA Transit Director the protester may appeal the decision to the Awarding Authority by way of a letter to the YCIPTA Transit Director no later than three (3) working days after notification of denial of the protest by the YCIPTA Transit Director. If the YCIPTA Transit Director is the Awarding Authority the protester will be deemed to have exhausted its appeals to YCIPTA upon receipt of the initial rejection of the protest by the YCIPTA Transit Director. If Federal funds are involved, the protester may file protest with the FTA and/or Arizona Department of Transportation (ADOT) appealing the final decision of the Awarding Authority.

Review by FTA and/or ADOT will be limited to:

- a) Violation of Federal law or regulations.
- b) Violation of YCIPTA's protests procedures described herein, or failure by YCIPTA to review protest.

Protests must be filed with FTA (with a concurrent copy to YCIPTA) within five (5) days after the Awarding Authority renders a final decision, or five (5) days after the protester knows, or has reason to know, that the Awarding Authority failed to render a final decision.

After five (5) days, YCIPTA will confirm with FTA that FTA has not received protest on the contract in question.

Circular 4220.1F is available for review at YCIPTA office or online on YCIPTA's website. A copy also may be obtained from FTA or ADOT at the following addresses:

Federal Transit Administration
Region IX
201 Mission Street – Suite 2210
San Francisco, Arizona 94105

Arizona Department of Transportation
Multimodal Planning Division
206 South 17th Avenue, MD 310 B
Phoenix, AZ 85007

YCIPTA shall not be responsible for any protests not filed in a timely manner with FTA and/or ADOT.

In the event an award is to be made while a protest is pending, FTA and/or ADOT shall be notified if Federal funding is involved.

9 PURCHASE REQUISITION APPROVAL AND PURCHASE ORDERS

- a) All purchase orders between \$1,000 to \$100,000 require the approval of the YCIPTA Transit Director, or his/her designee.
- b) Purchase orders greater than \$101,000 require the approval of the YCIPTA Board of Directors.
- c) Purchase orders are not required for medical, legal, insurance, payroll, petty cash, travel reimbursements, utility payments, postage, temporary help, conferences and subscription renewals.
- d) Purchase Requisition forms are filled out by the party requesting goods or services, and then input into the YCIPTA's automated purchasing system by administrative staff to begin the approval process.

9.1 Purchase Orders:

Purchase order numbers are assigned by the YCIPTA's automated purchasing system after receipt and approval of a purchase requisition by the appropriate parties with proper authorization.

The YCIPTA Transit Director will review the purchase requisition and all documentation to ensure its completeness, accuracy and compliance with FTA regulations.

9.2 Purchase Order Approval:

YCIPTA automated purchasing system will route purchase requisitions to the correct authorization levels, and upon final authorization, assign a purchase order number. YCIPTA Financial Services Operations Manager will sign the generated purchase order and notify the requestor that the purchase order has been authorized and provide the requestor with the purchase order.

The Requisitioner may either fax or orally notify the vendor of the approved purchase order number. A copy of the approval purchase order shall be sent to the vendor along with any FTA terms and conditions unless those terms already exist in a formal contract. The method of purchase shall be specified on the Purchase Requisition.

Vendors shall be told to include their purchase order number on all correspondence, including packages, invoices, credit memos, etc.

9.3 Receiving/Approval to Pay:

Only authorized persons may receive goods. Upon receipt, the packing slip is compared to the goods received.

If correct, the packing slip is signed and dated as received.

If the packing slip is also an invoice, these documents will then be sent to YCIPTA Financial Services Operations Manager for payment.

If the packing slip is not an invoice, requisitioner will check invoice file. If the invoice has been received, it should be matched against the packing slip. If it does not match the vendor should be notified. When a correct invoice is received, it should be attached to the rest of the procurement documentation and sent to YCIPTA Financial Services Operations Manager for payment.

For the receipt of services, the responsibility to deem the service completed will rest with the requisitioner. Upon completion, sign all documents that confirm the proper completion of services performed and forward the receiving document to the YCIPTA Transit Director for payment.

9.4 Blanket Purchase Orders:

YCIPTA does not authorize the use of this type of purchase order unless Board of Directors approval has been provided and the appropriate method of procurement has been followed as directed in this manual.

9.5 Releasing Purchase Order Numbers:

YCIPTA does not authorize the practice of giving Purchase Order numbers to requisitioners over the telephone without adherence to the policies contained herein.

10 CHECK REQUEST POLICY

Check request forms are used to request payment for materials or services.

Check requests will be granted on the following circumstances:

1. Checks will be cut in accordance with the Yuma County Accounts Payable schedule.
2. Original invoice must be attached.
3. All receiving documents must be attached.
4. All requests must be signed by the YCIPTA Transit Director and YCIPTA Financial Services Operations Manager.
5. Purchase order must be referenced, if applicable.

11 PETTY CASH POLICY

Purchases of up to \$15 may be made through petty cash. However, this is a privilege that should never be used to circumvent the procurement procedures. A petty cash voucher shall be obtained from YCIPTA Financial Services Operations Manager and approved by the YCIPTA Transit Director. All receipts, and any change received in the transaction, shall be returned to YCIPTA Financial Services Operations Manager immediately upon return to the facility.

12 EMERGENCY ACQUISITIONS

For internal control purposes, deviations from the process outlined in this section are permitted only in emergency situations, and only with the approval of the YCIPTA Transit Director. Whether an emergency exists will be determined by the YCIPTA Transit Director. Emergency procurements are those which, due to unusual circumstances beyond the control of the requisitioner, cannot be foreseen or otherwise provided for in the routine manner, but which must be accomplished without delay. Emergencies usually involve urgent repair of revenue vehicles, facilities or utilities, correction of unsafe conditions, which if left uncorrected would result in immediate financial loss, and the like.

When a purchase order is issued in an emergency situation, the responsibility for following through with a Purchase Requisition is not relieved when the purchase is accomplished through emergency channels. A properly executed and approved Purchase Requisition must be provided in order to complete the requisition.

When an emergency arises, the requester may inform the YCIPTA Transit Director or his/her authorized designee of the requirements, including the vendor's name and the approximate amount of the procurement. It is then the responsibility of the requisitioner to coordinate completion of the confirming Purchase Requisition. If the requester does not

know which vendor will be used, the YCIPTA Transit Director or his/her authorized designee shall be notified as soon as a vendor is located.

In instances where a valid emergency exists and goods or services may be obtained after normal working hours, the requester may follow one of the several options:

- 1) Make the purchase from a firm willing to accept an oral purchase order;
- 2) Pay cash and be reimbursed from petty cash (if less than \$15), or by check, the following business day; or
- 3) Charge the purchase and present the sales slip the following day to have a Purchase Requisition processed and a check issued for reimbursement.

13 SERVICE CONTRACTS AND/OR MAINTENANCE AGREEMENTS

Service contracts and maintenance agreements are legally binding documents stating that a particular vendor will perform the specified services on equipment as agreed upon and described. These contracts should be obtained by whichever procurement method is applicable, depending on amount and/or circumstances. All contracts, including service and maintenance, shall be submitted to the YCIPTA Legal Counsel for review and approval.

Repairs of equipment not covered by service contracts or maintenance agreements must have a purchase order number issued before the equipment can be repaired. If the equipment is to be shipped or hand carried for repair, a Purchase Requisition should be prepared (including estimates) for proper record keeping prior to shipment.

For all repairs, the following information is required:

- a) Make, model and serial number of equipment;
- b) Inventory tag number;

- c) Department where equipment is located;
- d) Hourly or flat rate to be charged; and
- e) If the item being repaired is an accessory to a major piece of equipment, provide the above information from the equipment to which it is an accessory.

(NOTE: If a purchase order number was orally given because of an on-site emergency repair, the Purchase Requisition must have that number affixed, include all the information shown above, and have a written service report of the incident attached before sending to YCIPTA Financial Services Operations Manager.)

14 PROCEDURES FOR CHANGE ORDERS/CONTRACT MODIFICATION

This section describes the steps to take when changes or cancellations must be made to existing purchase orders or contracts.

14.1 Changes to Purchase Orders and Contracts:

Changes are made to existing purchase orders and contracts either by issuing a purchase order change or a contract amendment (and sometimes both). Examples of circumstances that warrant making a change to a purchase order or contract are:

- 1) When there is a substantial change in the description of the supplies or services to be delivered against the purchase order or contract.
- 2) When there is a change in the scope, price and/or quantity or delivery of supplies or services to be delivered against the purchase order or contract.
- 3) When the specifications, terms or conditions are in error or need to be modified.

4) When there is a change in funding.

All purchase order and contract modifications for purchases over \$3,000 must be approved by the YCIPTA Transit Director. The YCIPTA Transit Director may approve changes and modifications that do not exceed the project budget and do not exceed a one-time increase of 10% above the originally-approved contract price, with a limit of \$100,000. Changes/Modifications that exceed \$100,000 must be approved by the YCIPTA Board of Directors.

14.1.1 Processing Time Required: Changes to purchase orders and contracts will usually be completed within five (5) working days after a Request for Correction/Change to Purchase Order is received by the YCIPTA Transit Director.

NOTE: Changes that require approval of the YCIPTA Board of Directors require a longer period of time. If YCIPTA Board of Directors approval is required, a minimum of three (3) weeks may be required before a change can be completed.

14.1.2 Information Required by the YCIPTA Transit Director: A completed memo stating the request for correction/change to purchase order or contract must be submitted to the YCIPTA Transit Director. The Request should include a complete description of all needed changes and the reason for the changes. It must be signed by the Project Manager.

14.1.3 Changes to purchase orders and contracts that constitute an “out of scope” or “Cardinal change” to the purchase order or contract are considered “Tag-ons” and are prohibited unless accompanied by a sole source justification. A determination that a change to a purchase order or contract does not constitute an out of scope change is required prior to authorization and that determination must be documented to the contract file.

14.2 Cancellations of Purchase Orders:

Purchase orders are canceled either by issuing a purchase order change or a letter of cancellation (or both). Such cancellations can be made by the YCIPTA Transit Director when the necessary information regarding the need for the cancellation is provided.

14.2.1 Processing Time Required: Cancellations of purchase orders and contracts will usually be completed within five (5) working days after the YCIPTA Transit Director receives a memo regarding a request for correction or change to a purchase order. The requesting organization will receive a copy of the purchase order marked CANCELED or a copy of the letter canceling the contract after the cancellation has been completed.

14.2.2 Information Required by YCIPTA Transit Director: A Request for Cancellation must be submitted to the YCIPTA Transit Director. The Request should ask that the purchase order or contract be canceled and should give the reason for the cancellation. It must be signed by requisitioner.

14.2.3 Description of Process: Upon receipt of the Request for Cancellation, the YCIPTA Transit Director will review the information and approve/disapprove, as appropriate. If cancellation is approved, the purchase order/contract will be forwarded to the YCIPTA Financial Services Operations Manager who will effect the cancellation. The requesting organization and the vendor will receive a copy of the purchase order marked "CANCELED" and/or letter notifying them of contract cancellation

15 PURCHASING PROCEDURE AMENDMENT

From time to time, the U.S. Department of Transportation, FTA or other governing bodies may set forth new procurement standards, issue supplementary directives, or revise certain procurement regulations or procedures. The amended policy or procedures will then be incorporated into YCIPTA's Procurement Policy.

16 CONTRACT PROVISIONS FOR FTA GRANTEES

A number of general contract provisions are required by the FTA for FTA funded contracts. These provisions are intended to establish minimum guidelines to which

grantees must adhere when purchasing supplies, equipment and construction and professional services. Additionally, a number of provisions are required by State law and local practice.

YCIPTA will work with the YCIPTA Legal Counsel's office to include all necessary contract clauses in each contract. Special attention will be given to the applicability and inclusion of model contract clauses from the FTA's Best Practices Procurement Manual. These contract requirements change from time to time, so when drafting a contract check the latest contract clause requirements from FTA.

FTA C 4220.1F, Appendix D, Federally Required And Other Model Clauses stated the necessary clauses and forms for inclusion in YCIPTA contracts and purchase orders.

17 SURPLUS PROPERTY

17.1 Purpose

The intent of this policy is to establish uniform guidelines for the disposal or transfer of surplus, or obsolete YCIPTA equipment and supplies. This policy shall apply to all tangible personal property, including rolling stock and technology equipment.

17.2 Definitions

“Equipment” shall mean all tangible personal property that has a useful life of more than one (1) year and an acquisition cost of \$1,000 or more per unit. This definition includes rolling stock and other tangible (movable) property used in the provision of public transit service.

“Supplies” shall mean all tangible personal property of YCIPTA other than Equipment having a useful life of less than one (1) year and an acquisition cost under \$1,000.

“Surplus or obsolete equipment” means tangible personal property which YCIPTA determines is no longer required for its needs or for the fulfillment of its responsibilities.

“Market Value” means the most probable price which equipment or supplies should bring in a competitive and open market.

“Net proceeds from the sale of surplus or excess property” means the amount realized from the sale of property no longer needed for transit purposes less the expenses of any actual and reasonable selling and fixing-up expenses.

“Service Life or Useful Life” of rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from service.

“Straight Line Depreciation” means the method by which the value of YCIPTA equipment is depreciated (reduced) over its service or useful life as a percentage of its cost.

17.3 Disposition Authorization

The YCIPTA Transit Director may authorize the disposal of any surplus or obsolete equipment or supplies having an original acquisition cost not exceeding \$100,000, providing the useful life of said equipment or supplies have been met.

The YCIPTA Transit Director is authorized to sell or dispose of surplus or obsolete equipment or supplies, when it is judged to be in the best interest of the organization that the property concerned is an estimated market value of up to \$25,000 per unit.

The Board of Directors may authorize the disposal of any surplus or obsolete equipment or supplies having an original acquisition cost exceeding \$101,000 or any real property owned by YCIPTA.

The YCIPTA Transit Director shall prepare a report to the YCIPTA Board of Directors recommending disposition shall include acquisition cost, source of funding, funding agency and reimbursement to the funding agency, if required.

17.4 Disposition of FTA Funded Tangible Personal Property

17.4.1 Rolling Stock: With respect to rolling stock originally funded by FTA funds, any disposition before the end of its service life requires prior FTA approval. In addition, if rolling stock is removed from service and disposed of before the end of its useful life, the return to FTA is the greater of the FTA share of the unamortized value of the remaining service life per unit, based on straight line depreciation of the original acquisition cost, or the Federal share of the sales price (even though the unamortized value is \$5,000 or less).

17.4.2 Equipment and Supplies over \$5,000 value: After the service life of equipment is reached, equipment with a current market value exceeding \$5,000 per unit, or unused supplies with a total aggregate fair market value of more than \$5,000, may be retained or sold, with reimbursement to FTA of an amount calculated by multiplying the total aggregate fair market value at the time of disposition, or the net sale proceeds, by the percentage of FTA's participation in the original acquisition.

17.4.3 Equipment and Supplies less than \$5,000 value: Equipment with a unit market value of \$5,000 or less, or supplies with a total aggregate market value of \$5,000 or less, may be retained, sold or otherwise disposed of with no obligation to reimburse FTA, providing the useful service life requirements have been met. Records of this action must be retained.

17.5 Methods of Disposition of Tangible Personal Property

Approved methods for the disposition of surplus or obsolete tangible personal property shall include: (1) trade-in as part of a new procurement; (2) transfer or sale to other public agencies; (3) transfer to non-profit agencies or organizations consistent with established legal parameters; (4) sale by auction open to the

public; (5) solicitation of sealed bids or negotiated sale; whichever maximizes the disposal value to YCIPTA; or (6) disposal through scrapping.

17.6 Prohibited Sales

Except in the case where surplus or obsolete YCIPTA property is sold at public auction conducted by an independent third party auctioneer, members of the Board of Directors and/or employees of YCIPTA, or persons acting as agents of the foregoing, shall not be permitted to purchase at the sale.

17.7 Reports to the Board of Directors

On a bi-annual basis, the YCIPTA Transit Director shall provide, as an information item to the Board, a report of the activities relating to the disposal of surplus or obsolete property describing the identification of property, type of items disposed of, original purchase price information and dates, the gross sales price, and the net proceeds to YCIPTA.

Approved:

Shelly Kreger
Transit Director

Date

PROCUREMENT FILE CHECKLIST

		<u>Date</u>	<u>Initials</u>
_____	Requisition	_____	_____
_____	ICE	_____	_____
_____	Federal Clauses	_____	_____
_____	Advertised	_____	_____
	Bid abstract	_____	_____
	Cost/Price Analysis	_____	_____
	Bonds:		
_____	Bid	_____	_____
_____	Performance	_____	_____
_____	Payment	_____	_____
_____	Responsibility Determination	_____	_____
_____	Fair & Reasonable Determination	_____	_____

PROCUREMENT FILE CHECKLIST

	<u>Date</u>	<u>Initials</u>
_____ SAM Excluded Parties	_____	_____
_____ Buy America	_____	_____
_____ Pre-Award	_____	_____
_____ Post Delivery	_____	_____
_____ Options (Evaluated at time of award)	_____	_____
_____ Options (Pricing determined best price before exercising)	_____	_____

SAMPLE

APPENDIX A

PROCUREMENT HISTORY FORM

Project Description: _____

Contract Officer: _____

Requisition #: _____ Funding #: _____
Date Rec'd: _____

Proc. Type: Formal RFP Informal/RFQ Construction/P. Wage
 Formal IFB/P. Wage Sole Source

1. Project:

2. Rationale for the Method of Procurement:

3. Selection of Contract Type:

4. Reasons for Contractor Selection or Rejection:

5. Basis for the Contract Price:

6. Level of Documentation reasonableness:

Contract Officer Signature: _____

Date: _____

Appendix B

INDEPENDENT COST ESTIMATE (ICE) SUMMARY FORM

Requisition Number: _____ Date of Estimate: _____

Description of Goods/Services:

_____ New Procurement Contract Modification (Change Order)

_____ Exercise of Option

Method of Obtaining Estimate:

Attach additional documentation such as previous pricing documentation, emails, internet screen shots, estimates on letterhead, etc.

_____ Published Price List (attach source and date)

_____ Historical Pricing (attach copy of documentation from previous PO/Contract)

_____ Comparable Purchases by Other Agencies (attach email correspondence)

_____ Engineering or Technical Estimate (attach)

_____ Independent Third-Party Estimate (attach)

_____ Other (specify) _____ (attach documentation) _____ Pre-established pricing resulting from competition (Contract Modification only)

Through the method(s) stated above, it has been determined the estimated total cost of the goods/services is \$ _____.

The preceding independent cost estimate was prepared by:

Name _____

Signature _____ Date _____

APPENDIX C

Cost and Price Analyses

Price Analysis:

Price Analysis/Reasonableness

PO/Contract#: _____

Project Name: _____

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Vendor Name: _____

Dollar Value: _____

Description: _____

Rationale: _____

Analysis: Prices for this PO/Contract were reviewed by the Contract Administrator and determined to be fair and reasonable for the following reason(s):

Award based on lowest, responsive and responsible bid received - see attached quotes

Compared with prices paid for similar goods or services

Award based on availability (as stated in procurement docs)

Pricing deemed reasonable based on past purchase history attached

Contract Administrator

Procurement Director/Manager

Cost Analysis

PO: _____ Prepared by: _____

Amount: _____

Description: _____

Vendor: _____

Description: _____

Unit of Measure: _____

Cost: _____

Total: _____

ICE: _____

Description: _____

Quantity: _____

Cost: _____

Total: _____

Cost for the services is quoted at \$x,xxx and was estimated by Agency' Project Manager at \$y,yyy. It is determined that the cost for this effort is fair and reasonable since total cost difference is within x% of the Independent Cost Estimate (ICE).

APPENDIX A

PROCUREMENT HISTORY FORM

Project Description: _____

Contract Officer: _____



Requisition #: _____ Funding #: _____
Date Rec'd: _____

Proc. Type: Formal RFP Informal/RFQ Construction/P.
Wage Formal IFB/P. Wage Sole Source

1. Project:

2. Rationale for the Method of Procurement:

3. Selection of Contract Type:

4. Reasons for Contractor Selection or Rejection:

5. Basis for the Contract Price:

6. Level of Documentation reasonableness:

Contract Officer Signature: _____

Date: _____

APPENDIX D

BIDDER'S RESPONSIVENESS AND RESPONSIBILITY CHECKLIST

Commented [AJM14]: There are two parts to the checklist responsiveness and responsibility. YCIPTA only included the responsibility part. Thus, title adjusted.

YCIPTA Doc No.: _____

Project Name: _____

Bidder's Name: _____

Responsibility By: _____

A. BIDDER RESPONSIBILITY DETERMINATION [FTA Circular 4220.1F, Chapter VI, 8.(b)]:

(For each of the areas described below, check that the appropriate research has been accomplished and provide a short description of the research and the results).

#	REQUIREMENT	ACCEPTABLE		COMMENTS
		YES	NO	
1	The review of the BID indicates Integrity and Ethics. Bidder is deemed to have a satisfactory record of integrity and business ethics, in compliance with 49 U.S.C. Section 5325(j)(2)(A)	<input type="checkbox"/>	<input type="checkbox"/>	
2	The ability to meet the required delivery or performance schedule, taking into consideration all existing commercial and governmental business commitments.	<input type="checkbox"/>	<input type="checkbox"/>	
3	Debarment and Suspension: The review of the BID and a check of the SAM indicate Bidder is neither debarred nor suspended from Federal programs under DOT regulations, "Non-Procurement Suspension and Debarment," 2 CFR Parts 180 and 1200, or under the FAR at 48 CFR Chapter 1, Part 9.4. [for Prime and Subcontractors – (as applicable)]	After receipt of Bid		
		<input type="checkbox"/>	<input type="checkbox"/>	
4	Affirmative Action and DBE: The review of the BID indicates Bidder is either in compliance with the Common Grant Rules' affirmative action and FTA's Disadvantaged Business Enterprise requirements (based on review of prior agreements) or intends to comply with the same if awarded a Contract under this IFB.	<input type="checkbox"/>	<input type="checkbox"/>	
5	Public Policy: Bidder is in compliance or affirms to comply with the public policies of the Federal Government, as required by 49 U.S.C. Section 5325(j)(2)(B).	<input type="checkbox"/>	<input type="checkbox"/>	

B. BIDDER RESPONSIBILITY DETERMINATION - continued

#	REQUIREMENT	ACCEPTABLE		COMMENTS
		YES	NO	
6	Administrative and Technical Capacity: The review of the BID indicates the Bidder has or will have the necessary organization, experience, accounting, and operational controls, and technical skills, or the ability to obtain them, in compliance with 49 U.S.C. Section 5325(j)(2)(D).	<input type="checkbox"/>	<input type="checkbox"/>	
7	Licensing and Taxes: The review of the BID indicates Bidder is in compliance with applicable licensing and tax laws and regulations, FTA C 4220.1F Page VI-23 11/01/2008.	<input type="checkbox"/>	<input type="checkbox"/>	
8	Financial Responsibility Documentation (Bank Reference Check) [to be completed for the "Apparent Lowest Responsive Bidder"]	<input type="checkbox"/>	<input type="checkbox"/>	

9	<u>Reference Check Documentation [to be completed for the "Apparent Lowest Responsive Bidder"]</u>	<input type="checkbox"/>	<input type="checkbox"/>	
10	<u>Receipt of all necessary data from the Bidder/Supplier</u>	<input type="checkbox"/>	<input type="checkbox"/>	
11	<u>Other: _____</u>	<input type="checkbox"/>	<input type="checkbox"/>	

Proposer deemed Responsible?	<input type="checkbox"/> YES <input type="checkbox"/>	Notes:	
	<u>NO</u>		



Yuma County Intergovernmental Public Transportation Authority

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Fax: 928-783-0309, email: info@ycipta.az.gov, Web: www.yciptaz.gov

November 14, 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 Updated YCIPTA Financial
and Grants Management Policies and Procedures.

Requested Action: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the Updated YCIPTA Financial And Grants Management Policies and Procedures.

Background and Summary: During YCIPTA's FY2022 Triennial Review there were findings in the Technical Capacity – Award Management area of the review. Areas include, Late or unsubmitted MPR (Milestone Progress Reports) and FFR's (Federal Financial Reports). Currently this part of the finding is considered closed as YCIPTA has submitted the MPR's and FFR's timely for the last two consecutive quarters, The remainder of the findings that need to be closed was to update the Financial and Grants Management Policies and Procedures to include specific due dates for MPR/FFR development, approval and submission, roles and responsibilities and contacting the FTA Program Manager if an extension is required. As well as submitting to FTA procedures for tracking and reporting unliquidated obligations and procedures for ensuring all required information is included in future reports.

Attached to this staff report is the FTA approved redline version of the updated Financial and Grants Management Policies and Procedures that include corrected language requested by FTA. Approving this updated Procurement Policies will close out part of this finding. In order to fully close out the finding YCIPTA will have to provide evidence that staff has been trained on the updated policies.

Financial Impacts: N/A

Budgeted: N/A

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Louie Galaviz - 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

Shelly Kreger, Transit Director

Recommended Motion: Staff recommends that the Yuma County Intergovernmental Public Transportation Authority Board of Directors approve the updated Financial and Grants Management Policies and Procedures

Legal Counsel Review: N/A

Attachments: YCIPTA Financial and Grants Management Policies and Procedure (redline version)

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

Yuma County Intergovernmental Public Transportation Authority Board Of Directors
Louie Galaviz - Chairman - City of Somerton, Ralph Velez – Vice Chairman - City of San Luis,
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Susan M. Zambrano - Arizona Western College

Shelly Kreger, Transit Director

YUMA COUNTY INTERGOVERNMENTAL
PUBLIC TRANSPORTATION AUTHORITY

Financial and Grants Management
Policies and Procedures

SEPTEMBER 12, 1018

Revision 1 – January 24, 2022

Revision 2 – November 14, 2022

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Financial and Grants Management

Introduction

The Yuma County Intergovernmental Public Transportation Authority (YCIPTA) operates the following programs or modes of service: Fixed Route and Demand Response. The document provides procedures for the effective management of YCIPTA's grants and financial recordkeeping.

YCIPTA maintains the accounts and records to meet its own internal information requirements as well as those specified in the Uniform System of Accounts (USOA). The records shall be kept in a manner that allows ready analysis by the prescribed accounts and permits preparation of financial and operating data directly from such records at the end of the fiscal year. Any summary and/or translation of the prescribed accounts shall be consistent with the following: The reported data was developed using the accrual method of accounting, the accounting treatment specified in the Accounting Practice Instructions in Chapter 23 of the USOA has been followed and the chart of accounts have been correctly related via a clear audit trail to the accounting categories employed in the USOA.

General Information

Financial records of the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) shall be maintained in accordance with generally accepted accounting principles, applicable grant agreement requirements, and applicable state regulations governing the Intergovernmental Public Transportation Authority (IPTA). YCIPTA shall also follow the "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Rule (Uniform Guidance)" referred to as OMB "Super Circular" or "Omni Circular" and is codified at 2 CFR Part 200. In addition, the USOA requires YCIPTA to segregate revenues and expenses by mode of service and function.

Basis of Accounting

Financial transactions shall be accounted for using the accrual basis of accounting as prescribed by the USOA. Using the accrual basis, expenditures are recorded as soon as they result in liabilities for benefits received, regardless of whether or not payment of the expenditure is made in the same accounting period. Similarly, revenues are recorded when earned, regardless of whether or not receipt of the revenue takes place in the same reporting period.

Fiscal Year

The maximum length of an accounting period is ordinarily one year, which includes a complete cycle of the Authority's activities. The annual accounting period adopted by the YCIPTA is known as a fiscal year beginning on the first day of July and ending on the thirtieth day of June.

Financial Software and General Ledger Accounts

YCIPTA uses Quick Books Accounting Software and utilizes the Uniform System of Accounts. The software modules used by YCIPTA include Accounts Receivable, Cash Receipts, Accounts Payable, Fixed Assets, Payroll, Time Keeping, and the General Ledger. All modules are fully integrated with the General Ledger.

Statement of Revenue and Expense General Ledger Accounts

Quick Books Accounting software allows for the general ledger numbers to be set up as prescribed in the USOA.

YCIPTA uses the following number system for the general ledger accounts.

1000	Cash and Cash Items
2000	Accounts Receivable
3000	Assets
4000	Revenue Accounts
5000	Expense Accounts
9000	Other

Internal Controls

- A. Internal controls are the processes implemented by YCIPTA designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations.
- B. Internal control over compliance requirements of a federal award is the process implemented by YCIPTA designed to provide reasonable assurance regarding the achievement of the following objective of federal Awards:
 1. Transactions are conducted in compliance with:
 - a. Federal statutes, regulations and the terms and conditions of the Federal Award that could have a direct and material effect on a federal program, and

- b. Any other federal statutes and regulations that are identified in the OMB Compliance Supplement.
 - 2. Funds, property and other assets are safeguarded against loss from unauthorized use or disposition.
 - 3. Transactions are properly recorded and accounted for in order to:
 - a. Permit the preparation of reliable financial statement and federal reports,
 - b. Maintain accountability over assets, and
 - c. Demonstrate compliance with federal statutes, regulations, and terms and conditions of the Federal Award.
- C. FTA payments to YCIPTA are made electronically to meet the federal share of eligible expenses incurred under the Grant Award. Execution of an FTA Grant or Cooperative Agreement requires YCIPTA to use the federal assistance it receives as specified in that Grant Agreement. This creates a vested interest by the Federal Government in unused balances. Any improperly used federal assistance, and facilities, equipment or services purchased or otherwise acquired to implement the Award, whether the federal assistance is received by YCIPTA is an advance or reimbursement.

YCIPTA is responsible for establishing and maintaining adequate internal controls over all functions that affect implementation of the Grant Award. For proper management of the Award, these controls shall be used by YCIPTA in all its operating, accounting, financial and administrative systems. To ensure proper accountability for federal assistance, internal controls are integrated with the management system used by YCIPTA to regulate and guide its operations.

- D. A proper system of internal controls helps YCIPTA to: operate efficiently and economically; keeps obligations and costs within the limits of authorizations and legal requirements, consistent with accomplishing the purpose of the Grant Award; safeguards assets against waste, loss and misuse; ensures timely collection of proper accounting of YCIPTA's operating and other revenues; and ensures accuracy and reliability in financial, statistical, and other reports.
- E. YCIPTA has adopted the following procedures and standards to safeguard its assets and receipts and to promote the objectives above:
 - 1. General
 - a) Hire qualified, trained personnel consistent with the job descriptions for the various positions within the Accounting Department;
 - b) The organizational structure shall provide for various levels of authority and the delegation of authority as well as allow for the segregation of

- duties and limit the level of access to accounting records based on duties performed;
- c) Internal controls must be an integral part of the management system;
 - d) Maintain a positive and supportive attitude among YCIPTA's managers and employees;
 - e) Provide supervision to and evaluation of all employees in Accounting Department by qualified, trained Supervisor;
 - f) Internal control functions are assigned to competent and experienced employees;
 - g) Specific responsibilities are assigned to appropriate employees;
 - h) Enhance internal controls by the separation of duties;
 - i) Use of an internal accounting and reporting system adequate for management control that readily provide operating data for decision and performance review;
 - j) Budgetary control is exercised;
 - k) Adopt internal control policies, plans and procedure that reasonably ensure their effectiveness, such as organization separation of duties, physical arrangement, such as locks and fire alarms;
 - l) Regular program of testing to identify vulnerabilities in the internal control system;
 - m) Adequate procedures are established and followed to ensure that disbursements are made only for valid invoices;
 - n) Sufficient control is maintained over Fixed Assets;
 - o) A physical inventory of fixed assets will be done every ~~two~~ (2)-years and reconciled to the general ledger;
 - p) Fuel records are maintained to analyze the consumption in conjunction with the mileage for reasonableness;
 - q) Material acquisitions are reconciled for mathematical accuracy, quantities and prices charge;
 - r) Farebox revenues are collected in a registering fareboxes and provide fare revenue reporting by day, week, moth, etc. Farebox revenue reports are reconciled to actual deposits;
 - s) Drivers are provide proper training on fare handling;
 - t) All incoming checks are logged by the Clerk I when opening the mail. This is reconciled against the actual deposits prepared and recorded by the Financial Services Operations Manager and taken to the bank by the Administrative Assistant or Clerk I
 - u) All invoices shall be reviewed and approved by the Transit Director or designated personal.
 - v) Only certain employees are designated to sign and approve a contract or purchase order.
 - w) Bank statements are balance to the General Ledger monthly;
 - x) Petty Cash audits are performed periodically;

- y) Farebox Revenue is stored in a locking secure vault and must be counted in the secure video surveillance money room. Fares are transported by armored carrier to be counted and processed for deposit.
- 2. Internal Control Self-Assessment. YCIPTA shall regularly evaluate its internal controls and financial management system to ensure their effectiveness.
- 3. Financial Management System.

YCIPTA's Financial Management System meets the following standards:

- a. Financial Reporting. Accurate, current and complete disclosure of financial results of federally assisted activities shall be made in accordance with financial reporting requirements.
- b. Accounting Records. Accounting records shall be maintained that adequately identify the source and application of funds provided for federally assisted activities. These records shall contain information pertaining to the Federal Grant Award or sub award and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.
- c. Internal Controls. A system of effective internal controls and accountability shall be maintained for all cash provided to support the Award or subaward, real and personal property, and other assets; must adequately safeguard all such property and ensure that it is used solely for the authorized purpose.
- d. Budget Control. Actual expenditures or outlays shall be compared with budgeted amount for each Grant Award or sub-award. Financial information shall be related to performance or productivity data, including development of unit cost information whenever appropriate or specifically required in the Grant Agreement or written agreement with a sub-recipient.
- e. Allowable Cost. Applicable Office and Management and Budget (OMB) cost principles of shall be followed in determining allowability and allocability of costs. Refer to 2 CFG part 200 for Awards made on or after December 26, 2014 or 2CFR parts 220,225 and 230 for awards made before December 26, 2014.
- f. Source Documentation. Accounting records shall be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contracts, and subrecipient documents.
- g. Cash Management. Procedures for minimizing the time elapsing between the transfer of funds from the Treasury and disbursement by YCIPTA or a subrecipient shall be followed whenever advance payments procedures are used. If YCIPTA should have any subrecipients in the future, reasonable procedures will be established

to ensure the reports on the subrecipients' cash balances and cash disbursements are received in sufficient time to enable YCIPTA to prepare complete and accurate cash transactions reports to the awarding agency. When advances are made by electronic transfer of funds method, YCIPTA shall make drawdowns as close as possible to the time of the disbursement. YCIPTA shall monitor cash drawdowns by any subrecipient to ensure they conform substantially to the same standards of timing and amount that apply to advances to YCIPTA.

Payments received from FTA shall be disbursed within three business days. If not disbursed within three days, funds become excess funds and must be returned to FTA with interest.

Non-Federal Revenue

YCIPTA agrees to provide sufficient funds or approved in-kind resources to serve as non-federal share for all of its federally assisted Awards in compliance with 49 USC chapter 53. YCIPTA certifies that it has or will have available the proportionate amount of the non-federal share to pay promptly the costs incurred or that become due to implement an Award, except to the extent that the Federal Government determines in writing that the non-federal share may be deferred. YCIPTA shall not use an amount as the non-federal share for more than one Award. YCIPTA books the non-federal share of the project at the same time the Federal Share is booked.

The non-federal share may include:

- A. Cash from nongovernmental sources other than revenues from providing public transportation services;
- B. Non-farebox revenues from the operation of public transportation services, such as sale of advertising revenues.
- C. Assets from other federal sources if authorized by federal law to be used for non-federal share for the specific project;
- D. Amounts received under a service agreement with a state or local social service agency or private social service organization;
- E. Undistributed cash surpluses, replacement or depreciation cash funds, reserves available in cash, or new capital.

Financial Plan

YCIPTA prepares a ~~five to seven year~~ five-to-seven-year financial plan for operating and capital revenues and expenses. The plan delineates the sources of non-federal share,

the amounts applicable to the different sources and the time frame for acquisition of the non-federal share.

Federal Principles for Determining Allowable Costs

Project costs must specifically relate to the purpose of the Grant Award and the latest Award Budget. Direct and indirect costs may be incurred. Direct costs are costs that can be identified specifically with a particular cost objective and may be charged directly to the Grant. All direct costs, even for project administration activities, shall be adequately supported with proper documentation. Indirect costs are costs incurred for a common or joint purpose benefiting more than one cost objective. Indirect costs shall be supported by an approved Cost Allocation Plan (CAP) and or Indirect Cost Rate Proposal. At this time, YCIPTA does not charge indirect costs to a Federal Grant and therefore does not have an approved Cost Allocation Plan.

Care must be exercised when incurring costs to ensure that all expenditures meet the criteria of eligible costs. Failure to exercise proper discretion may result in expenditures for which the use of project funds cannot be authorized.

- A. Allowable Costs. To be allow under a federal assistance program, costs must meet the following criteria:
1. Be necessary and reasonable for proper and efficient administration of the federal assistance program, be allowable under the principles contained it the OMB common rules and circulars and except as specifically provided in Circular FTA C 5010.1E not be general expenses required to carry out the overall responsibilities of state or local governments;
 2. Be authorized or not prohibited under state or local laws or regulations;
 3. Be able to conform to any limitation or exclusion set forth in the principles, federal laws, or other governing limitations as to types or amounts of cost item;
 4. Be consistent with policies, regulations, and procedures that apply uniformly to federal and state assisted activities
 5. Be treated consistently. A cost may not be assigned to its Award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Award as an indirect cost;
 6. Be determined in accordance with generally accepted accounting principles (GAAP) appropriate to the circumstances;
 7. Not be allocable to or included as a cost of any other federally assisted program in either current or prior periods;
 8. Be net of all applicable credits;
 9. Be adequately documented; and
 10. Not be incurred before its Award is made unless specifically provided for in a Letter of No Prejudice (LNOP) or equivalent document approved by FTA, or in

the pre-award authority as described in the Federal Register listing of the Annual Apportionments.

- B. Disallow Costs: In determining the amount of federal assistance FTA will provide, FTA will exclude:
1. Any cost to implement the Award incurred before the date of the Award, unless specifically provided for in a LONP or equivalent document approved by FTA, or in the pre-award authority as described in the Federal Register listing the Annual Apportionments; and
 2. Any cost attributable to property or services under a contract or other arrangement that is required to be, but has not been, concurred in or approved in writing by FTA.

Indirect Costs

Prior to charging any indirect costs to a Grant Award, YCIPTA shall prepare and have approved by FTA a Cost Allocation Plan (CAP) or and Indirect Cost Rate Proposal (ICRP). A federal Award must include identification of the indirect cost rate for the Federal award (including if the de minimis rate is charged).

Indirect costs are costs that are incurred for a common or joint propose benefiting more than one cost objective, not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved. At this time YCIPTA does not charge any indirect costs to a Federal Award. Should YCIPTA wish to charge indirect costs to a Federal Award in the future, a CAP or an ICRP will be submitted to FTA prior to submission of the Grant Application. Upon approval of the documentation and approval of the Federal Grant, YCIPTA financial staff will review 2 CFR part 200 prior to charging any indirect costs to the Award.

Program Income

Federal grantor agencies are required to account for program income related to projects financed in whole or part with Federal grant funds. Program income includes but is not limited to:

1. Fees for services performed;
2. The use or rental of real or personal property acquired under a Federal grant award;
3. The sale of commodities or items fabricated under a Federal grant award;
4. License fees and royalties on patents and copyrights;
5. Advertising/concessions specifically required by the Federal Award, and pertaining to specific activities or accomplishments which result from performance of the federal Award; or
6. Payments of principal and interest on loans made with federal assistance.

Interest earned on advances of federal assistance is NOT program income. Except as otherwise provided in federal statutes, regulations or other terms and conditions of the federal Award, program income does not include rebates, credits, discounts, taxes, special assessments, levies, and fines raised by a recipient and sub recipient, and interest earned on any of them. Farebox revenue is not considered program income for capital assistance grants. Taxes, special assessments, levies, fines, and other such revenues raised by YCIPTA are not program income unless the revenues are specifically identified in the Federal Grant Award or incorporated by reference in the Award, or the federal awarding agency regulations require it to be program income. Proceeds from the sale of real property or equipment are not program income.

In determining the total amount of program income earned for Projects, those costs incident to earning program income that have not been charged to the Federal Award may be deducted from the gross income received by YCIPTA.

Program income may be used during the period of performance of the Grant as follows:

1. YCIPTA may retain the income and use for other capital or operating public transportation expenses. If the income is not used for current or future FTA Grants or for public transportation purposes, then the amount of the income used for non-public transportation related purposes will be deducted from the total allowable costs to determine the net allowable costs.
2. For each research-type project or related activities, YCIPTA may add to the Award.
3. Depending on the federal restrictions, YCIPTA may use the income for the non-federal share for a future public transportation Project that will receive federal assistance provided by FTA.

Some FTA programs have specific requirement for some types of program income and should consult the applicable program circular for more details about the use of program income under that specific project.

YCIPTA shall have no obligation to FTA for the disposition of program income earned after the end of the period of performance of the Grant Award unless otherwise determined in writing.

Farebox revenue may not be used as non-federal share for any of FTA's grant programs. Farebox revenue is used to determine "net project cost" for operating assistance grants only.

Audits

In accordance with 2 CFR Part 200.501(a) and (b), YCIPTA is required to have an annual audit if \$750,000 or more in a year of federal assistance from all sources is expended. The audit shall be completed and the data collection form and reporting package shall be submitted within the earliest of 30 calendar days after receipt of the auditor's report, or nine months of the end of the audit period. One copy of the annual single audit report shall be submitted to FTA if the audit report contains any findings and recommendations related to the FTA program or other DOT program findings. In those cases in which the audit report does not contain any FTA findings or recommendations, a copy of only the Federal Clearinghouse transmittal sheet "Data Collection Form for Reporting on Audits of States, Local Governments, and Non-Profit Organizations, OMB Form SF-SAC should be submitted to the FTA regional or metropolitan office. A copy of the audit reporting package and the data collection form shall be kept on file for three years from the date of submission to the Federal Clearinghouse.

YCIPTA is responsible for prompt resolution of all audit findings and recommendations. This responsibility requires YCIPTA to: promptly evaluate the audit report; determine the appropriate follow-up actions and establish a date for their completion; and complete all required actions within the established period of time.

The audit cannot be closed until FTA concurs in the documentation of steps taken to implement any needed corrective actions. The status of outstanding audit findings and the recommendations should be monitored and reported by YCIPTA in quarterly progress reports and, where appropriate, significant events are reported.

Cash Disbursements (Payment Procedures)

General

YCIPTA's Financial Services ~~Operations~~-Manager have been authorized to make payments of expenditures that are reoccurring and ongoing such as utilities and payroll expenses or been approved in advance by the YCIPTA Transit Director or are under \$100,000.00. All checks must have two signatures. All bills to be paid should be prepared and presented to the Transit Director for approval.

All invoices shall be reviewed and prepared by Administrative Assistant and submitted to the Financial Services ~~Operations~~-Manager for authorization to pay. Invoices for capital projects are reviewed by the Financial Services ~~Operations~~-Manager who writes the proper General Ledger Account number on the invoice, reviews it for accuracy and makes sure the invoice has been approved by the Transit Director.

All payments are recorded into the General Ledger via the Quick Books Account Payable software module. After the checks have been released, the check vouchers and supporting documentation are filed in the A/P vendor files by payee. They are then readily available for review by employees and auditors requiring specific information about an expenditure. The filing system is setup by fiscal year.

Disbursement of Federal Funds

The federal funds to cover the federal share of the invoice are drawn down after the check is released. Normally, YCIPTA draws down the grant funds through the ECHO System quarterly, based on the Federal Share of Expenditures reported on the FFR. YCIPTA rarely draws down Federal funds in advance of a purchase.

When large amount of Federal funds are expended, YCIPTA may draw down the Federal funds in advance of releasing payment to the vendor. These advance payments are drawn down through the Echo System for the exact amount of the Federal Share of the invoice. The Accounting Supervisor monitors the cash account where the federal funds are deposited to see when they are actually received. The check is released to the vendor the day the Federal payment is deposited into YCIPTA's bank account. YCIPTA understands that **payments received from FTA must be disbursed within three business days. If not disbursed within three days, funds become excess funds and must be returned to FTA with interest.**

The Financial Services ~~Operations~~ Manager prepares all ECHO drawdown requests. The Transit Director reviews and approves the request and has the Financial Services ~~Operations~~ Manager make the drawdown through the ECHO system. The Financial Services ~~Operations~~ Manager will print out the ECHO confirmation and recorded as an account receivable in the Quick Books Accounts Receivable Module.

When drawdown is received, YCIPTA is notified by the Yuma County Treasures Office and then payment is recorded in the by the Financial Services ~~Operations~~ Manager in Yuma County's Accounting Software by created and recording a Treasurer Receipt. Drawdown requests, confirmations and backup documentation shall be maintained in the Treasure's Account Deposit folder.

Disbursement guidelines of Federal funds in accordance with policies established by the Department of Treasury requires YCIPTA to commits itself to:

1. Initiating cash drawdowns for immediate disbursement (no later than three business for disbursement). Excess federal assistance held for more than three days must be returned to FTA along with any interest earned. See FTA C 5010.1E Chapter V, subsection 9.f "Repayment to FTA" for detailed information on requirement to remit interest.

2. Provide a minimum notice to the FTA regional office of two business days for a disbursement totaling \$50 million or more, and a minimum notice of five days when a disbursement of more than \$500 million.
3. Timely reporting of cash disbursement and balances as required by FTA.
4. Imposing the same standards of timing and amount upon any secondary recipients.
5. Limiting drawdowns to eligible costs to implement the Award, which would include NOT drawing down federal assistance for its Award in an amount that would exceed the sum obligated by FTA or the current available balance for that Award.
6. Providing control and accountability for all federal assistance consistent with FTA requirements and procedures for use of the ECHO system.
7. Furnishing reports of cash disbursements and balances, when required by means of FFR.
8. YCIPTA shall follow the repayment procedures listed in FTA C 5010.1E Section VI 9(g) to return funds (overpayments/credits) for projects that are not supported by the Echo System.

Exceptions to the requirement for prompt refunding of and overpayment or credit are when the federal assistance involved will be disbursed by the recipient within seven calendar days, or the amount is less than \$10,000 and will be disbursed within 30 days.

Record Retention

Financial records, supporting documents, statistical records, and all other records pertinent to a grant shall be retained for a period of seven years with the following qualifications;

1. If any litigation, claims or audit is started before the expiration of the ~~seven~~ seven-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
2. Records for non-expendable property acquired with Federal funds shall be retained for three years after its final disposition.
3. When records are transferred to or maintained by the Federal sponsoring agency, the ~~three-year~~ three-year retention policy is not applicable to YCIPTA.

Labor Description

YCIPTA employees often work in more than one area of our FTA projects. When this happens the employees compensation is divided between FTA projects on the percentage of time spent in each area. All direct labor is allocated based on a percentage of service hours for 5307, 5311 and 5310 service. These percentages are reviewed at the time of the drawdown. These route services hours are calculated prior to submitting the drawdown request based on actual hours.

Payroll System

YCIPTA employees are paid every two weeks based on employee time sheets. The pay week is Sunday through Saturday. All non-exempt employee are compensated at 1.5 times their regular pay rate for all hour worked in excess of 40 in a work week.

At the end of each pay period, the timesheets are processed by each employee and given to the Transit Director for approval. Transit Directors times sheet is reviewed by the Financial Services ~~Operations~~ Manager. The Financial Services ~~Operations~~ Manager processes the payroll which includes an automatic overtime calculation as well as tax, deduction and net pay calculations. Once the calculations are completed by ADP, a preview check register printed and reviewed by the Financial Services ~~Operations~~ Manager for accuracy of deductions, overtime, etc. At that point, paychecks are printed or pay statements are printed for employees paid through Direct Deposit. The Transit Director reviews the printouts paying particular attention to the pay record for the Financial Services ~~Operations~~ Manager. The funds to cover the net payroll are transferred from the General Checking Account to the Payroll Account by the Financial Services ~~Operations~~ Manager through the online banking system, if needed.

All associated payroll entries with the exception of the monthly accrued wages and payroll transfers are recorded in the YCIPTA Payroll Journal via a journal entry done by the Financial Services ~~Operations~~ Manager. Once in the General Ledger, the wages in the holding divisions are allocated to the proper program.

Fringe Benefits

The total YCIPTA fringe benefit expenditures are allocated on the same manner as labor distribution.

Treatment of Leases

1. Operating Lease Treatment - The minimum lease payment for operating leases are expensed in the period that they are due.

2. Capital Leases – YCIPTA does not have a current capital lease. Should a decision be made to lease a capital item, YCIPTA Transit Director will inform the Financial Services ~~Operations~~ Manager for proper allocations of expenses. The Financial Services ~~Operations~~ Manager will refer to the NTD Uniform System of Accounts and Record Keeping for guidance on how to properly treat a capital lease in our accounting system. At time these procedures will be revised to accommodate the treatment of Capital Leases.

Petty Cash

In order to establish a petty cash fund, a debit is made to petty cash and a credit to accounts payable. The check drawn to pay the voucher is recorded in the check register as a debit to account payable and a credit to cash – checking.

YCIPTA maintains ~~two (2)~~one (1) petty cash funds ~~for~~ ~~One for YCIPTA and one for the Greyhound~~. The money obtained from “cashing” the check is placed within the custody of the Financial Services ~~Operations~~ Manager and Transit Operations Manager positions. This specific employee is authorized to disburse the fund in accordance with restrictions.

When the amount of money in petty cash funds is in need of replenishment, all associated assets and expenses are debited and cash – checking is credited in in the AP system.

Periodically the petty cash will be balanced and processed to be replenished by the approval from the Transit Director.

Inventory

Perpetual

The inventory system employs accounting records that continuously discloses the value of the inventory. The inventory master records also show the quantity of each item on hand. YCIPTA maintains two types of inventory, parts and fixed assets inventory. YCIPTA uses a numbering system via an excel spreadsheet to record the assets. Parts inventory is done every two years or when a turnover of service contractor is being done. Fixed assets inventory is maintained by the Transit Director and is monitored and updated continuously.

Increase in inventory are debits to the appropriate general ledger account and decreases are recorded as credits. The balance of the accounts is called the book inventories of the items on hand.

Ticket Inventories are maintained via an Excel Spreadsheet. Each ticket type and denomination has a master sheet showing the tickets received and their associated inventory controls numbers as well as tickets issued and their control numbers. The report show the quantity of tickets issued and to whom they were issued.

Cash Receipts

Transfer of funds.

The transfer of funds can be made by the Financial Services ~~Operations~~ Manager with approval by the Transit Director. These transfers are done for Fare Revenue Transfer, Greyhound Commissions, or for access funds in the payroll account.

Ticket Revenue

Ticket revenue is recognized when a ticket is sold not when used.

YCIPTA uses Ticket Outlets and several YCIPTA employees to sell tickets. Each Outlet or Employee is provided a separate ticket inventory. Ticket Outlets pay for the ticket at the time of receiving tickets with a percentage of discount for resale. Revenue will be in the form of cash sales, credit card sales, or invoice sales.

Farebox Deposits

YCIPTA collects fare revenue from passengers on both the fixed route and paratransit services.

Fixed Route fares are collected using fareboxes. Each box counts the cash deposited into it and the associated reporting shows how much was collected. The cash vaults from the farebox are emptied into the secured money room vault by the service dispatchers daily. Funds are removed from the cash vault, counted, deposit processed in a secured money room monitored by video surveillance by service employees. The money is placed in sealed deposit bags for pickup by the cash handling service. The Administrative Assistant reconciles deposit paperwork given from the Service Employees to the deposit slips from the bank. The Administrative Assistant records the fare deposit in the Quick Books Accounting System. The entry is as follows:

Fare Revenue Account	XXXX	
YCAT Fares		XXXX

Operating Assistance Grants

YCIPTA recognizes deferred revenue for all of its operating assistance grants for each fiscal year. Listed below are the accounting entries that are representative of all operating grants received:

FTA 5307 /ADOT 5311/STP/RTAP/5310/5339	xxxxx
Yuma Count Treasury Account	xxxxx

Prepaid Expenses

Prepaid expenses are commodities and services purchased for consumption that are unconsumed at the end of the accounting period. The portion of the asset that has been used during the period has become an expense; the remainder will become an expense until sometime in the future. Accounting entries are as follows:

Prepaid Expense	XXXX	
Cash		XXXX
(To book prepaid expense)		
Expense	XXXX	
Prepaid Expense		XXXX
(To book accrued expense)		

Cash-Checking/Temporary Cash

YCIPTA checking accounts are established at the same financial institution. All deposit into accounts are and transfers between these accounts are individually recorded by a Journal Entry and in some instances by an Accounts Payable manual check depending on the situation. These transfers and the associated Journal Entries or Check Requests are made by the Financial Services Operations Manager at the time the transfer is made.

Depreciation

The Federal Transit Administration (FTA) and the Arizona Department of Transportation (ADOT) allow for a wide variety of depreciation treatments. YCIPTA utilizes the straight-line method of depreciation. This means that once the useful life is determined

in months, the asset is depreciated monthly based on the total asset cost divided by the number of months of the useful life of the asset. The useful life of an asset is determined based on guidance from FTA or ADOT.

Capital Grant Expenditures and Fixed Assets

Capital grants are those funds that are provided to the transit system to help finance the procurement of capital assets (tangible property), and that do not result in any ownership claim on the transit system by the grantor. Such grant may come from public (governmental) or private sources.

The accounting for the tangible property is segregated from the accounting for the financing of the capital asset. The total cost of all capital asset units is to be accounted for in the object class for capital assets (111 or 112). This is regardless of the fact that some of the capital assets may be financed by government grants or donated by private parties. The acquisition cost of federally assisted property means the purchase price of the property acquired for the Award. This is net of invoice unit price, including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the federally assisted property usable for the intended purpose.

The financing of a capital asset is accounted for in the liability and capital object class. Grant and donations to assist in the procurement of capital assets are to be classified in capital object classes for grant, donations and other paid-in capital (Object Class 304). More specifically, the Object Class is Contributed Capital. In addition, as per GASB 34, all capital used to purchase tangible assets is recognized as revenue under the appropriate capital grant Division.

All Federal Capital Procurements shall be undertaken following YCIPTA's Procurement Procedures as set forth in the YCIPTA's Revised Procurement Policy dated September 1, 2014.

YCIPTA shall maintain continuing control of the use of federally assisted property and constructed improvement to the extent satisfactory to FTA. YCIPTA will use federally assisted property for the purposes for which it was acquired as long as needed, whether or not the Award continues to be supported with federal assistance. YCIPTA will notify FTA when changing the use of any federally assisted property or withdrawing that property from use whether by planned withdrawal, misuse, or casualty loss.

Any incidental use of federally assisted property will not exceed that permitted under applicable federal laws, regulations and directives. Incidental use will be permitted if:

1. The incidental use does not interfere with YCIPTA project or public transportation operations;

2. YCIPTA fully recaptures all costs related to the incidental use from the non-transit public entity or private entity, including applicable excise taxes on fuel for fueling facilities and wear and tear to capital improvements;
3. YCIPTA will use the revenues received from the incidental use for capital and/or operating expenses that were or will be incurred to provide the public transportation; and Private entities pay all applicable excise taxes on fuel.

YCIPTA shall follow the regulations found in 49 CFR part 625, "Transit Asset Management," including the requirement to develop or participate in the development of a Transit Asset Management Plan, or a Group Plan, by October 1, 2018, and amendments to 49 CFR part 630, "National Transit Database," which includes reporting requirements.

Title to federally assisted property acquired under and Award to YCIPTA is vested with YCIPTA. The title must be a conditional title, subject to the following conditions:

1. Federally assisted property must be used for the authorized purpose of the project during the useful life of the asset or until no longer needed for the purposes of the project;
2. YCIPTA shall not encumber the property without prior approval from FTA; and
3. The property must be used and disposed in accordance with the requirements of FTA C 5010.1E, as well as 2 CFR 200.313 for equipment, and 2 CFR 200.314 for supplies.

A control system has been developed to ensure adequate safeguards to prevent loss, damage or theft of federally assisted property. YCIPTA will investigate and document any loss, damage or theft.

Adequate maintenance procedures have been developed and implemented to keep the federally assisted property in good condition. A written vehicle maintenance plan and facilities/equipment maintenance plan is in place. YCIPTA will keep satisfactory records pertaining to the use of federally assisted property, and shall submit to FTA upon request such information as may be required to assure compliance with federal requirements.

Warranties, when part of rolling stock and equipment contract, shall provide for correction of defective or unacceptable materials or workmanship. These warranties should specify coverage and duration and meet currently available industry standards. A general warranty incorporating industry standards and an extended warranty are eligible capital costs. YCIPTA shall:

1. Establish and maintain a system for recording warranty claims; this system should provide information needed by YCIPTA to the extent and provisions of coverage and on claims processing procedures: and

2. Identify and diligently enforce the system for recording warranty claims.

Accounting for Capital Grants

YCIPTA sets up classifications in the General Ledger for each awarded Federal Grant. These divisions are income statements for the grant and are used to track the federal revenue for the grant as well as the state and local matches for the federal revenue associated with a specific capital grant.

Accounting entries are made to book approved federal, state and local capital grants with the associated revenues and expense as incurred.

An asset purchased with a cost of \$5000 or more is capitalized and depreciated, otherwise it is expensed under the appropriate Capital Division Income Statement.

After a tangible asset is recorded in the General Ledger, an asset master excel worksheet which provides the following information for each asset:

- A. A description of the asset;
- B. The identification number or serial number;
- C. The entity or individual that holds title to the asset;
- D. The source of funding;
- E. The acquisition date;
- F. The cost of the asset;
- G. The percentage of federal participation in the cost;
- H. The location;
- I. The use and condition; and
- J. The useful life.

Physical Inventory of Tangible Fixed Assets

A complete physical inventory of all YCIPTA property shall be taken biennially. The Financial Services ~~Operations~~-Manager prints out the master asset excel spreadsheet and locates assets by description and tag number. When an asset is located, it is checked to insure it is in proper working condition and marked on the asset master with a check mark show it was found and in good working condition. No further action is required. If the asset is found and is not in working condition, it is marked as found with a note beside it indicating it is not in good working condition. Assets found but not in good working condition are later reviewed and a determination is made either to repair or dispose of the asset. If the asset is to be disposed, it is authorized by the Transit Director and the Financial Services ~~Operations~~-Manager is notified for proper

disposition instructions. The asset will remain on the books until such time as it is disposed of.

All property with a value of \$5,000 or more purchased under the tangible property accounts will be inventoried.

Disposition of a Tangible Fixed Asset

YCIPTA follows the ADOT and FTA Equipment Disposition Procedures for all assets purchased with Federal and State Funds. (Ref: ADOT Disposition Procedures; FTA Circular 5010.1E, Rev July 21, 2017, Grant Management Requirements)

Prior to the disposal of any asset or prior to removing any asset from service, the Transit Director, Transit Operations Manager, and the Financial Services [Operations](#) Manager must be notified to dispose of the asset.

All assets written off as a result of the physical inventory count are noted and kept in the fixed asset folder as documentation. Entries to the appropriate asset accounts are recorded and reconciled against the books.

Any assets with a current market value of more than \$5,000 and meeting the useful life criteria may be retained, disposed of or sold. If asset is sold, FTA must be reimbursed its share of the net proceeds or the federal share of the proceeds may be held and used for a transportation related project in a future grant. The amount owed to FTA is the sale price times the percentage of federal interest in the asset. Therefore, when writing off an FTA funded asset the Federal Share of the sales proceeds that needs returned to FTA should be books as a Deferred Revenue for Federal Assets Sold instead of a gain on the sale of the asset.

Assets with a value of less than \$5,000 and reaching its useful life can be disposed of with no further obligation to FTA, however, records for that disposition will be retained by YCIPTA.

Disposition of any asset before the end of its useful life, regardless of its value, requires prior written approval from FTA. Any remaining federal interest in the asset will be reimbursed to FTA as per FTA's instructions in their letter confirming or approving the disposition.

In order to properly track the disposition of an asset, the Transit Director uses an Excel Spreadsheet titled Fixed Assets Written Off. This spreadsheet is kept by fiscal year. Each asset disposed of is entered on the spreadsheet showing the following information; Date Sold, Asset Number, Asset Description, Serial # or VIN if appropriate, Vendor purchased from, Asset Class, Cost, Prior Depreciation, Year to Date Depreciation, Life to Date Deprecation, Sale Price, Gain(Loss) on the sale, percent of

Federal participation, Federal Share of Sale Proceeds, Grant Number purchased from, date asset purchased, date asset placed in service, date asset removed from service, useful life, party sold to, and the mileage at disposition if applicable.

Federal Capital Grants Management

YCIPTA administers Federal grants through the Transit Director and the Financial Services [Operations](#) Manager. YCIPTA's Transit Director and/or the Financial Services [Operations](#) Manager applies for all federal grants based on the current year operating and capital budget approved by the YCIPTA Board of Directors. Once a capital grant is approved by FTA, the various activity line items (ALI's) are reviewed and discussed by the Transit Director and Financial Services [Operations](#) Manager. The Financial Services [Operations](#) Manager with the assistance from the Transit Director is responsible for the project and oversees the project from beginning to end.

All Federal Capital Procurements shall be undertaken following YCIPTA's Procurement Procedures as set forth in the YCIPTA's Revised Procurement Policy dated September 1, 2014.

Financial Services Operations Manager shall be charged with the responsibility of searching the Federal Circulars for updates and important changes to guidelines.

Capital Expenditures by Funding Source

Each capital expenditure is recorded on an Excel Spreadsheet kept for each fiscal year titled Expenditure Tracking by Funding Source. This worksheet tracks all items charged to capital projects or charged to any of the classification. This worksheet shows the vendor, the total amount of expense, the federal grant being charged, the ALI being charged, General Ledger Account Number being charged, a description of the purchase, the State Project Number and source of state funds, the Federal Share, State Share and Local Share.

Federal Grant Reporting

The Federal Transit Administration requires quarterly reporting or annual reporting on all open capital grants. FTA will notify YCIPTA which grants require quarterly reporting and which ones require annual reporting. As required by FTA, both a Federal Financial Report (FFR) and a Milestone Progress Report (MPR) are completed and submitted to FTA within 30 days after the end of the quarter or Federal Fiscal Year for each open federal grant depending on the reporting designation set by FTA. The [Accounting Supervisor/Financial Services Manager](#) prepares and submits all FFR's and MPR's [to the Transit Director who is responsible for ensuring the completeness and timeliness of such reports. It is then that the Transit Director communicates with the Financial](#)

Services Manager that the reports are approved for submittal. These reports are prepared based on information provided from the accounting software, invoices coded to the grants, the Check List and the Capital Expenditure by Funding Source reports. The various department managers responsible for the project also provide information for the MPR. It is further required that the Financial Services Manager begins to prepare these reports 30 days prior to due date and provides these reports to the Transit Director within 5 days prior to submittal to ensure there is sufficient time to review and approve reports.

Commented [TRO-91]: I don't see how this part of the corrective action is addressed anywhere in this procedure: "TC-AM1-1 - Roles and responsibilities for ensuring completeness and timeliness, including communication and involvement of the Executive Director..."

Please point out where in the policy does it outline communication and involvement of the Director for completeness and timeliness. If not, please add a few points that outlines the Director's roles and responsibilities, including ensuring the FFR and MPR is complete and timely upon approval and communicating with the Financial Services Manager to ensure so.

MPR and FFR frequency of reports are as follows:

Commented [SK2]: added

Commented [SK3]: added to address comment above

- Quarter 1 Oct|Nov|Dec Task is issued on January 1st Report is due January 30th
- Quarter 2 Jan|Feb|March Task is issued on April 1st Task is issued Jul 1st Report is due April 30th
- Quarter 3 April|May|June Report is due July 30th
- Quarter 4 July|Aug|Sept Task is issued October 1st Report is due October 30th

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- Quarterly reports may be returned for corrections and resubmitted, up until the day prior to the next Task is issued (provided it is not marked reviewed by FTA).
- Annual reporters must submit on time, there are no extensions for annual reporters (report due October 30th).

In the event that an extension is needed the Transit Director will request an extension by contacting the FTA Program Manager at least 30 days in advance documenting the reason for the request.

Federal Financial Report (FFR)

When completing the quarterly FFR's, Federal Cash Receipts and Disbursements are reported on a cumulative cash basis. When YCIPTA draws down the funds **after** the expenditure is made, Lines B and C of the FFR should be reported in the quarter when the Federal Funds are actually received on a cumulative basis. For this purpose, Line C., Federal Cash Disbursements are made at the point YCIPTA is reimbursed for the expenditures by FTA, which is when the money is received.

The Federal Share of Expenditures, the Recipient Share of Expenditures, the Federal Share of Unliquidated Obligations and the Recipient Share of Unliquidated Obligations must be reported on the FFR. Unliquidated Obligations are amounts that have been obligated (under contract) but not disbursed and remains as un-invoiced, unpaid. Unliquidated obligations are calculated based on the dollar value of contracts awarded under the grant less any payments toward the contracts awarded. Program income is also reported if needed. Program Income was discussed previously in this document. Prior to finalizing and submitting the FFR's, the expenditures are reconciled to the grant accounts in YCIPTA's accounting system. When reconciling the fixed assets and grant

accounts to the general ledger at the end of the fiscal year, invoices are reviewed to insure they were charged to the proper grant.

Tracking and reporting are completed by using the quote or purchase order in a procurement folder. Progress of the estimated completion date or stages off the project would be manually tracked with the Transit Director to determine the progress of the project.

When an invoice is received it would be matched against the quote or purchase order to make sure the project was correct or as quoted for the stage of the billing. The amount is then billed accordingly to whichever grant it pertained to.

FFR's are tracked using an Excel spreadsheet with each tab containing the specific grant number and quarterly and/or annual FFR data. Once the contract is awarded, the spreadsheet will be updated to include the dollar value of contracts awarded, and this amount will be used to report unliquidated obligations (less any grant payments) on the FFR.

Milestone Progress Reports

The MPR's are prepared for each line item in each open grant and must include information on each line item in the grant so the reader can know the history of the project from the time it was approved until the time it was completed. Prior to preparing the report, the preparer should review any comments or notes from the FTA grants manager written in the TrAMS. An updated status should be provided for each line item indicating the progress made on the line during the reporting period, any problem areas and how the problem was solved, information on any delay that has occurred, the reason for such delay and any efforts made to recover from the delay. It should also include information about any IFB, RFP or RFQ that was issued, any contracts that were awarded and any contracts that were completed. Milestone dates in the progress report should be updated as new information becomes available and any time a date is changed or not met, an explanation must be provided.

Federal Grant Closeout

Once all line items in a grant are complete and all ECHO drawdowns are made, a final FFR and MPR is submitted in the TrAMS along with a final budget. The Financial Services Manager Accounting Supervisor is responsible for this as well as any other actions that are necessary to close the grant in the TrAMS. Transit Director and FTA Program Manager will review and approve prior to closeout. Closeout shall take place no later 30 days after than the end of the quarter in which the last drawdown on the grant is made.

YCIPTA must initiate the closeout electronically, by submitting the following information in TrAMS, as part of the closeout process:

Commented [TRO-94]: It appears that this section was added for TC-AM2-1: The YCIPTA must submit to the FTA regional office procedures for tracking and reporting unliquidated obligations. However, this section does not explicitly state that once the contract is awarded, the spreadsheet will be updated to include the dollar value of contracts awarded, and this amount will be used to report unliquidated obligations (less any grant payments) on the FFR. This should be explicitly noted in this section. That's assuming this section was added to address this part of the corrective action and the excel spreadsheet will be used to track this information.

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(1) Confirmation that activities are complete and if closeout Amendment will deobligate any unexpended balance of federal assistance;

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(2) A list of property acquired or improved in support of the Award that will continue to be within the purview of the Grant or Cooperative Agreement;

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(3) A final, reconciled Award Budget reflecting actual Project costs by scope code and activity, reflecting adjustments to the federal and non-federal amounts;

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(4) A final FFR, consistent with the reconciled Award Budget (e.g., deobligation);

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(5) A final narrative MPR indicating the actual completion date of each ALI and a discussion of each ALI contained in the final Award Budget; and

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(6) Any other documentation or reports required as part of the terms and conditions of the Grant or Cooperative Agreement.

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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

November 14, 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 YCIPTA Shelter and Bus Stop
permit status report.

Requested Action: N/A

Background and Summary: Current status of the bus top shelter permit for the shelter install at the Foodbank is still ongoing and should be permitted soon.

Two bus shelters have been installed at 24th St. and 8th Ave that has the artwork installed by the City of Yuma Clean and Beautiful Commission. There was a ribbon cutting ceremony on November 4th at the site. There was a great turnout that included several City Council Members, Clean and Beautiful Commission, Qual Construction and City of Yuma Public Works. It was televised live on Facebook. I sent the board members a link to the video. The City also reached out and asked permission to install artwork on the shelter located on 1st Ave and City Hall. That makes three shelters to so far that can be used as in kind.

Financial Impacts: N/A

Budgeted: Yes

Recommended Motion N/A

Legal Counsel Review: N/A

Attachments: N/A

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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

Shelly Kreger, Transit Director

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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Susan M. Zambrano - Arizona Western College

Shelly Kreger, Transit Director



Monthly YCIPTA Board Meeting Report RATP Dev

Shane Bollar GM RATP Dev USA

11/14/2022

This monthly report is intended to summarize any operations, maintenance, management, finance, or other actions that fall outside of normal operations for YCAT public transit.

- Adopt-A- Street- YCAT Operators, Admin, and Management staff took place in the Adopt a street program on October 1st. We made 16th street shine and showed some great teamwork!
- Annual Mayors Bike Run took place on Saturday, October 22nd and went off without any issues. We had 2 full busses that performed the service and had a back-up bus and driver on standby in case it was needed.
- RATP Dev Corporate Safety Team came in to do Yuma's Annual Safety System Performance Review. The SSPR is a complete assessment of our safety and compliance procedures that reviews Employee Files, Injuries and Accidents, OSHA compliance, facility Security, Maintenance, amongst other categories. We scored well above average across the board and actually had the 2nd best overall score throughout all RATP locations for 2022.
- Communication and Morale Improvements- Incorporated Weekly Huddles, Incentives, and we partnered with YCIPTA staff on a Halloween Costume Contest and potluck on Halloween Day.



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Transit Directors Report October 2022

- Bi-weekly meetings regarding the Hotel Del Sol project with the City of Yuma, SPS+ Architects and other stakeholders.
- Update of corrective action on the Triennial Review. I submitted a request to FTA for an extension on the items until October 30, 2022. FTA is aware that the board meeting was reschedule to November 14th and has allowed for an extension to November 30th in case the board wants any changes made to some of the policies and procedures that were presented today.
- YCIPTA staff update: We have filled the clerk I position and welcomes Michelle Duran. Carol Perez has made a decision regarding the financial position and feels that she would better serve YCIPTA in her previous role as Transit Operations Manager. So we have opened the Financial Services position again on Indeed, Facebook, LinkedIn and other locations.
- Attended Wayne Benesch's retirement party.
- Participated in the ADOT Transit Implementation Workshop for the 5311 funding.

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Susanna M. Zambrano - Arizona Western College

Shelly Kreger, Transit Director



September 2022 - YCAT

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

Solutions for Transit completed its monthly review and sent a final review document to YCIPTA staff on October 06, 2022.

OPERATIONS

Fixed Route

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

	Reported	Scheduled	Difference
Revenue Hours	2,909.8	2,883.9	25.9
Total Hours	3,244.3	3,249.3	(5.0)
Revenue Miles	61,953	62,309	(356)
Total Miles	69,661	69,882	(221)
Passengers per Revenue Hour		10.1	
Passengers per Revenue Mile		0.5	

Demand Response

Following are the actual miles and hours reported by contractor:

Revenue Hours	302.0
Total Hours	384.4
Revenue Miles	4,372
Total Miles	6,745
Average Weekday Revenue Hours	13.8
Passengers per Revenue Hour	2.1
Passengers per Revenue Mile	0.1

OPERATIONS DATABASE

Analysis of Contractor Invoice Data for Accuracy: Solutions for Transit reviewed the entries using a 5% tolerance to determine if the entries need to be corrected or commented. The Over/Under Report represents the **71** entries outside of the tolerance that were adequately commented to explain the difference. All others outside the tolerance were corrected.

There were **9** unreported roadcalls.

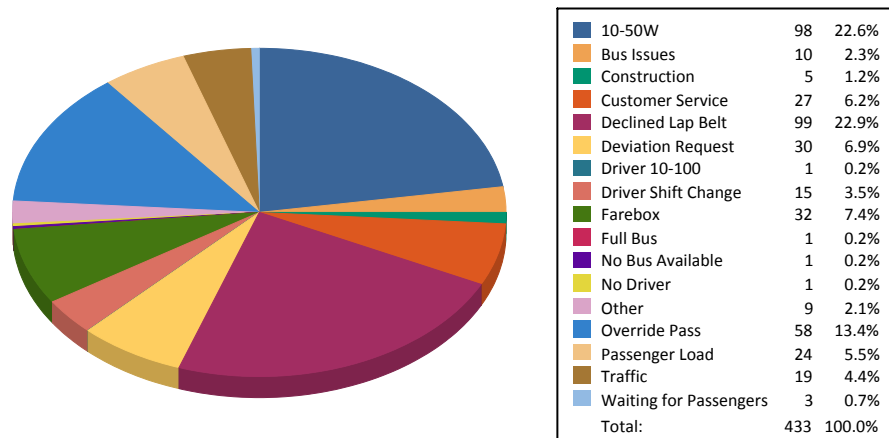
These errors were corrected before we submitted a final review to YCIPTA for billing authorization purposes.

Late to First Stop: There were **158** occurrences where the operator was late to the first stop by 5 minutes or more, resulting in **19 hours 57 minutes** of delayed service.

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

Delays: During the month of September, **433** delays were reported by the contractor. The average delay was **2** minutes. The delays are broken down as follows:

Delays by Category



Customer Comments: During the month of September, **7** complaints were called in. Of these the contractor followed up on **3**. In addition, **0** commendations were called in.

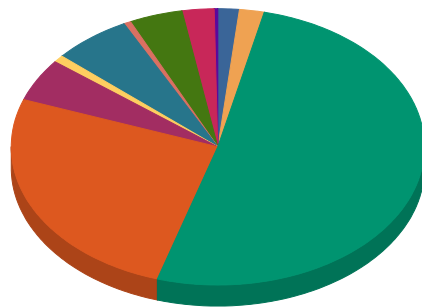
MAINTENANCE

PMIs Completed: There were **14** PMIs completed during the month of September. Of these, **0** were completed late based on the information entered into The Reporting Solution.

- Roadcalls:** There were 16 roadcalls/bus exchanges for the month of September.
- o 9 of these are roadcalls as defined by NTD (the bus did not complete its scheduled service)
 - o **9,037** 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	5	1.8%
Campaign	5	1.8%
DVIR Defect	143	51.3%
Farebox	72	25.8%
PMI	14	5.0%
PMI Defect	2	0.7%
Pullout Complaint	17	6.1%
Recall	2	0.7%
Roadcall	11	3.9%
Safety Inspection	7	2.5%
Safety Inspection Defect	1	0.4%
Total:	279	100.0%

Open Work Orders:

There were **0** 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 2023

Systemwide	Quarter				YTD
	Jul-22	Aug-22	Sep-22	Qtr Total	
Weekday Ridership	16,767	25,934	27,874	70,575	70,575
Saturday Ridership	1,754	1,502	1,615	4,871	4,871
Total Ridership	18,521	27,436	29,489	75,446	75,446
Weekday Revenue Hours	2,642.7	2,879.5	2,703.2	8,225.5	8,225.5
Saturday Revenue Hours	259.1	206.5	206.6	672.2	672.2
Total Revenue Hours	2,901.8	3,086.1	2,909.8	8,897.7	8,897.7
Weekday Total Hours	2,875.2	3,181.3	3,013.0	9,069.5	9,069.5
Saturday Total Hours	289.4	230.1	231.3	750.8	750.8
Total Hours	3,164.6	3,411.4	3,244.3	9,820.3	9,820.3
Weekday Revenue Miles	56,765	62,039	57,760	176,564	176,564
Saturday Revenue Miles	5,323	4,258	4,193	13,774	13,774
Total Revenue Miles	62,088	66,297	61,953	190,338	190,338
Weekday Total Miles	62,094	68,623	64,872	195,589	195,589
Saturday Total Miles	6,040	4,849	4,789	15,678	15,678
Total Miles	68,134	73,472	69,661	211,267	211,267
# Operating Weekdays	20	23	21	64	64
# Operating Saturdays	5	4	4	13	13
# Total Operating Days	25	27	25	77	77
Avg Weekday Ridership	838.3	1,127.6	1,327.3	1,102.7	1,102.7
Avg Saturday Ridership	350.8	375.5	403.8	374.7	374.7
Avg Daily Ridership	740.8	1,016.1	1,179.6	979.8	979.8
Wkday Ridership/Rev Hr	6.3	9.0	10.3	8.6	8.6
Sat Ridership/Rev Hr	6.8	7.3	7.8	7.2	7.2
Avg Weekday Rev Hours	132.1	125.2	128.7	128.5	128.5
Avg Saturday Rev Hours	51.8	51.6	51.7	51.7	51.7
Avg Weekday Rev Miles	2,838	2,697	2,750	2,759	2,759
Avg Saturday Rev Miles	1,065	1,065	1,048	1,060	1,060



RIDERSHIP AND FARES

Period: 9/1/2022 to 9/30/2022

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	Grey-hound	Promo	On Call ID	Aztec	YPIC	Colleges	Cocopa	Vista	WC	Bikes	Guides	
Orange 2	677	352	0	54	22	268	105	16	0	28	1	0	26	15	58	1,339	29	88	10	35	0	3,078
Green 4	329	277	0	82	89	511	271	25	0	15	1	0	21	4	224	82	96	579	5	34	0	2,606
Green 4A	234	233	0	51	45	273	83	20	0	16	0	0	6	4	117	143	69	375	7	25	0	1,669
Blue 5	193	160	1	57	49	324	158	0	0	22	0	0	71	1	43	23	31	8	21	56	0	1,140
Purple 6	284	160	0	55	64	153	68	3	0	31	0	0	49	10	15	21	814	59	14	68	0	1,786
Gold 8	44	25	15	21	5	19	6	0	0	2	0	0	2	0	0	121	0	16	5	16	0	261
Silver 9	84	18	0	15	1	13	59	2	0	1	0	0	0	0	14	1,090	0	3	1	47	0	1,300
Turquoise 10	163	2	0	1	4	0	0	0	0	2	0	0	0	5	0	0	0	0	1	1	0	177
Yellow 95	6,248	4,467	4	442	231	1,313	1,750	234	0	369	2	0	112	40	241	1,404	229	389	53	318	3	17,471
Grand Total:	8,257	5,694	20	778	510	2,874	2,500	300	0	486	4	0	287	79	712	4,223	1,268	1,517	117	600	3	29,489

REVENUE:

Total Revenue: \$26,472.47
 Unclassified Revenue: \$709.04
 As a % of Total: 2.68%



TOTAL MILES AND HOURS BY ROUTE September 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						
Green Route 4	285.7	16.7	302.4	4,809	209	5,018
Green Route 4A	232.7	13.8	246.5	4,076	198	4,274
Blue Route 5	256.6	6.8	263.4	6,188	203	6,391
Purple Route 6	491.5	35.0	526.6	10,778	759	11,537
Gold Route 8	64.0	40.6	104.6	1,907	1,038	2,945
Silver Route 9	95.6	91.8	187.4	3,170	2,359	5,529
Turquoise Route 10	68.4	10.3	78.8	2,979	144	3,123
Yellow Route 95	1,061.2	77.3	1,138.5	21,384	2,498	23,882

Totals for September 2022			
Total Hours	3,244.30	Total Miles	69,661
Revenue Hours	2,909.83	Revenue Miles	61,953
Non-Revenue Hours	334.47	Non-Revenue Miles	7,708



OPERATING SUMMARY - On-Call Fiscal Year 2023

	Quarter				YTD
	Jul-22	Aug-22	Sep-22	Qtr	
Weekday Ridership	486	657	586	1,729	1,729
Saturday Ridership	10	19	27	56	56
Total Ridership	496	676	613	1,785	1,785
Weekday Revenue Hours	228.0	334.1	289.7	851.8	851.8
Saturday Revenue Hours	4.6	10.3	12.3	27.3	27.3
Total Revenue Hours	232.7	344.4	302.0	879.1	879.1
Weekday Total Hours	303.3	411.9	367.3	1,082.5	1,082.5
Saturday Total Hours	7.6	15.8	17.2	40.6	40.6
Total Hours	310.9	427.7	384.4	1,123.0	1,123.0
Weekday Revenue Miles	3,798	5,061	4,186	13,045	13,045
Saturday Revenue Miles	70	132	186	388	388
Total Revenue Miles	3,868	5,193	4,372	13,433	13,433
Weekday Total Miles	5,391	7,162	6,419	18,972	18,972
Saturday Total Miles	202	242	326	770	770
Total Miles	5,593	7,404	6,745	19,742	19,742
# Operating Weekdays	20	23	21	64	64
# Operating Saturdays	4	4	3	11	11
# Total Operating Days	24	27	24	75	75
Avg Weekday Ridership	24.3	28.6	27.9	27.0	27.0
Avg Saturday Ridership	2.5	4.8	9.0	5.1	5.1
Avg Daily Ridership	20.7	25.0	25.5	23.8	23.8
Wkday Ridership/Rev Hr	2.1	2.0	2.0	2.0	2.0
Sat Ridership/Rev Hr	2.2	1.8	2.2	2.1	2.1
Avg Weekday Rev Hours	11.4	14.5	13.8	13.3	13.3
Avg Saturday Rev Hours	1.2	2.6	4.1	2.5	2.5
Avg Weekday Rev Miles	190	220	199	204	204
Avg Saturday Rev Miles	18	33	62	35	35



PMIs COMPLETED

Period: 9/1/2022 - 9/30/2022

Bus #	Interval	Mileage at Previous PMI	Mileage at PMI	Miles Since Last PMI	On-Time	PMI
1	4000 miles	7,334	10,990	3,656	On Time	A-4
204	6000 miles	201,605	207,010	5,405	On Time	C
205	6000 miles	190,365	195,972	5,607	On Time	A-5
207	6000 miles	23,442	29,064	5,622	On Time	A-5
209	6000 miles	11,659	17,105	5,446	On Time	B
210	6000 miles	12,097	17,620	5,523	On Time	B
211	6000 miles	6,400	12,091	5,691	On Time	A-3
212	6000 miles	6,139	11,586	5,447	On Time	A-3
250	6000 miles	11,918	17,418	5,500	On Time	B
251	6000 miles	23,647	29,227	5,580	On Time	A-5
301	4000 miles	164,775	168,583	3,808	On Time	A-5
303	4000 miles	55,192	58,836	3,644	On Time	A-4
351	4000 miles	123,885	127,617	3,732	On Time	A-2
1101	4000 miles	88,758	92,427	3,669	On Time	B-2

PMIs Completed: 14

On Time: 14 100.0%
Early: 0 0.0%
Late: 0 0.0%

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



October 2022 - YCAT

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

Solutions for Transit completed its monthly review and sent a final review document to YCIPTA staff on November 04, 2022.

OPERATIONS

Fixed Route

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

	Reported	Scheduled	Difference
Revenue Hours	2,978.1	2,944.2	33.8
Total Hours	3,321.8	3,320.6	1.2
Revenue Miles	63,385	63,721	(336)
Total Miles	71,433	71,598	(165)
Passengers per Revenue Hour		10.5	
Passengers per Revenue Mile		0.5	

1.79 revenue hours of special service was run for the Mayor's Bike Run.

Demand Response

Following are the actual miles and hours reported by contractor:

Revenue Hours	300.0
Total Hours	368.8
Revenue Miles	4,346
Total Miles	6,228
Average Weekday Revenue Hours	13.5
Passengers per Revenue Hour	2.1
Passengers per Revenue Mile	0.1

OPERATIONS DATABASE

Analysis of Contractor Invoice Data for Accuracy: Solutions for Transit reviewed the entries using a 5% tolerance to determine if the entries need to be corrected or commented. The Over/Under Report represents the **83** entries outside of the tolerance that were adequately commented to explain the difference. All others outside the tolerance were corrected.

There were **4** unreported roadcalls.

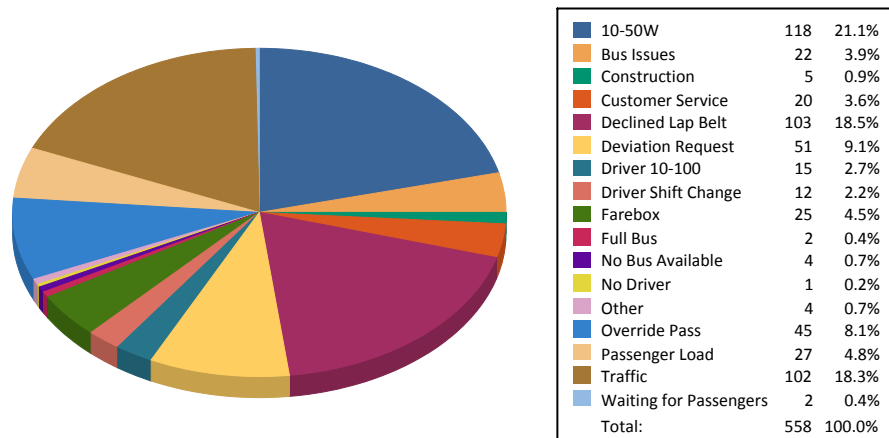
These errors were corrected before we submitted a final review to YCIPTA for billing authorization purposes.

Late to First Stop: There were **186** occurrences where the operator was late to the first stop by 5 minutes or more, resulting in **20 hours 52 minutes** of delayed service.

Logging Out Early: There were **3** occurrences where the operator logged off before the end of revenue service totaling **0 hours 55 minutes** of unaccounted revenue time.

Delays: During the month of October, **558** delays were reported by the contractor. The average delay was **3** minutes. The delays are broken down as follows:

Delays by Category



Customer Comments: During the month of October, **15** complaints were called in. Of these the contractor followed up on **6**. In addition, **0** commendations were called in.

MAINTENANCE

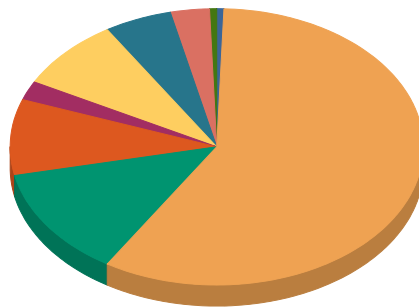
PMIs Completed: There were **19** PMIs completed during the month of October. Of these, **0** were completed late based on the information entered into The Reporting Solution.

Roadcalls: There were 13 roadcalls/bus exchanges for the month of October.

- o **8** of these are roadcalls as defined by NTD (the bus did not complete its scheduled service)
- o **9,868** 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	1	0.5%
DVIR Defect	130	58.6%
Farebox	28	12.6%
PMI	20	9.0%
PMI Defect	5	2.3%
Pullout Complaint	18	8.1%
Roadcall	12	5.4%
Safety Inspection	7	3.2%
Warranty	1	0.5%
Total:	222	100.0%

Open Work Orders:

There were **0** 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 2023

Systemwide

	Quarter				Quarter		YTD
	Jul-22	Aug-22	Sep-22	Qtr Total	Oct-22	Qtr Total	
Weekday Ridership	16,767	25,934	27,874	70,575	28,982	28,982	99,557
Saturday Ridership	1,754	1,502	1,615	4,871	2,326	2,326	7,197
Total Ridership	18,521	27,436	29,489	75,446	31,308	31,308	106,754
Weekday Revenue Hours	2,642.7	2,879.5	2,702.6	8,224.9	2,719.7	2,719.7	10,944.6
Saturday Revenue Hours	259.1	206.5	206.6	672.2	260.1	260.1	932.4
Total Revenue Hours	2,901.8	3,086.1	2,909.2	8,897.1	2,979.9	2,979.9	11,877.0
Weekday Total Hours	2,875.2	3,181.3	3,010.4	9,067.0	3,033.1	3,033.1	12,100.1
Saturday Total Hours	289.4	230.1	231.3	750.8	293.4	293.4	1,044.2
Total Hours	3,164.6	3,411.4	3,241.8	9,817.8	3,326.5	3,326.5	13,144.2
Weekday Revenue Miles	56,765	62,039	57,760	176,564	58,095	58,095	234,659
Saturday Revenue Miles	5,323	4,258	4,193	13,774	5,330	5,330	19,104
Total Revenue Miles	62,088	66,297	61,953	190,338	63,425	63,425	253,763
Weekday Total Miles	62,094	68,623	64,872	195,589	65,442	65,442	261,031
Saturday Total Miles	6,040	4,849	4,789	15,678	6,097	6,097	21,775
Total Miles	68,134	73,472	69,661	211,267	71,539	71,539	282,806
# Operating Weekdays	20	23	21	64	21	21	85
# Operating Saturdays	5	4	4	13	5	5	18
# Total Operating Days	25	27	25	77	26	26	103
Avg Weekday Ridership	838.3	1,127.6	1,327.3	1,102.7	1,380.1	1,380.1	1,171.3
Avg Saturday Ridership	350.8	375.5	403.8	374.7	465.2	465.2	399.8
Avg Daily Ridership	740.8	1,016.1	1,179.6	979.8	1,204.2	1,204.2	1,036.4
Wkday Ridership/Rev Hr	6.3	9.0	10.3	8.6	10.7	10.7	9.1
Sat Ridership/Rev Hr	6.8	7.3	7.8	7.2	8.9	8.9	7.7
Avg Weekday Rev Hours	132.1	125.2	128.7	128.5	129.5	129.5	128.8
Avg Saturday Rev Hours	51.8	51.6	51.7	51.7	52.0	52.0	51.8
Avg Weekday Rev Miles	2,838	2,697	2,750	2,759	2,766	2,766	2,761
Avg Saturday Rev Miles	1,065	1,065	1,048	1,060	1,066	1,066	1,061



RIDERSHIP AND FARES

Period: 10/1/2022 to 10/31/2022

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	770	414	0	70	19	309	171	18	0	22	4	2	25	10	39	1,547	27	67	6	69	0	3,514
Green 4	330	289	0	86	90	501	343	5	0	4	1	0	21	1	130	116	84	804	3	24	0	2,805
Green 4A	224	227	0	54	55	271	112	13	0	37	0	1	11	1	109	139	54	468	9	35	0	1,776
Blue 5	206	174	0	64	63	354	235	0	0	25	0	0	71	1	41	57	34	12	11	61	0	1,337
Purple 6	253	182	0	45	59	158	76	17	0	31	0	0	66	2	12	34	913	74	30	66	0	1,922
Gold 8	35	19	21	24	4	16	9	0	0	1	0	0	0	1	0	117	2	13	1	9	0	241
Silver 9	75	25	0	13	1	13	69	11	0	3	0	0	1	0	14	1,167	0	0	0	42	0	1,392
Turquoise 10	150	0	0	0	0	0	0	0	0	1	0	0	2	0	0	0	0	0	0	3	1	153
Yellow 95	7,100	4,747	0	468	249	1,306	1,688	176	0	203	0	5	108	10	218	1,282	152	422	61	309	0	18,134
Specials	0	0	0	0	0	0	0	0	0	34	0	0	0	0	0	0	0	0	0	33	0	34
Grand Total:	9,143	6,077	21	824	540	2,928	2,703	240	0	361	5	8	305	26	563	4,459	1,266	1,860	121	651	1	31,308

REVENUE:

Total Revenue: \$29,062.58
 Unclassified Revenue: \$851.52
 As a % of Total: 2.93%



TOTAL MILES AND HOURS BY ROUTE October 2022

Route	Revenue Hours	Non-Rev Hours	Total Hours	Revenue Miles	Non-Rev Miles	Total Miles
Orange Route 2	360.2	42.0	402.2	6,784	312	7,096
Brown Route 3						
Green Route 4	292.0	17.1	309.1	4,898	219	5,117
Green Route 4A	234.9	14.4	249.4	4,052	205	4,257
Blue Route 5	262.0	7.7	269.7	6,407	209	6,616
Purple Route 6	498.5	35.5	534.0	10,945	744	11,689
Gold Route 8	64.5	41.2	105.6	1,964	1,037	3,001
Silver Route 9	102.4	95.4	197.8	3,300	2,542	5,842
Turquoise Route 10	73.7	11.2	84.9	3,222	167	3,389
Yellow Route 95	1,089.7	79.3	1,169.1	21,813	2,613	24,426
Specials	1.8	2.9	4.7	40	66	106

Totals for October 2022			
Total Hours	3,326.47	Total Miles	71,539
Revenue Hours	2,979.90	Revenue Miles	63,425
Non-Revenue Hours	346.57	Non-Revenue Miles	8,114



OPERATING SUMMARY - On-Call Fiscal Year 2023

	Quarter				Quarter		YTD
	Jul-22	Aug-22	Sep-22	Qtr	Oct-22	Qtr	
Weekday Ridership	486	657	586	1,729	597	597	2,326
Saturday Ridership	10	19	27	56	39	39	95
Total Ridership	496	676	613	1,785	636	636	2,421
Weekday Revenue Hours	228.0	334.1	289.7	851.8	283.3	283.3	1,135.1
Saturday Revenue Hours	4.6	10.3	12.3	27.3	16.7	16.7	44.0
Total Revenue Hours	232.7	344.4	302.0	879.1	300.0	300.0	1,179.1
Weekday Total Hours	303.3	411.9	367.3	1,082.5	348.2	348.2	1,430.7
Saturday Total Hours	7.6	15.8	17.2	40.6	20.6	20.6	61.1
Total Hours	310.9	427.7	384.4	1,123.0	368.8	368.8	1,491.8
Weekday Revenue Miles	3,798	5,061	4,186	13,045	4,065	4,065	17,110
Saturday Revenue Miles	70	132	186	388	281	281	669
Total Revenue Miles	3,868	5,193	4,372	13,433	4,346	4,346	17,779
Weekday Total Miles	5,391	7,162	6,419	18,972	5,766	5,766	24,738
Saturday Total Miles	202	242	326	770	462	462	1,232
Total Miles	5,593	7,404	6,745	19,742	6,228	6,228	25,970
# Operating Weekdays	20	23	21	64	21	21	85
# Operating Saturdays	4	4	3	11	5	5	16
# Total Operating Days	24	27	24	75	26	26	101
Avg Weekday Ridership	24.3	28.6	27.9	27.0	28.4	28.4	27.4
Avg Saturday Ridership	2.5	4.8	9.0	5.1	7.8	7.8	5.9
Avg Daily Ridership	20.7	25.0	25.5	23.8	24.5	24.5	24.0
Wkday Ridership/Rev Hr	2.1	2.0	2.0	2.0	2.1	2.1	2.0
Sat Ridership/Rev Hr	2.2	1.8	2.2	2.1	2.3	2.3	2.2
Avg Weekday Rev Hours	11.4	14.5	13.8	13.3	13.5	13.5	13.4
Avg Saturday Rev Hours	1.2	2.6	4.1	2.5	3.3	3.3	2.7
Avg Weekday Rev Miles	190	220	199	204	194	194	201
Avg Saturday Rev Miles	18	33	62	35	56	56	42



PMIs COMPLETED

Period: 10/1/2022 - 10/31/2022

Bus #	Interval	Mileage at Previous PMI	Mileage at PMI	Miles Since Last PMI	On-Time	PMI
2	4000 miles	92	3,719	3,627	On Time	A-2
150	5000 miles	141,818	146,442	4,624	On Time	A-2
202	6000 miles	197,585	203,169	5,584	On Time	A-4
203	6000 miles	224,453	229,930	5,477	On Time	A-1
205	6000 miles	195,972	201,513	5,541	On Time	A-6
206	6000 miles	176,182	181,619	5,437	On Time	A-4
207	6000 miles	29,064	34,798	5,734	On Time	A-6
209	6000 miles	17,105	22,865	5,760	On Time	A-4
210	6000 miles	17,620	23,344	5,724	On Time	A-4
211	6000 miles	12,091	17,627	5,536	On Time	B
250	6000 miles	17,418	22,838	5,420	On Time	A-4
251	6000 miles	29,227	34,922	5,695	On Time	A-6
300	4000 miles	158,457	162,336	3,879	On Time	A-2
301	4000 miles	168,583	172,427	3,844	On Time	A-6
302	4000 miles	113,018	116,764	3,746	On Time	A-6
303	4000 miles	58,836	62,488	3,652	On Time	B-1
351	4000 miles	127,617	131,405	3,788	On Time	A-3
351	4000 miles	131,405	135,209	3,804	On Time	A-4
1102	4000 miles	84,486	88,220	3,734	On Time	B-2

PMIs Completed: 19

On Time: 19 100.0%

Early: 0 0.0%

Late: 0 0.0%

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