

**CDTA COMMITTEE AGENDA**  
**Performance Monitoring/Audit Committee**  
**Tuesday, October 23, 2018**  
**Start Time: 11:30 AM**  
**110 Watervliet Avenue**

| <b>Committee Item</b>  | <b>Responsibility</b>  |
|--|--|
| Call to Order  | Jayme Lahut  |
| Ascertain Quorum   | Jayme Lahut  |
| Agenda Approval  | Jayme Lahut  |
| Approve Minutes of September 19, 2018  | Jayme Lahut  |
| <b>Consent Agenda Items</b>  |  |
| <ul style="list-style-type: none"> <li>• Auto and General Liability Insurance Renewal*</li> <li>• Auto Physical Damage Insurance Renewal*</li> <li>• Operations Department Renovation</li> <li>• Accept 10% State Portion of Federal Grants</li> </ul> | Stacy Sansky<br>Stacy Sansky<br>Stacy Sansky<br>Bridget Beelen |
| <b>Audit Committee</b>   |  |
| <ul style="list-style-type: none"> <li>• Internal Audit Quarterly Report</li> </ul>  | Sarah Matrose  |
| <b>Investment Committee</b>  |  |
| <ul style="list-style-type: none"> <li>• Update on Committee Activities/Reports</li> </ul>   | Denise Figueroa  |
| <b>Administrative Discussion Items</b>   |  |
| <ul style="list-style-type: none"> <li>• Monthly Management Report *</li> <li>• Monthly Non-Financial Report *</li> </ul>  | Mike Collins<br>Chris Desany                                   |
| <b>Executive Session</b>   |  |
| <ul style="list-style-type: none"> <li>• No Items Scheduled</li> </ul>   |  |
| Next Meeting Date: Thursday, December 6, 2018 at TBD   |  |
| Adjourn  | Jayme Lahut  |
| * <i>Indicates Material (Or Additional Material) Will Be Provided at Meeting</i>   |  |



# **Capital District Transportation Authority**

## **Performance Monitoring/Audit Committee**

**Meeting Minutes – September 19, 2018 at 12:00 pm at the 110 Watervliet Avenue Office**

### **In Attendance**

Jayne Lahut(Chair), Dave Stackrow, Mike Criscione, Corey Bixby, Carm Basile (CEO), Mike Collins (CSL), Christopher Desany, Amanda Avery, Fred Gilliam, Lance Zarcone, Phil Parella, Jonathan Scherzer, Jaime Watson, Ross Farrell, Stacy Sansky, Thomas Guggisburg, Robert Sears, Vanessa Salamy

### **Meeting Purpose:**

Regular meeting of the Performance Monitoring/Audit Committee

It was noted that a quorum was present. The minutes from the July 19, 2018 meeting were reviewed and approved.

### **Consent Agenda Items**

#### **Approve GIRO Maintenance Contract Renewal**

In 2000, CDTA competitively procured a fixed route scheduling system (HASTUS) from GIRO. The software is proprietary and requires a sole source procurement for a new maintenance contract. The maintenance contract includes software updates, configuration, consulting services and issue resolution that can only be performed by GIRO.

The Committee recommends the purchase of a one-year maintenance contract to GIRO for the Scheduling Software System (HASTUS) for an amount not to exceed \$78,878.

#### **Approve Contract Award for a Microtransit Pilot**

Microtransit is the combination of technology and service delivery that offers flexible routing and scheduling of trips enabling real-time matching of demand and supply. Microtransit can provide access to under/unserved areas, replacing routes and/or providing supplemental services during off-peak times. Ford Smart Mobility is offering a partner program allowing us to engage in a microtransit pilot through their subsidiary, TransLoc. TransLoc services include service development (data analysis), simulation, marketing consulting, software system setup and testing, training, pilot analysis and a final report.

The Committee recommends approving a two-year contract for \$25,000 with TransLoc of Durham, North Carolina.

### **Audit Committee Items**

No items scheduled.

## **Investment Committee Items**

The Investment Committee met on September 27<sup>th</sup> and the report was mailed out. The next meeting will be before the October Board meeting.

## **Administrative Discussion Items**

### **Risk Management & Workers' Compensation Quarterly Report**

Our procedures require a quarterly review of the adequacy of the Risk Management Self-Insurance Account and the Workers Compensation Self-Insurance Account. Our Workers' Compensation Account is now funded at 87% because our projected liability increased based on the annual actuarial report and our external auditor's recommendation. The Committee has determined that our accounts are adequate at this time, despite the change in the Workers' Compensation Account. Amanda Avery can provide further details.

### **Monthly Management (financial) Report**

Mike Collins gave the Monthly Management Report. MRT exceeded budget this month by 11% and we are right on budget for the year. Customer fares exceeded budget by 6.5% primarily due to two more weekdays in the month. We are 3.2% over budget for the year. Advertising revenue exceeded budget because of Lamar, our bike share sponsorship and a one-time \$25,000 payment from local Schenectady businesses for Trolley service. Wages are over budget this month by 3% and 1.3% for the year. Workers' Compensation is 14% over budget for the month and 26% for the year and Purchased Transportation is over budget 11% for the month and 9.5% for the year.

We are in a satisfactory cash flow position at this time

### **Monthly Non-Financial (performance) Report**

Chris Desany gave the Monthly Non-Financial Report. Total ridership was down 6% for the month and 6% for the year. STAR ridership was down 9% for the month and 2% for the year. On time performance was at 72.4% and there was 1 PMI not on time. There were 32 missed trips this month and MDDBSI was at 30,580. Scheduled work was at 83%. There were 17 preventable and 35 non-preventable accidents, and 89% of customer complaints were closed within 10 days. Website page views were at 637,498. This is down and will continue to be down going forward due to a more efficient layout of the website.

## **Executive Session**

No items scheduled.

Next meeting of the Committee will be on October 23, 2018 at 110 Watervliet Avenue.

## **Capital District Transportation Authority Agenda Action Proposal**

**Subject:** Contract award for renovations to the Operations Department to Hoosick Valley Contractors of Melrose, New York.

**Committee:** Performance Monitoring/Audit  
**Committee Meeting Date:** October 23, 2018  
**Board Action Date:** October 31, 2018

**Background:**

The Operations (Transportation) Department is located in the Albany Division on the north side of the building. It is home to Fixed Route and Paratransit offices as well as the dispatch window.

The area to be renovated is a high traffic area, and after 30 years it needs a major overhaul. This is the second phase of the plan to renovate most of the first floor. The first phase began with the new radio room on the east side of the building.

**Purpose:**

The purpose of this project is to renovate and update the aging space currently occupied by most of the Transportation Department at 110 Watervliet Avenue.

**Summary of Proposal:**

An Invitation for Bids (IFB) was issued requesting bids for renovation of the Operations Department which includes asbestos abatement, mechanical, plumbing, electrical and general contracting work. The IFB provided specific details regarding the necessary upgrades and three (3) site walk-thru's were conducted for prime and subcontractors.

Thirty (30) firms downloaded the IFB and eight (8) submitted bids. One firm was disqualified as non-responsive to the specification requirements. The low bidder, Hoosick Valley Contractors, is an experienced firm and has performed satisfactory work for CDTA in the past. We have qualified Hoosick Valley Contractors as capable of performing the work. Staff recommends a contract award for Operations Department renovations to Hoosick Valley Contractors of Melrose, New York for an amount not to exceed \$499,200 which includes a 20% contingency. Hoosick Valley Contractors is a New York State certified Women Owned Business (WBE). Upon Board approval a contract will be executed immediately. The contract term is one year.

**Financial Summary and Source of Funds:**

|                      |                 |
|----------------------|-----------------|
| Bid Amount:          | \$416,000       |
| Contingency 20%:     | <u>\$83,200</u> |
| Total Not to Exceed: | \$499,200       |

This procurement will be funded by the FY2019 Capital Plan.

**Prepared by:**

Stacy Sansky, Director of Procurement

**Project Manager:**

Mark Wos, Director of Facilities

**Date:** October 24, 2018  
**To:** Chairman, Performance Monitoring/Audit Committee  
Members, Performance Monitoring/Audit Committee  
**From:** Christopher Desany, Vice President of Planning and Infrastructure  
**Re:** Contract Award for Operations Renovations

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### **Background**

The north side of the administrative offices at 110 Watervliet Avenue houses a significant portion of the Transportation Department (including STAR, call center, supervisory, dispatch, and former radio room). The current configuration is a segmented, disjointed space that does not support the current nature of how we operate. After almost 30 years of wear and tear, the space is in desperate need of renovations and upgrades.

For the past two years, staff from Transportation, Facilities, and Information Technology have been planning a reconfiguration of this space. This is the second phase of our plan to renovate most of the first floor at 110 Watervliet Avenue, which began with the construction of a new radio room on the east side of the building. We have since developed detailed designs, specifications, and bid documents for the renovation of the remaining areas. A bid package was released, the scope of which included demolition and abatement, and reconstruction of the space including offices, ceilings, flooring, electric/lighting/plumbing, and a small locker area.

Thirty contractors downloaded the invitation for bid and eight submitted responses. Hoosick Valley Contractors of Melrose, NY was the low bidder with a lump sum bid of \$416,000. The contractor was interviewed and is qualified to perform the work. Hoosick Valley has extensive experience with the construction of educational, housing, office, and public facility projects.

In addition to this contract, there are several other items that will be procured separately (according to regulations) and will be installed in coordination with the general construction. This includes furniture, technology and cabling, cameras and security, and asbestos abatement monitoring. The overall budget for this project is \$700,000.

### **Recommendation**

At this time, I am recommending awarding a contract to Hoosick Valley Contractors of Melrose, NY for an amount not to exceed \$499,200 which includes a 20% contingency for unforeseen conditions.

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY  
Staff Contract Award Certification**

**1. TYPE OF CONTRACT (check one):**

Construction & Maintenance                      \_\_\_ Goods, Commodities & Supplies                      \_\_\_ Bus Purchase  
\_\_\_ Services & Consultants                                      \_\_\_ Transportation & Operational Services

**2. TERMS OF PERFORMANCE (check one):**

One-Shot Deal: Complete scope and fixed value  
\_\_\_ Fixed Fee For Services: Time and materials - open value  
\_\_\_ Exclusive Purchase Contract: Fixed cost for defined commodity with indefinite quantity  
\_\_\_ Open Purchase Contract: Commitment on specifications and price but no obligation to buy  
\_\_\_ Change Order: Add on to existing contract

**3. CONTRACT VALUE:**

\$499,200 (NTE) fixed                      estimated                      (circle one)

**4. PROCUREMENT METHOD (check one):**

\_\_\_ Request for Proposals (RFP)                       Invitation for Bids (IFB)                      \_\_\_ Other

**5. TYPE OF PROCEDURE USED (check one):**

\_\_\_ Micro Purchases (Purchases up to \$2,499.00)                      \_\_\_ Small Purchases (\$25,000 up to \$100,000)  
 Sealed Bid/Invitation for Bids (IFB) (Over \$100,000)                      \_\_\_ Request for Proposals (RFP)  
\_\_\_ Professional Services (Over \$25,000)                      \_\_\_ Sole or Single Source (Non-Competitive)

**6. SELECTION CRITERION USED:**

Number of Proposals/Bids Solicited # 30                      or                      **Advertised**  
Number of Proposals/Bids Received # 8

Attach Summary of Bids/Proposals

**7. Disadvantaged/Minority Women's Business Enterprise (D/MWBE) involvement**

|  |            |    |                       |
|--|------------|----|-----------------------|
| Are there known D/MWBEs that provide this good or service? | <u>Yes</u> | No |                       |
| Number of D/MWBEs bidding/proposing                        | <u>2</u>   |    |                       |
| D/MWBE Certification on file?                              | <u>Yes</u> | No | <u>Not Applicable</u> |
| Was contract awarded to a D/MWBE?                          | <u>Yes</u> | No | (WBE)                 |
| Number of D/MWBE Subcontractors                            | <u>0</u>   |    |                       |

**8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR:** Hoosick Valley Contractors  
52 Melrose Valley Falls Road  
Melrose, NY 12121

**8. SOURCE OF FUNDS:** FY 2019 Internal Funds (capital program)

**9. COMPLIANCE WITH STATE AND FEDERAL RULES:**

|   |                         |
|---|-------------------------|
| Non-Collusion Affidavit of Bidder                                   | (Yes, No, N/A)          |
| Disclosure & Certificate of Prior Non-Responsibility Determinations | ( <u>Yes</u> , No, N/A) |
| Disclosure of Contacts (only RFPs)                                  | (Yes, No, <u>N/A</u> )  |
| Certification with FTA's Bus Testing Requirements                   | (Yes, No, <u>N/A</u> )  |

**10. RESPONSIBLE STAFF CERTIFIES THE INTEGRITY OF THIS PROCUREMENT/CONTRACT:**

Stacy Sansky, Director of Procurement                      DATED: October 2, 2018

## **Capital District Transportation Authority Agenda Action Proposal**

**Subject:** Resolution to accept \$2,105,985 in State funding.

**Committee:** Performance Monitoring and Auditing  
**Committee Meeting Date:** October 23, 2018  
**Board Action Date:** October 31, 2018

**Background:** CDTA is apportioned Federal funds on an annual basis in support of our bus and bus facilities program through the Section 5307 and Section 5339 programs. Project costs are funded with 6 federal grants to support the acquisition of 40-foot fixed route buses, paratransit buses, support vehicles, bus shelter replacement program, passenger amenities and preventative maintenance. CDTA was also awarded Surface Transportation Program (STP) Flex funding by the Metropolitan Planning Organization (MPO) for Mobility Management activities, namely Guaranteed Ride Home and Vanpool. The STP Flex funds are transferred from Federal Highway Administration (FHWA) to the Federal Transit Administration (FTA).

The Federal government supports 80 percent of the costs associated with these activities. NYSDOT, subject to approval of agreement K007049, supplement #6, will provide 10 percent or \$2,105,985 as local match. CDTA is also required to provide \$2,105,985 in support of these activities.

**Purpose:** New York State Department of Transportation (NYSDOT) requires a Board resolution to accept State funding prior to being reimbursed for expenses incurred as part of an agreement.

**Summary of Proposal:** This item allows CDTA to execute an agreement with New York State Department of Transportation (NYSDOT) to accept \$2,105,985 in matching funds.

**Financial Summary and Source of Funds:**

The NYSDOT Agreement K007090, Supplemental Agreement 6, will fund 10 percent of the Section 5307, Section 5339, and STP programs for \$2,105,985.

**Prepared by:**

Bridget Ann Beelen, Grants Manager

**Project Managers:**

Lance Zarcone, Director of Maintenance  
Ross Farrell, Director of Planning  
Philip Parella, Jr., Director of Finance

## Memorandum

October 23, 2018

To: Audit Committee Members  
Carm Basile, Chief Executive Officer

From: Sarah Matrose, Internal Auditor

Subject: Quarterly Progress Report – Internal Audit

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Below is the Internal Audit (IA) quarterly progress report:

- Purchase Card Audit – issued final with four recommendations; no material weaknesses identified.
- Revenue Audit – issued draft with three potential recommendations; no material weaknesses identified.

Upcoming Audit Items:

- Warranties Audit planning – reviewing the warranty process with Maintenance for efficiencies and improvements to coincide with the hiring of a new Warranty Manager.
- Preliminary meetings have begun to discuss the standardized of operating procedures and document templates throughout the organization. This is coinciding with ongoing meetings for the upcoming employee portal and new branding package elements.
- Ongoing Key Performance Indicator - ITMS Dashboard participation.
- Continuing PCI compliance involvement at RRS.
- STAR consultations; including but not limited to Trapeze Traveler Information, Call Taker Training, Trapeze DriverMate pilot.

Internal Auditor's Continuing Education / Maturity Project Items -

- IIA Board Meeting
- ISACA Board Meeting