

FINAL REPORT

**FISCAL YEAR 2022
TRIENNIAL REVIEW**

of

**North County Transit District
(NCTD)
Oceanside, California
ID: 1690**

Performed for:

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

Prepared By:

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I. Executive Summary

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

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

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

Deficiencies were found in the areas listed below.

Review Area	Deficiencies	
	Code	Description
Financial Management & Capacity (F)	F3-1	Financial management systems deficiencies
	F4-1	ECHO documentation deficient
Technical Capacity – Project Management (TC-PjM)	TC-PjM1-1	Delay/cost overrun due to project implementation
Satisfactory & Continuing Control (SCC)	SCC8-5	Inadequate property control system

II. Review Background and Process

1. Background

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

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

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

2. Process

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

The Fiscal Year (FY) 2022 process began with the regional office transmitting, a recipient information request (RIR) to NCTD on November 23, 2021 indicating a review would be conducted. While NCTD prepared its response to the RIR, the regional office and review team conducted a desk review and scoping meetings on March 1, 2022. Necessary files retained by the regional office were sent to the Reviewer electronically. Following the desk review and scoping meeting, the Reviewer and the recipient corresponded and exchanged information and documentation in preparation for the virtual site visit. As a result of this review, an agenda package indicating the issues that would be discussed, records to be reviewed, and interviews to be conducted was then sent to the NCTD on March 14, 2022. The virtual site visit occurred March 28 through April 1, 2022.

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

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

3. Metrics

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

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

III. Recipient Description

1. North County Transit District

On September 20, 1975, the North San Diego County Transit Development Board was created by California Senate Bill (SB) Number 802. In January 2006, it was renamed the North County Transit District (NCTD). NCTD was created to plan, construct, and operate directly, or through a contractor-public transit in its area of jurisdiction.

NCTD provides bus, complementary paratransit, and train service for people in the northern part of San Diego County. This includes the cities of Carlsbad, Del Mar, Encinitas, Escondido, Oceanside, San Marcos, Solana Beach, and Vista, as well as the rural areas of Fallbrook and Ramona, Camp Pendleton Marine Corps Base and unincorporated areas of North San Diego County. NCTD owns the coastal rail corridor from the Orange County line to the northern border of the City of San Diego and operates commuter rail service on this line from Oceanside to Santa Fe Depot in downtown San Diego. The total population of NCTD's 1,020 square mile service area is approximately 971,000 persons.

In January 2006, the North San Diego County Transit Development Board was renamed to the North County Transit District. SANDAG is the San Diego region's Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA). Prior to Senate Bill (SB) 1703 (Public Utilities Code Section 132350 et seq.) becoming law in 2002, NCTD and the San Diego Metropolitan Transit System (MTS) were transit development boards that planned, designed, and constructed all of their own projects. SB 1703 called for consolidation of the programming, planning, design, and construction functions for regionally significant transit and rail projects to be consolidated for NCTD, MTS, and carried out by SANDAG. Following construction of the projects, SANDAG transfers ownership of the facilities needed for operations to NCTD or MTS. The intent of SB 1703 was to "improve the efficiency and effectiveness of implementing needed transportation infrastructure".

Pursuant to SB 1703, SANDAG, NCTD and MTS entered into a Master MOU to memorialize how the three agencies would coordinate with each other. It was agreed that SANDAG would become the direct recipient for the funding of all large capital projects for the region, while NCTD and MTS remained direct recipients of federal funds related to operations and maintenance. Thus, all three agencies are direct recipients of FTA and all must undergo compliance monitoring by FTA. Addendum 24 to the Master MOU between SANDAG, NCTD, and MTS addresses the allocation of responsibility between the parties for compliance with federal grant funding obligations. Addendum 24 recognizes that each agency is a direct recipient of federal funding and has executed grant agreements with applicable federal agencies under which they have independently agreed to comply with federal funding agency obligations (Compliance Monitoring); and direct recipients of federal funding are typically responsible under the terms of their federal grant agreements for carrying out Compliance Monitoring for their contractors and/or subrecipients, however, doing so in a situation in which all three agencies are separately responsible directly to FTA would be a duplication of efforts and a waste of public funds.

The operative provision of Addendum 24 states:

"When all three Agencies have direct recipient status with a federal funding agency and as such have executed agreements binding them, respectively, to comply with federal funding agency requirements found in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200), the Agencies agree they shall be responsible directly to the federal funding agency for their respective compliance. The Agencies will not have Compliance Monitoring responsibilities for each other."

Transit Services

Fixed Route, Demand Response, Route Deviation, and ADA Complementary Paratransit Service

The BREEZE's 30 fixed routes provide service on weekdays from approximately 4:00 a.m. to 12:15 a.m. Saturday service is operated from approximately 4:00 a.m. to 12:00 a.m. Sunday service operates from approximately 4:30 a.m. to 12:00 a.m.

The service hours for FLEX paratransit deviated fixed route are from approximately 5:00 a.m. to 8:30 p.m. Monday through Friday and from approximately 5:30 a.m. to 7:15 p.m. on weekends. Due to changes in running times on routes and connections with other services, service span can change by a few minutes in either direction.

The LIFT ADA complementary paratransit service operates during the same days and hours of service as the BREEZE fixed-route bus service.

There are 152 FTA-funded buses in the BREEZE fleet. The LIFT service provides ADA complementary paratransit service with 42 vehicles. The FLEX service consists of three (3) routes using eight (8) NCTD vehicles. MV Transportation also subcontracts a limited number of trips to meet demand and increase efficiencies.

The basic adult fare for the BREEZE is \$2.50. A reduced fare of \$1.25 is offered to seniors (60 years- old and above), persons with disabilities, and Medicare cardholders during all hours. The fares for FLEX service are \$5.00 for adults and \$2.50 for seniors, persons with disabilities, and Medicare cardholders. The LIFT ADA fare is \$5.00 per trip.

The BREEZE, LIFT, and FLEX services are operated by MV Transportation, Inc. from two maintenance garages. The West Division is located in Oceanside and the East Division is located in Escondido. NCTD has two administration/office buildings located in Oceanside: 810 Mission Avenue and 311 South Tremont Street.

COASTER and SPRINTER Rail Service

The COASTER is a north-south commuter rail service that operates with tenant railroads-Amtrak, Metrolink, and BNSF freight services, utilizing 41.0 miles of track linking Oceanside to Downtown San Diego, with eight rail stations. In Oceanside, the COASTER connects with the BREEZE, FLEX, SPRINTER, RTA Commuterlink, Greyhound, Amtrak, and Metrolink. In San Diego, the COASTER connects with the MTS bus, MTS Trolley, and MTS Rapid Bus.

The COASTER service operates seven days a week, from approximately 5:00 a.m. to 8:15 p.m. on weekdays, and approximately 8:30 a.m. to 8:15 p.m. on weekends. The COASTER also operates extended hours on Friday and Saturday in the summer. The COASTER fare is determined by how many zones a customer travels. The basic fare ranges from \$5.00 to \$6.50 with a reduced fare ranging from \$2.50 to \$3.25 for seniors, persons with disabilities, and Medicare cardholders.

The COASTER has seven (7) diesel locomotives, 10 cab cars, and 18 coach cars and its operations facility is located in Camp Pendleton at the Stuart Mesa Operations and Maintenance Facility.

The SPRINTER, a hybrid rail service, operating east-west on 22.0 miles of track that links Escondido to Oceanside and serves 15 stations. In Escondido, the SPRINTER connects with the BREEZE, FLEX, MTS Rapid bus, MTS Rapid Express, Greyhound, and RTA Commuterlink services. In Oceanside, the SPRINTER connects with the COASTER, Metrolink, Amtrak, BREEZE, Riverside Transit Agency, and Greyhound. The SPRINTER service operates seven days a week, from approximately 4:03 a.m. to 9:26 p.m., with similar service hours on Saturdays and Sundays. The basic SPRINTER fare is \$2.50 with a reduced fare of \$1.25 for seniors, persons with disabilities, and Medicare cardholders.

NCTD is responsible for 82.6 miles of rail right-of-way. This includes 22.0 miles of SPRINTER track; 0.4 miles of track east of Escondido Transit Center used primarily by freight; and 60.6 miles of track along the main north-south line between Orange County and the northern border of the City of San Diego. The SPRINTER has 12 Diesel Multiple Units (DMUs) and its Operations Facility is located at 1021 W. Washington Boulevard in Escondido.

The COASTER and the SPRINTER are operated by Bombardier Transportation (Holdings) USA, Inc. (Bombardier).

2. Award and Project Activity

Below is a list of NCTD's open awards at the time of the review.

Federal Award Identification Number	Award Amount	Year Executed	Award Name
CA-2020-235-00	\$20,155,636	2020	5307 Revenue Vehicle Replacement, Capital Improvement & Preventive Maintenance - FTIP 18-13
CA-2021-205-00	\$1,850,450	2021	5337 Capital & Preventive Maintenance 5339 FFY21 BUS Engines, Transmissions and Fareboxes
CA-2017-133-00	\$11,045,921	2017	FFY 2017 5337 State of Good Repair
CA-90-Z241-00	\$11,528,711	2015	FFY15 CAPITAL PROJECTS AND PM
CA-2019-084-00	\$20,074,258	2019	5307 Capital & Preventive Maintenance FFYs 2018\$ & 2019\$
CA-2017-134-00	\$18,258,939	2018	FFY17 5307 Capital Projects and PM
CA-2016-113-00	\$14,461,489	2016	FFY16 CAPITAL PROJECTS AND PM
CA-90-Y874-02	\$17,122,340	2014	CAPITAL AND PLANNING FY11
CA-2017-021-01	\$13,807,400	2019	FFY16 Rail State of Good Repair
CA-2019-090-00	\$15,039,361	2019	5337 Capital & Preventive Maintenance FFYs 2016\$, 2018\$ & 2019\$
CA-2021-216-00	\$6,737,447	2021	5337 FY21 Capital Projects and Preventive Maintenance
CA-2019-005-01	\$18,678,984	2019	5307 - Facility/Vehicle Rehab, Shelters, PM, Planning - FY2018\$
CA-2020-275-00	\$10,545,555	2020	5337 Capital & Preventive Maintenance FFY20 - FTIP 18-13
CA-90-Z096-00	\$5,704,329	2013	CAPITAL AND PLANNING FY13
CA-2019-010-00	\$1,694,283	2019	5339 - Facility Rehab/Improvements, Admin IT - FY2018\$
CA-2020-026-00	\$1,206,518	2020	5339(b) Zero Emission Bus Purchase

NCTD received supplemental funds for operating assistance in award number CA-2020-069. This is NCTD's first time receiving operating assistance from the FTA.

Projects Completed

In the past few years, NCTD completed the following noteworthy projects:

- **Bus Stop Improvements (FTA):** Improvement of 14 bus stops throughout the cities of Oceanside, Vista, and Escondido. This work included removal of existing bus stop amenities, demolition of pre-existing concrete, disposal of demolished materials, installation of new concrete, and installation of new bus stop amenities.

- Bus Stop Signs (FTA): Project included replacement of 1,602 bus stop signs located at existing bus stop locations throughout the NCTD service area. The project provided general bus stop signs and sign blades with improved route information consistent with NCTD’s wayfinding program.
- Poinsettia Station Improvements (FTA): Project included constructing a new pedestrian underpass and closing the two existing at-grade pedestrian crossings to enhance safety. The existing railroad tracks were re-aligned farther to the west. The station platforms were removed and replaced. The new platforms are wider, accommodate level boarding, and were lengthened to a total length of one thousand feet.
- Del Mar Bluffs-4 Stabilizations (FTA): Project included various drainage improvements including repair and replacement of a drainage channel on top of the bluff east of the track-bed, support of an existing drainage chute outfall, and construction of a new drainage headwall on the beach, and installation of four new track stabilizing soldier piles. Additionally, the work included the construction of new pile supports for three existing sea walls, construction of a pile and lagging wall to support an existing access road at Anderson Canyon, repair of existing walls supporting drainage channels along the right of way, localized slope stabilization and regrading of the access path along the tracks.
- Class C and V ADA Vehicles (FTA): These two projects replaced 26 Complementary Paratransit vehicles that had reached the end of their useful life with new vehicles. The new vehicles are equipped with digital camera systems as well as non-registering fareboxes (both are new to the Paratransit fleet).
- CNG Bus Replacements (FTA): NCTD has ordered 70 replacement heavy-duty full-size CNG buses since the last Comprehensive Review. 44 of the 70 buses have been placed into service. The remaining 26 buses are anticipated to be in service by the end of February 2022.
- Solana Beach Elevator (FTA): Repair and renovation of the two (2) existing elevators located at Solana Beach COASTER Station. Work included repairs and renovations to bring the existing elevators into compliance with current passenger elevator codes, as well as mitigation of corrosion, elevator pit oil and water accumulation.
- Solana Beach Landscape (FTA): Installation and maintenance of slope stabilization and erosion control.

Ongoing Projects

NCTD is currently implementing the following noteworthy projects:

- Platform Electronic Signs (FTA): Project includes installation of horizontal electronic signage at all North County Transit District (NCTD) SPRINTER and COASTER station platforms conforming with the Capital Corridor California Passenger Information System (CALPIDS).
- CNG Station (FTA): Project includes design-build-operate-maintain agreement for capital upgrades and operations and maintenance of NCTD’s existing CNG fuel stations at the BREEZE Operations East and West facilities.

- Battery Electric Bus Infrastructure: Project includes the redevelopment of the “Wonder Bread Lot” and installation of battery electric bus (BEB) chargers for up to twelve (12) BEBs at the “Remote Lot” at the NCTD BREEZE Operations East Division in Escondido, CA. Work at the Wonder Bread Lot includes demolition of existing foundations of previous site structure, removal and replacement of site pavement including new striping and signage, site regrading and best management practices (BMP) installation, relocating the driveway apron along Norlak Avenue with a new vehicle gate, new site walls, new landscaping and irrigation, new site lighting, new electrical equipment and connections, and removal of two driveway aprons along Quince St and one along Norlak Avenue. Work at the Remote Lot includes restriping of the bus stalls directly adjacent to the new BEB charging equipment, and installation of BEB charging equipment.
- Battery Electric Buses (BEB) (FTA): Project replaces the last six diesel buses in the NCTD fleet with six battery electric buses. These will be the first Zero Emissions buses in NCTD’s fleet. Buses are expected to be delivered in Summer 2022.
- Hydrogen Fueling Station: Project to design, build, operate, and maintain (DBOM) a hydrogen fueling station to support up to fifty (50) fuel cell electric buses (FCEB) at NCTD BREEZE Operations West Division in Oceanside, CA.
- Bridge 208.6 Repairs (FTA): Project includes replacement of the bridge bearings under Spans 5 through 7, replacement of Span 4 with new steel structural members, retirement of the existing timber Spans 1 and 2, and replacement of the rail across the limits of the entire bridge.
- Convention Center Platform (FTA): Project includes site investigation, survey and preliminary design resulting in a Preliminary Design package which will include a set of plans and engineering cost estimates reflecting a 30% design level of effort for a new passenger platform near the Convention Center in downtown San Diego. The task order also includes Environmental reporting to supporting project permitting.
- OTC Pedestrian Crossing (FTA): The project will construct a new at-grade pedestrian crossing connecting the existing SPRINTER platform walkway to Platform 3. The project will also include railroad warning devices and safety signage. The project will provide better connectivity between Oceanside Transit Center’s parking lot and the COASTER platform.
- SPRINTER 15-Minute Headway Improvements (FTA): Project includes Project Study Report (PSR) and up to 30% design to support the infrastructure improvements necessary to increase SPRINTER service from every 30-minutes to every 15-minutes.
- Replacement of Railroad Crossing Control Legacy Equipment (FTA): This program will update and modernize legacy crossing control equipment to improve railroad reliability and replace materials that are no longer supported by the original equipment manufacturer.
- Signal Optimization (FTA): The signal optimization program includes the upgrade and replacement of obsolete components and signaling infrastructure to maintain a state of good repair, allowing for the safe efficient movement of trains. The equipment and optimization will provide a more reliable signaling system with improved capabilities for monitoring, reporting and maintenance programs.

- SPRINTER Powerpack Overhaul (FTA): The project involves the tear down, cleaning, inspection, and reassembly of the MTU Diesel Powerpacks that are the main propulsion drive of the Siemens Desiro Diesel Multiple Unit (DMU).
- Redundant Fiber Network: Provides a secondary path of communication between the signaling infrastructure on the right-of-way and the dispatch control network, to ensure continuity of operations. It also provides for future upgrades for the monitoring and reporting of the signal equipment.
- Fare Collection System (FTA): NCTD in collaboration with the San Diego Metropolitan Transit System and the San Diego Association of Governments implemented a new fare collection system that provides enhanced functionality to include fare capping. The project included the replacement of onboard and ticket vending machines.
- Bus Wash Replacement (FTA): This project includes the removal and replacement of the existing bus wash systems, installed in 1990 at BREEZE Operations West facility and in 1980 at the BREEZE Operations East facility, that have surpassed their useful life.
- Fareboxes (FTA): This project replacement of fareboxes on the fixed-route fleet. The current fareboxes have reached the end of life. The new fareboxes continue to be registering (cash counting) type fareboxes with a greatly improved Operator and Passenger facing interface. Additionally, the new fareboxes will be integrated with the CAD/AVL and the New Fare Collection systems to provide enhanced information that supports fare management and operations.

Future Projects

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

- SONGS Double Track: Project extends double tracking northward from the existing CP Songs (MP 209.18 to MP 207.7). The project will also replace the southern timber section of Bridge 207.6 and Bridge 207.8. A second bridge will be constructed at MP 208.6 as well as retaining walls as necessary to support the widened track berm.
- Fuel Cell Electric Buses (FCEB): The project will replace the 8 oldest CNG buses in the fleet with 8 Hydrogen Fuel Cell Electric Buses. These buses will be the first FCEB in the NCTD fleet.
- San Onofre House Track – No. 10 Turnout Replacement: This project entails the removal of the existing #10 LHTO and in-kind replacement of the removed turnout to include a complete switch package. The turnout at San Onofre MT (MP 208.6) was installed in 1992 and has reached the end of its useful life. The turnout requires frequent maintenance and is in need of replacement to maintain the railroad in a state of good repair.
- Bridge 257.2 Replacement: This project replaces a 100-year-old, timber trestle, double-track bridge prioritized for replacement due to its age, as well as that the bridge, from a hydraulic standpoint, is below the 100-year flood plain.

- Right-of-Way Fencing (FTA for Oceanside and Encinitas; Del Mar is 100% local): This project will install right of way fencing in high trespassing locations within the right of way that contribute up to 73% of the trespasser strikes on NCTD's San Diego Subdivision. These locations are in the cities of Oceanside, Encinitas, and Del Mar.
- SOF – Gas Detection System Refurbishment (FTA): This project will upgrade the existing gas/methane detection system to monitor the maintenance workshop areas exposed to methane gas in compliance with Occupational Safety and Health Administration (OSHA) at the Sprinter Operations Facility (SOF).
- Signal Control Replacement – HXP3 Phase 5: This program will update and modernize legacy crossing control equipment on the San Diego Subdivision to ensure a state of good repair and protect the signal maintenance program from obsolescence of materials, as they are no longer supported by the OEM.

IV. Results of the Review

1. Legal

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

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

2. Financial Management and Capacity

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

Finding: During this Triennial Review of NCTD, two (2) deficiencies were found with the FTA requirements for Financial Management and Capacity.

Deficiency Description #1: Financial management systems deficiencies (F3-1)

NCTD's financial management systems do not allow for the tracking of funds to a level of expenditures adequate to establish that such funds have been used according to Federal statutes, regulations, and the terms and conditions of the award agreement.

A recipient's financial management system must provide for the following:

1. Identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received.
2. Accurate, current, and complete disclosure of the financial results of each Federal award or program as addressed in the Technical Capacity-Award Management questions TC-AM 2 and TC-AM3.
3. Records that identify the source and application of funds for federally funded activities.
4. Effective control over, and accountability for, all funds, property, and other assets.
5. Comparison of expenditures with budget amounts for each Federal award.

NCTD's procedure for the accounting of grants and project activities is captured in FIN-5043 Grants and Projects Accounting Procedures. This procedure addresses how projects are approved and how grant funds are used to fund projects. The procedure provides for the ability to transfer funds between existing projects, utilize funds from cancelled projects to fund other projects, and reallocate funds to projects with cost overruns.

New projects or amended project budgets are then funded by revising project-level (ALI) budgets within an FTA Grant Award.

Details of budget revisions are captured in respective Quarterly Milestone Progress Reports. To illustrate, the following was taken from 1st Quarter FY22 Progress Report for FTA Grant CA-2021-216:

Line Item Description: Budget Revision - December 2020

ALI 11.44.02 Rehab/Renovate – Maintenance Facility \$14,743 of federal funds and \$3,686 of local funds from ALI 11.44.02 Project East and West Division Floor (cost savings, project in progress in the final closeout phase) were transferred to the following: \$9,600 to ALI 11.42.07 Project IT Equipment Upgrades due to it being an emergency project that needed funding immediately.

Also, \$5,143 to ALI 12.24.03 Project Rail Equipment as part of a rebalance. Funding breakdown for Project IT Equipment is: CA-90-Z241 \$9,600, CA-2020-275 \$44,000 and \$13,400 of local funds. Funding breakdown for Rail equipment is: CA-2016-113 \$509,792, CA-54-0012 \$102,275, CA-54-0035 \$546,219, CA-90-Y705 \$22,210, CA-90-Y815 \$14,479, CA-90-Y874 \$ 431,474, CA-90-Y959 \$199,819, CA-90Z-200 \$38,121, CA-90-Z241 \$25,178 and local funds of \$727,730 for a total budget of \$2,617,297.

The practice of using budget revisions as an administration tool for funding projects with FTA grant funds hinders the ability to accurately assess whether project scopes of work are being accomplished within the established scope, budget and per identified milestones. As a result of this practice, projects that are relatively simple in scope become administratively complex because funding for the project is cast out upon more than one grant. As illustrated above, nine (9) different grant awards fund the Rail Equipment project budget.

Further, documented within numerous Milestone Progress Reports was evidence of grant-funded projects being cancelled because another entity was later identified as being responsible for the project (e.g., Navy, BNSF, or municipality) or that non-FTA funds were identified to fund the project. No further information was provided in the MPRs as to whether or not any FTA grant funds had already been drawn down before the project was cancelled.

For the purpose of this review, the manner in which NCTD's financial management system is designed, does not all for the tracking of FTA funds approved in Grant Awards to carry out the scope of work FTA approved based upon NCTD's grant applications.

2 CFR Part 200.302 Financial Management

a. *The financial management system of each non-Federal entity must provide for the following (see also §§200.334, 200.335, 200.336, and 200.337):*

1) *Identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received. Federal program and Federal award identification must include, as applicable, the Assistance Listings title and*

number, Federal award identification number and year, name of the Federal agency, and name of the pass-through entity, if any.

- 2) Accurate, current, and complete disclosure of the financial results of each Federal award or program in accordance with the reporting requirements set forth in §§200.328 and 200.329. If a Federal awarding agency requires reporting on an accrual basis from a recipient that maintains its records on other than an accrual basis, the recipient must not be required to establish an accrual accounting system. This recipient may develop accrual data for its reports on the basis of an analysis of the documentation on hand. Similarly, a pass-through entity must not require a subrecipient to establish an accrual accounting system and must allow the subrecipient to develop accrual data for its reports on the basis of an analysis of the documentation on hand.*
- 3) Records that identify adequately the source and application of funds for federally funded activities. These records must contain information pertaining to Federal awards, authorizations, financial obligations, unobligated balances, assets, expenditures, income and interest and be supported by source documentation.*
- 4) Effective control over, and accountability for, all funds, property, and other assets. The non-Federal entity must adequately safeguard all assets and assure that they are used solely for authorized purposes. See §200.303.*
- 5) Comparison of expenditures with budget amounts for each Federal award.*

Corrective Action(s) and Schedule: By September 7, 2022, NCTD is to develop and submit to the FTA Regional Office, a financial management plan that identifies how NCTD's financial systems will address and comply with the requirements set forth under 2 CFR Part 200.302 Financial Management, FTA Grant Agreements, and applicable FTA Guidance and Circulars.

Corrective Action(s) and Schedule: By November 30, 2022, NCTD is to provide the FTA Regional Office with:

1. Approved financial policies and procedures as identified within NCTD's financial management plan.
2. Evidence that staff have been trained on procedures

Deficiency Description #2: ECHO documentation deficient (F4-1)

The review of ECHO documentation files found no explanation as to how the requested amount was determined. Further, from October 2020 to November 2021, NCTD processed thirteen (13) refunds through ECHO, totaling \$4,592,058.

FAIN	Account Class Code	FPC	Scope Code	Scope Name	Transaction Type	Transaction Date	Transaction Amount
CA-2019-010-00	2018.24.34.BF.1	00	114-00	BUS SUPPORT EQUIP AND FACILITIES	Refund	30-Nov-2021	(\$172,909)
CA-2017-133-00	2017.25.54.38.2	00	121-00	RAIL ROLLING STOCK	Refund	30-Nov-2021	(\$13,260)
CA-2020-275-00	2020.25.54.38.2	00	124-00	SUPPORT EQUIPFACILITIES RAIL	Refund	30-Nov-2021	(\$869)
CA-2017-134-00	2017.25.90.91.2	00	114-00	BUS SUPPORT EQUIP AND FACILITIES	Refund	30-Nov-2021	(\$3,143)
CA-2020-275-00	2020.25.54.38.2	00	127-00	OTHER CAPITAL ITEMS RAIL	Refund	30-Nov-2021	(\$33,123)
CA-2020-275-00	2020.25.54.38.2	00	122-00	RAIL TRANSITWAY LINES	Refund	30-Nov-2021	(\$8,935)
CA-2019-005-01	2018.25.90.91.2	00	126-00	SIGNALCOMMUNICATION RAIL	Refund	20-Sep-2021	(\$62,103)
CA-2017-134-00	2017.25.90.91.2	00	124-00	SUPPORT EQUIPFACILITIES RAIL	Refund	07-Jul-2021	(\$125)
CA-2019-005-00	2018.25.90.91.2	00	122-00	RAIL TRANSITWAY LINES	Refund	23-Feb-2021	(\$74,782)
CA-2016-113-00	2016.25.90.91.2	00	122-00	RAIL TRANSITWAY LINES	Refund	08-Feb-2021	(\$107,128)
CA-2016-113-00	2016.25.90.91.2	00	124-00	SUPPORT EQUIPFACILITIES RAIL	Refund	21-Oct-2020	(\$193,847)
CA-2019-084-00	2019.25.90.91.2	00	127-00	OTHER CAPITAL ITEMS RAIL	Refund	21-Oct-2020	(\$3,853,162)
CA-2016-113-00	2016.25.90.91.2	00	114-00	BUS SUPPORT EQUIP AND FACILITIES	Refund	21-Oct-2020	(\$68,672)

During the site visit, back-up documentation was provided for November 2021 refunds. Explanations for the refund included:

- *Charges were eligible on grant they originally charged but after re-balance and adding in new projects to grant *216 due to performance date some labor needed to be moved to other funding sources (local)*
- *In eligible (sic), fund with TDA and move these expenses to TDA only line. All other labor will move to ALI 115120*

2 CFR Part 200.303 Internal Controls

The non-Federal entity must (a) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government”, issued by the Comptroller General of the United States or the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission.

Corrective Action and Schedule: By September 7, 2022, NCTD must:

- 1) Provide the FTA regional office with support documentation for each of the thirteen (13) refunds.
- 2) Submit to the FTA regional office procedures for documenting ECHO draws.
- 3) Submit evidence to the FTA regional office of implementation of procedures and documentation of training conducted of the appropriate staff on new policies and procedures.

3. Technical Capacity – Award Management

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

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

4. Technical Capacity – Program Management & Subrecipient Oversight

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

Finding: FTA requirements for Technical Capacity – Program Management & Subrecipient Oversight are not applicable to NCTD.

5. Technical Capacity – Project Management

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

Finding: During this Triennial Review of NCTD, one (1) deficiency was found with the FTA requirements for Technical Capacity – Project Management.

Deficiency Description: Delay/cost overrun due to project implementation (TCPjM1-1)

A review of NCTD’s Milestone Progress Reports (MPRs) noted a consistent practice in revising funding levels for various Activity Line Items (ALIs) to address shortfalls in project funding. For example, budget revisions were justified as follows:

CA-2020-275-00 MPR:

- *funds were needed due to the project needing additional labor funding at the time*
- *funds were necessary due to bids coming in higher than the initial cost estimate. Project will be going through our facilities’ contractor as it is the cost-effective option but requires additional professional services funding for requisition entry and for the remainder of the project’s lifespan*

CA-2019-005-01 MPR:

- *funding was needed as the quote came in higher than expected*
- *funding was necessary to complete overhauls*

CA-2020-235-00 MPR:

- *construct signage project was prioritized and required additional funding.*

Further, a budget revision associated with Grant CA-2020-235-00 addressed needed funding for work that was not included in the original scope of work. Such a revision requires prior approval from FTA.

The recipient is deficient if it has project delays or budget overruns due to lack of administrative and management support of project implementation, or technical inspection or supervision of a project(s).

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

A recipient is responsible for the day-to-day management of their Awards that provide assistance for eligible activities or projects...

a. *Recipient Role.* *In addition to FTA’s responsibility to monitor FTA Awards and the federally assisted projects thereunder, recipients must monitor federally assisted activities to ensure compliance with applicable Federal requirements. This includes the administration and management of the Award in compliance with Federal regulations, the Grant or Cooperative Agreement, and applicable FTA circulars. In general, submission of the annual Certifications and Assurances stands in lieu of detailed FTA oversight before approval of an Award; however, the results of ongoing or routine FTA oversight activities also will be considered as applicable. Annual, independent, organization-wide audits, 2 CFR part 200, subpart F, “Audits”, audits of recipients, and other recurring and specialized reviews provide FTA an opportunity to verify the recipient’s Certifications and Assurances (See Chapter V, “Oversight,” of this circular).*

b. *The recipient’s responsibilities include, but are not limited to, actions that:*

- (1) *Demonstrate the legal, financial, and technical capacity to carry out the program, including safety and security aspects of the program;*
- (2) *Provide administrative and management support of project implementation;*
- (3) *Provide, directly or by contract, adequate technical inspection and supervision by qualified professionals of all work in progress;*
- (4) *Ensure conformity to Grant Agreements and Cooperative Agreements, applicable statutes, codes, ordinances, and safety standards;*

- (5) *Maintain project work schedules agreed to by FTA and the recipient and monitor activities under the Award to assure schedules are met and other performance goals are achieved;*
- (6) *Keep expenditures within the latest approved Award Budget;*
- (7) *Ensure compliance with FTA and Federal requirements by agencies, consultants, contractors, and subcontractors working under approved third-party contracts or inter-agency agreements....*
- (8) *Request and withdraw federal assistance for eligible activities only in amounts and at times needed to make payments that are due and payable within three (3) business days and retain receipts to substantiate withdrawals;*
- (15) *Ensure effective control and accountability are maintained for all Grants, Cooperative Agreements, and subagreements, cash, real and personal property, and other assets. Recipients and subrecipients must ensure that resources are properly used and safeguarded, and used solely for authorized purposes;*
- (16) *Obtain all necessary prior approvals and/or waivers before incurring costs or taking any requested actions; and*
- (17) *Manage roles and responsibilities of the organization's users in TrAMS.*

Corrective Action(s) and Schedule: No later than July 15, 2022, and in consultation with the FTA Regional Office, NCTD is to prepare an Activity Line-Item Project Implementation Plan for each active grant award as directed by the Regional Office.

At a minimum, for each ALI project, the plan is to:

1. Identify all FTA and local match funding sources for the project
2. Identify all potential budget shortfalls and mitigation strategy
3. Develop project schedules with major milestone events including project completion and acceptance
4. Document a grant drawdown schedule for projects funded through multiple grants
5. Address other issues per FTA direction

Corrective Action(s) and Schedule: By October 31, 2022, NCTD is to prepare and submit to the FTA Regional Office, grant administration procedures that address the requirements associated with FTA's Grant Award Programs. NCTD is encouraged to utilize the FTA Contractor's Guide (as amended) as a resource for developing policies and procedures that govern a recipient's responsibilities associated with FTA's Grant Agreement.

6. Transit Asset Management

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

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

7. Satisfactory Continuing Control

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

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

Deficiency Description: Inadequate property control system (SCC8-5)

For the review, NCTD provided file: 7j2 Biennial Fixed Asset Inventory Disposal Workbook. Within the workbook was a request to dispose of five (5) FTA-funded computer-related equipment, with a total value of \$42,266. The review team inquired as to what would typically happen when computer-related equipment was not found. No process was mentioned other than to write-off the equipment.

2 CFR 200.313 Equipment

(b) Other non-Federal entities must follow paragraphs (c) through (e) of this section.

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

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

Corrective Action(s) and Schedule: By September 7, 2022, NCTD must submit to the FTA regional office policy and related procedures that describes the actions NCTD takes to safeguard FTA funded equipment.

8. Maintenance

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

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

9. Procurement

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

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

Review of procurement files

At the site visit of NCTD, nine procurement files were reviewed: two (2) for rolling stock, one (1) for non-revenue support vehicles, one (1) for video equipment, one (1) for on board vehicle equipment, one (1) for seating repair, one (1) for railroad construction, one (1) for on-call architectural and engineering services, and one (1) for a change order with New Flyer. The table on the following page provides more details about these procurements.

Procurement #	1	2	3	4	5	6	7	8	9
Goods/ Services Procured	Hybrid Video recorders	Credit	Passenger Seat Reupholstering	On-call A&E Services	11 Non-revenue vehicles	21 Class V vans and 5 class C vans	JOC-Rail	APC	Electric Buses
Date	10/31/2019	8/23/2019	8/6/2021	9/11/2019	10/4/2021	7/6/2020	8/20/2020	7/16/2021	6/24/2021
Dollar Value	\$435,409	\$25,310	\$449,317	\$3,700,000	\$776,576	\$1,864,523.92	\$4,000,000	\$783,217	\$6,191,679
Type	Video equipment	Change order credit – New Flyer	Seating Repair	On-call architectural and engineering services	Non-revenue support vehicles	Rolling Stock	Railroad construction	On board vehicle equipment	Rolling Stock
Method	IFB	Change order	IFB	SOQ	IFB	Piggyback CalACT	IFB	Sole Source	State Schedule/GSA
New Start or Small Start	No	No	No	No	No	No	No	No	No
Awarded by Contractors or Subrecipients	No	No	No	No	No	No	No	No	No
Change Order	No	No	No	No	No	No	No	No	No
DBE Goal	No	No	No	No	No	No	No	No	No
Protest	No	No	No	No	No	No	No	No	No
Deficiencies	None	None	None	None	None	None	None	None	None

There were no deficiencies identified among the above procurements.

10. Disadvantaged Business Enterprise (DBE)

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

Finding: During this Triennial Review of NCTD, no deficiencies were found with the US DOT requirements for DBE.

11. Title VI

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

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

12. Americans with Disabilities Act (ADA) – General

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

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

13. ADA – Complementary Paratransit

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

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

14. Equal Employment Opportunity

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

Finding: During this Triennial Review of NCTD, no deficiencies were found with the FTA requirements for Equal Employment Opportunity.

15. School Bus

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

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

16. Charter Bus

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

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

17. Drug Free Workplace Act

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

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

18. Drug and Alcohol Program

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

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

19. Section 5307 Program Requirements

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

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

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

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

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

20. Section 5310 Program Requirements

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

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

21. Section 5311 Program Requirements

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

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

22. Public Transportation Agency Safety Plan (PTASP)

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

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

23. Cybersecurity

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

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

V. Summary of Findings

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
1. Legal	ND				
2. Financial Management and Capacity	D	F3-1: Financial management systems deficiencies	<p>NCTD is to develop and submit to the FTA Regional Office, a financial management plan that identifies how NCTD’s financial systems will address and comply with the requirements set forth under 2 CFR Part 200.302 Financial Management, FTA Grant Agreements, and applicable FTA Guidance and Circulars.</p> <p>NCTD is to provide the FTA Regional Office with:</p> <ol style="list-style-type: none"> 1) Approved financial policies and procedures as identified within NCTD’s financial management plan. 2) Evidence of staff training 	<p>September 7, 2022</p> <p>November 30, 2022</p>	
		F4-1: ECHO documentation deficient	<p>NCTD must:</p> <ol style="list-style-type: none"> 1) Provide the FTA regional office with support documentation for each of the thirteen (13) refunds. 2) Submit to the FTA regional office procedures for documenting ECHO draws. 3) Submit evidence to the FTA regional office of implementation of procedures and documentation of training conducted of the appropriate staff on new policies and procedures 	<p>September 7, 2022</p>	
3. Technical Capacity – Award Management	ND				
4. Technical Capacity – Program Management and Subrecipient Oversight	NA				

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
12. Americans with Disabilities Act (ADA) – General	ND				
13. ADA – Complementary Paratransit	ND				
14. Equal Employment Opportunity	ND				
15. School Bus	ND				
16. Charter Bus	ND				
17. Drug-Free Workplace	ND				
18. Drug and Alcohol Program	ND				
19. Section 5307 Program Requirements	ND				
20. Section 5310 Program Requirements	NA				
21. Section 5311 Program Requirements	NA				
22. Public Transportation Agency Safety Plan	ND				
23. Cybersecurity	ND				

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

VI. Participants

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VII. Appendices

No appendices are included in this report.