

CDTA COMMITTEE AGENDA
Performance Monitoring/Audit Committee
Wednesday, June 17, 2020 | 12:00 pm | Microsoft Teams Meeting

| Committee Item | Responsibility |
|---|-----------------------|
| Call to Order | Denise Figueroa |
| Ascertain Quorum | Denise Figueroa |
| Agenda Approval | Denise Figueroa |
| Approve Minutes of Wednesday, May 20, 2020 | Denise Figueroa |
| Consent Agenda Items | |
| • Approve Contract for Bokland Building Demo | Stacy Sansky |
| • Approve SMS Safety Plan | Rich Cordero |
| • Approve Drug & Alcohol Policy Changes | Rich Cordero |
| Audit Committee | |
| • No items scheduled | |
| Investment Committee | |
| • Update on Committee Activities/Reports | Denise Figueroa |
| Administrative Discussion Items | |
| • Accident Review Annual Report | Rich Cordero |
| • Workplace Safety Annual Report | Jack Grogan |
| • Monthly Management Report * | Mike Collins |
| • Monthly Non-Financial Report | Chris Desany |
| Executive Session | |
| • No items scheduled | |
| Next Meeting Date: Wednesday, August 19, 2020 at noon via Microsoft Teams | |
| Adjourn | Denise Figueroa |

** Indicates Material (Or Additional Material) Will Be Provided at Meeting*

Capital District Transportation Authority

Performance Monitoring/Audit Committee

Meeting Minutes – May 20 , 2020 at 12:00 pm; 110 Watervliet Avenue, Albany

In Attendance: via MT - Denise Figueroa, Jayme Lahut, Dave Stackrow, Mark Schaeffer; at 110 - Carm Basile, Amanda Avery, Mike Collins, Chris Desany, Lance Zarcone, Phil Parella, Jaime Watson, Vanessa Salamy; via MT - Stacy Sansky, Jeremy Smith, Jon Scherzer, Sarah Matrose , Thomas Guggisberg, Ross Farrell; Lumsden & McCormick – Donna Gonser, Seth Hennard, Elizabeth Krause

Meeting Purpose

Regular monthly meeting of the Performance Monitoring/Audit Committee. Denise Figueroa noted that a quorum was present. Minutes from the April 22, 2020 meeting were reviewed and approved.

Audit Committee Items

Approve FYE 2020 Audit Draft

- Donna Gonser and Seth Hennard from Lumsden & McCormick, CDTA's external auditors, presented the draft FY2020 year-end audit. We received a clean opinion with no findings or weaknesses.
- Lumsden reviewed their audit process, their audit approach, required communications and the balance sheet. It was noted that \$14.3 million of the CARES Act was recorded as revenue in FY2020; and that our liability for Postemployment Benefits increased \$15 million to \$105 million on our balance sheet.
- The FY2020 Financial Statements and Compliance Summary prepared by Lumsden & McCormick will be recommended to the Board for approval.

Consent Agenda Items

Approve Creighton Manning Contract

- For the past several years, we have been working with Creighton Manning Engineering to design and construct our River Corridor and Washington/Western BRT lines. Staff recommends a sole source contract to Creighton Manning as we near completion of the two BRT projects.
- A two-year contract with three, one-year extensions to Creighton Manning Engineering of Albany, for an amount not to exceed \$8,250,000 will be recommended to the Board for approval.

Approve Wilton Mall Park and Ride Lease

- Our Park and Ride lot lease at Wilton Mall is expiring and staff recommends a new lease with additional parking spaces. The lot provides parking for NX customers who travel into Albany and we anticipate further growth with our new OGS contract.
- Staff negotiated 35 more parking spaces for a total of 135; the payment is \$12,800 per year with a 2.5% escalator after the first year.
- A five-year contract to Wilton Mall LLC, c/o Macerich, of Santa Monica, California for an amount not to exceed \$67,300 will be recommended to the Board for approval.

Investment Committee Items

- No items scheduled.

Administrative Discussion Items

Monthly Management Report

- Mike Collins gave the Monthly Management Report. The impact of COVID-19 for the month of April was unprecedented. Most of our financial categories were down. We may make budget revisions during the summer after we know how STOA allocations may change, and how our service performs when we fully “reopen.” Revenue and expenses were both down by about 20%. We will modify our financial reports to include a line for CARES Act funding.

Monthly Non-Financial (performance) Report

- Chris Desany gave the Monthly Non-Financial Report. COVID-19 continues to have a significant impact to ridership. Total ridership was down 58% for the month; STAR was down 64% for the month. On time performance for fixed route was steady at 74%; while STAR on-time performance was at 82%. Preventable accidents were down to 11 and non-preventable accidents down to 14.

Executive Session

- No items scheduled

Next Meeting

Wednesday, June 17, 2020 at 12:00pm via Microsoft Teams

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract award for demolition of the Bokland Property and construction of a parking lot to New Castle Paving, LLC of Troy, NY.

Committee: Performance Monitoring/Audit
Committee Meeting Date: June 17, 2020
Board Action Date: June 24, 2020

Background:

We have several new service initiatives (two BRT's and State worker transportation) that will take place over the next two years and there is a need to increase our storage capacity for new buses at our 110 Watervliet property. We have had several discussions with board committees over the past few months that have detailed our facility storage challenges.

Purpose:

The Bokland Property located at 122 Industrial Park Road will allow up to 120 employee parking spaces for those displaced due to the expansion of the Albany garage to accommodate additional BRT vehicle storage.

Summary of Proposal:

An Invitation for Bids (IFB) was issued specifying the demolition work required (building and foundation demolition, abatement, etc.) as well as the construction of the parking area to include paving, lighting, and fencing. Thirty-Six (36) firms downloaded the IFB and seven (7) bids were received. New Castle Paving of Troy, NY provided the lowest responsive and responsible bid. New Castle has retained two D/MWBE subcontractors and has committed to at least 5% participation by those subcontractors. The bid has been reviewed by staff and is below the engineer's estimate.

Staff recommends a contract for the demolition of the Bokland Property and the construction of a parking lot be awarded to New Castle Paving, LLC of Troy for an amount not to exceed \$493,441. Upon Board approval a contract will be awarded immediately with completion date of November 15, 2020.

Financial Summary and Source of Funds:

Base Bid: \$411,201
Contingency (20%): \$82,240
TOTAL: \$493,441

The contract value will not exceed \$493,441 and will be funded by a BRT Setaside Grant.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Jeremy Smith, Director of Facilities

Memorandum

June 17, 2020

To: Performance Monitoring/Audit Committee

From: Christopher Desany, Vice President of Planning & Infrastructure

Subject: Approval of Bokland Demolition and Construction of Parking Lot

Background:

We have been discussing several exciting service-related initiatives over the past year, including River BRT, State worker transportation, and the Washington/Western BRT. Along with those initiatives is the need for adequate storage and maintenance facilities to sufficiently operate the services. This was discussed in detail during the “CDTA Garage Expansions” conversation at the September Planning meeting, and more recently the December and January Board Operations meetings.

At the March Board meeting, the Board approved the purchase of the Bokland Property at 122 Industrial Park Road. Due to its proximity to 110 Watervliet Avenue, it would serve as employee parking (approximately 100-120 spaces) for those displaced as a result of the Albany garage expansion. We have sought to acquire this property several times over the past 15+ years. We have now closed on the property and it will be vacated on or before July 29, 2020.

Staff developed an invitation for bids to create the parking area, the scope of which included building and foundation demolition, abatement, backfilling/leveling, surface removal, paving, lighting, and fencing. Sidewalk and crosswalk improvements will come later. 36 firms downloaded the specifications and seven bids were received. New Castle Paving of Troy, NY was the lowest qualified bidder with a price of \$411,201.

Justification:

The bid was reviewed, deemed accurate and reasonable, and is below the engineer’s estimate. We currently are under contract with New Castle for the Harriman West and downtown campus stations are satisfied with their work.

Recommendation:

At this time, I am recommending awarding a contract to New Castle Paving, LLC. of Troy, NY in an amount of \$411,201 plus a 20% contingency for a total amount of \$493,441.

Copy: Carm Basile, Chief Executive Officer
Stacy Sansky, Director of Procurement
Jeremy Smith, Director of Facilities

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

Staff Contract Award Certification

1. TYPE OF CONTRACT (check one):

| | | |
|---|---|----------------------------|
| <u> </u> X Construction & Maintenance | <u> </u> Goods, Commodities & Supplies | <u> </u> Bus Purchase |
| <u> </u> Services & Consultants | <u> </u> 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:

\$493,441 fixed estimated (circle one)

4. PROCUREMENT METHOD (check one):

 Request for Proposals (RFP) **X** Invitation for Bids (IFB) Other

5. TYPE OF PROCEDURE USED (check one):

| | |
|---|---|
| <input type="checkbox"/> Micro Purchases (Purchases up to \$2,499.00) | <input type="checkbox"/> Small Purchases (\$25,000 up to \$100,000) |
| <input checked="" type="checkbox"/> Sealed Bid/Invitation for Bids (IFB) (Over \$100,000) | <input type="checkbox"/> Request for Proposals (RFP) |
| <input type="checkbox"/> Professional Services (Over \$25,000) | <input type="checkbox"/> Sole or Single Source (Non-Competitive) |

6. SELECTION CRITERION USED:

Number of Proposals/Bids Solicited # 36 or Advertised
 Number of Proposals/Bids Received # 7

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? | Yes | <u>No</u> |
| Number of D/MWBEs bidding/proposing | <u>0</u> | |
| D/MWBE Certification on file? | Yes | No <u>Not Applicable</u> |
| Was contract awarded to a D/MWBE? | Yes | <u>No</u> |
| Number of D/MWBE Subcontractors | <u>Citymark Striping (WBE)</u> | |
| | <u>CLA & Sons Trucking (DBE/WBE)</u> | |

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: New Castle Paving, LLC

1 Madison Street Suite 100

Troy, NY 12180

8. SOURCE OF FUNDS: BRT Setaside Grant

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: **June 5, 2020**



0 Bid Summary



Contract Name: New Parking Lot Construction@ 122 Industrial Park Rd

Contract No: CDTA FAC 168-2000

Date/Time of
Opening:

June 2, 2020 1:00PM

| Bidder Contact Information | Base Bid/Lump Sum Price | Bid Alternate- If Applicable | Subcontractors If known/as applicable (Names only) | DBE/MWBE/SDVOB Status |
|--|--|----------------------------------|--|---|
| Name: AOW Associates Inc. Address: 30 Essex St Albany, NY 12206 Contact: James A Urner, Jr. Email: jurner@aowassoc.com Phone: 518.482.3444 | \$ <u>541,900</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 Classic Environmental 2 3 4 5 | DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: Aktor Corporation Address: 44 Tivoli St Albany, NY 12207 Contact: Theodore Papakonstadinou Email: jbuell@aktorcpr.com Phone: 518.380.5489 | \$ <u>620,000</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 Stilsing Electric 2 Simco 3 MC Environmental 4 5 | DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE <u>X</u> WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: Callanan Industries, Inc Address: PO Box 15097 Albany, NY 12212 Contact: Michael Mastropietro Email: estimating@callanan.com Phone: 518.374.6779 | \$ <u>456,789</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 Citymark Striping 2 3 4 5 | DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: DelSignore Blacktop Paving, Inc. Address: 42 Brickchurch Rd Troy, NY 12180 Contact: Dewey DelSignore III Email: mleipman@delsignorecompanies.com Phone: 518.279.1642 | \$ <u>439,285</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 Citymark Striping 2 Stilsing Electric 3 Bronze Contracting 4 5 | DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: Peter Luizzi & Bros Contracting Inc. Address: 49 Railroad Ave Albany, NY 12205 Contact: Michael W. Alix Email: pluizzi3@luizzibros.com Phone: 518.482.8954 | \$ <u>475,000</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 JRN Construction, LLC 2 Stilsing Electric 3 Bronze Contracting 4 5 | DBE <u>X</u> MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: New Castle Paving, LLC Address: 1Madison St Suite 100 Troy, NY 12180 Contact: Dale Swartwout Email: dswartwout@newcastlepaving.com Phone: 518.275.0226 | \$ <u>411,201</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 Citymark Striping 2 CLA & Sons 3 TLE Contracting 4 5 | DBE __ MBE __ WBE <u>X</u> SDVOB __ DBE <u>X</u> MBE __ WBE <u>X</u> SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| Name: The Environmental Servics Group, Inc. Address: 117 Wales Ave Tonawanda, NY 14150 Contact: Brian R Harris Email: bharris@esgenv.com Phone: 716.695.6720 | \$ <u>742,000</u> Total w/selected Alternates: \$ | Alternate 1: Alternate 2: | 1 2 3 4 5 | DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ |
| I, Carm Basile Chief Executive Officer of The Capital District Transportation Authority hereby certify that the above is a true, complete and accurate record of the bids received on the date and time listed above for this project. | | Signature: _____ | | |

Capital District Transportation Authority Agenda Action Proposal

Subject: Approve the Safety Management System (SMS) Plan

Committee: Performance Monitoring/Audit

Committee Meeting Date: Wednesday June 17, 2020

Board Action Date: Wednesday June 24, 2020

Background:

MAP-21 gave the Federal Transit Administration (FTA) authority to require all public transit agencies to develop a new organizational safety plan. The FTA requires transit agencies to adopt a board approved Safety Management System (SMS) plan. The FTA compliance date was moved from July 20, 2020 to December 31, 2020.

Purpose:

SMS is a formal process to communicate and manage safety from the leadership level of CDTA to all employees. The contents of the plan will help enhance our Safety Plan and meet the standards set by the FTA. The safety plan must be reviewed and approved on an annual basis by the Board of Directors.

Summary of Proposal:

The regulations require that the SMS take a top down, data driven approach to mitigate risk. It includes four main components that must be addressed within the plan:

- Safety Management – a statement that includes establishing authorities and responsibilities for the management of safety.
- Safety Risk Management – provides a process to identify hazards, assess risk and a process to mitigate risk.
- Safety Assurance – a process to ensure proper implementation of the plan, effectiveness of risk mitigation, and to verify objectives.
- Safety Promotion and Communication – a process to communicate safety information that supports the SMS.

The draft SMS plan was submitted to the FTA for review, and their comments and recommendations were incorporated into the plan. Based on this review, staff recommends approval of the SMS plan.

Financial Summary and Source of Funds:

No impact

Prepared by:

Rich Cordero, Manager of Safety & Training

Project Manager:

Rich Cordero, Manager of Safety & Training

Memorandum

June 17, 2020

To: Chairman, Performance Monitoring/Audit Committee
Members, Performance Monitoring/Audit Committee

From: Rich Cordero – Manager of Safety and Training

Subject: Safety Management Systems (SMS) Plan

Background:

The FTA requires that all public transit agencies adopt a documented Safety Management System (SMS) plan.

SMS is a formal process to communicate and manage safety from the leadership level of CDTA. The contents of the plan will help enhance our Safety Plan and meet the standards set by the FTA. The safety plan must be reviewed and approved on an annual basis by the Board of Directors.

Plan Overview:

The regulations require that the SMS take a top down, data driven approach to mitigate risk. The plan assigns the role of Chief Safety Officer (CSO) to the Vice President of Finance and Administration. This role has a direct line of communication to the Accountable Executive, which is the Chief Executive Officer.

The Chief Safety Officer is responsible for the execution of the plan. The plan includes Key Performance Targets, which are reviewed on annual basis by the CEO and approved by the Board of Directors. The SMS has four (4) main required components;

1. Safety Management Policy – The statement must establish the necessary authorities, accountabilities, and responsibilities for the management of safety at the leadership level.
2. Safety Risk Management – A standard process that is used to identify hazards, assess the risk that may come from the hazard, and a process to mitigate its risk.
3. Safety Assurance – a process that is used to ensure the proper implementation of the plan, effectiveness of risk mitigation, and verify if the objectives of the plan are working effectively.
4. Safety Promotion and Communication – a process to communicate safety information supporting the SMS through a combination of communication tools and training that covers the expectation and processes to report safety concerns.

Recommendation:

Staff recommends approval of the new SMS plan to meet FTA requirements.

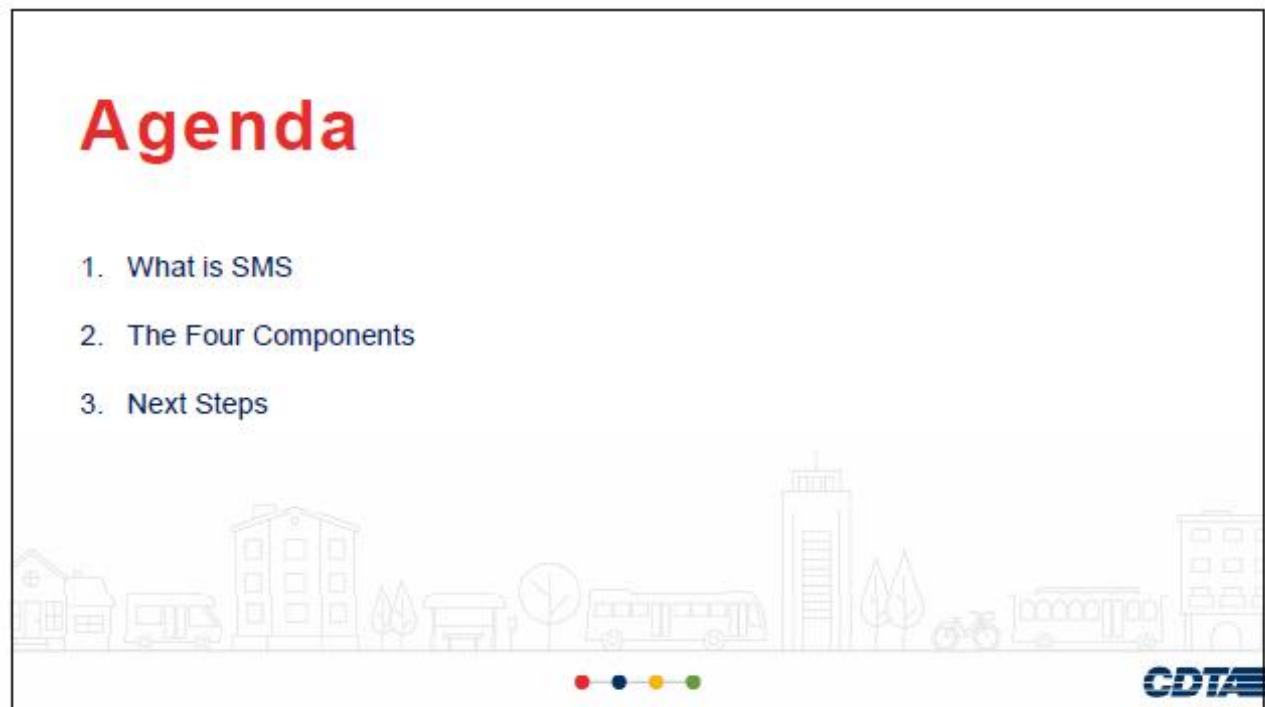
Copy: Carm Basile, Chief Executive Officer

Public Transportation Agency Safety Plan (PTASP)

Attached Separately



1



2

What is SMS

FTA 49 C.F.R. Part 673 requires recipients of FTA grant funds to develop safety plans to include processes and procedures for implementing Safety Management Systems (**SMS**).

SMS is a formal top down, organizational-wide, data driven approach to managing safety risk, and assuring safety risk mitigation.



3

The Four Components of SMS

Safety Management Policy – The statement must establish the necessary authorities, accountabilities, and responsibilities for the management of safety at the leadership level.

Safety Risk Management – A standard process that is used to identify hazards, assess the risk that may come from the hazard, and a process to mitigate its risk.

Safety Assurance – a process that is used to ensure the proper implementation of the plan, effectiveness of risk mitigation, and verify if the objectives of the plan are working effectively.

Safety Promotion and Communication – a process to communicate safety information supporting the SMS through a combination of communication tools and training that covers the expectation and processes to report safety concerns.



4

Improvement through SMS – Overview of CDTA's Plan



5

SMS Timeline FY21



6

Capital District Transportation Authority Agenda Action Proposal

Subject: Annual Review and Approval of the Drug and Alcohol Policy

Committee: Performance Monitoring/Audit

Committee Meeting Date: Wednesday June 17, 2020

Board Action Date: Wednesday June 24, 2020

Background:

An annual review of the Drug and Alcohol Policy is required according to 49 CFR Parts 40 & 655 regulations.

Purpose:

The policy must be available to all employees and specifically to employees that perform safety-sensitive functions. The policy ensures that all regulations are up to date and followed to remain in compliance with the Federal Transit Administration.

Summary of Proposal:

There were no required regulatory changes to the Drug & Alcohol Policy. However, a procedural change was necessary in the Employee Self-Referral section of the policy outlined in Section 7, "Evaluations/Referrals and Rehabilitation".

Staff recommends that procedural changes in Section 7 for an employee returning to work and improving employee privacy, be included and approved in the 2020 Drug & Alcohol Policy.

Financial Summary and Source of Funds:

No impact

Prepared by:

Rich Cordero, Manager of Safety & Training

Project Manager:

Rich Cordero, Manager of Safety & Training

Memorandum

June 17, 2020

To: Chairman, Performance Monitoring/Audit Committee
Members, Performance Monitoring/Audit Committee

From: Rich Cordero, Manager of Safety and Training

Subject: Approve Changes to the CDTA Drug & Alcohol Policy

Background:

Each year the Safety Department is responsible for making changes and/or updates to the Drug and Alcohol policy and bringing those updates to the Board of Directors for approval. There are several reasons why a change might be made, some of which might be:

- A DOT regulatory change
- Modifying language to make it easier and more clear for employees
- A procedural or policy change made to improve our overall Drug and Alcohol program or as a response to a specific issue

Summary:

There are no regulatory changes that need to be made at the present time. In response to a situation that arose this past year, we have decided to make a procedural change to the Employee Self-Referral section of the policy, which is Section 7, Evaluations/Referrals and Rehabilitation.

Reason for changes:

The Employee Self-Referral part of Section 7 does not fall under the federal guidelines. The change that we propose allows management to be involved in the process of returning an employee back to work after the completion of a rehabilitation program. It also takes into consideration employee privacy during the follow-up testing process by eliminating unnecessary observed testing.

Staff Recommendation:

Staff is recommending that this procedural change be incorporated into the Drug and Alcohol Policy moving forward.

Copy: Carm Basile, Chief Executive Officer
Mike Collins, VP of Finance & Administration
Kelli Shreivogl Director of Human Resources

Drug and Alcohol Policy 2020

Attached Separately

Memorandum

June 17, 2020

To: Chairman, Performance Monitoring/Audit Committee
Members, Performance Monitoring/Audit Committee

From: Rich Cordero, Manager of Safety & Training

Subject: FY2020 Year End Accident Report

Background:

This is the annual performance report on accidents that occurred throughout our system. It compares data from our current fiscal year to the prior fiscal year. The report also highlights current safety activities along with upcoming accident reduction program initiatives designed to help meet our overall Safety Goals.

Highlights of FY2020 include a 6% increase in accidents from the prior year, our goal for FY2020 was a 3% reduction. The reasons behind the increase will be discussed in more detail during the Performance Monitoring/Audit Committee.

Program:

The Safety Departments annual accident report for FY2020 highlights three key areas:

- Total number of accidents in FY2020.
- Comparison of accident data between FY2020 and FY2019.
- A recap of the current steps being taken to decrease accidents.

FY2020 had a total of 572 accidents, an increase of 33 accidents compared to FY2019. For classification purposes, accidents are separated into two categories: collision and passenger. In FY2020 there were 358 collision accidents and 214 passenger accidents. Collision accidents increased by 13 and passenger accidents increased by 20. The accident rate per 100,000 miles was 5.5, which is a 0.4 increase from FY19 and just falls with-in the five-year accident rate average of 5.5 accidents per 100k miles.

| | | | | | |
|-------------|-------------------------|------------|-------------|-------------------------|------------|
| FY19 | <u>Collision:</u> | 345 | FY20 | <u>Collision:</u> | 358 |
| | <u>Passenger:</u> | <u>194</u> | | <u>Passenger:</u> | <u>214</u> |
| | TOTAL | 539 | | TOTAL | 572 |
| | | | | | |
| FY19 | <u>Preventable:</u> | 156 | FY20 | <u>Preventable:</u> | 189 |
| | <u>Non-Preventable:</u> | <u>383</u> | | <u>Non-Preventable:</u> | <u>383</u> |
| | TOTAL | 539 | | TOTAL | 572 |

Notable Statistics:

- 6% increase in accidents
- 20% increase in preventable accidents (about 50% of increase is due to construction at Troy Garage)
- 109 new hires in FY20
- 27% of our operators are employed less than 3 years

Safety Goals for FY2021:

In FY2021, the Safety Department remains committed to taking a proactive approach to addressing aggressive driving. With the new Intelligent Transportation Management System (ITMS) and in cooperation with the IT department, the Safety Department has created a driver excellence dashboard. Safety will continue working closely with IT and Transportation to identify aggressive driving by using data to find trends. These data will help develop safety messages, which will ultimately serve to improve driver's performance.

Safety will continue to support the recruitment of individuals who demonstrate the competencies that we have deemed necessary to be successful as a bus operator.

In addition, Safety will:

1. Continue new hire refresher programs both at the one-month and one-year time points
2. Provide Supervisors with more comprehensive training so that they are better equipped to identify drivers with aggressive and/or dangerous habits
3. Roll out the new SMS plan
4. Train appropriate staff on how to properly implement the Risk Values process into their daily assignments.
5. Have a 5% accident reduction goal

NOTE: There will be a more in-depth discussion of this accident report at the Performance Monitoring/Audit Committee.

Copy: Carm Basile, Chief Executive Officer
Mike Collins, VP of Finance & Administration
Kelli Schreivogl, Director of Human Resources

Accident Overview Fiscal Year 2020



1

Presentation Highlights

- Accident review for Fiscal Year 2020
- Yearly Comparisons
- Direction of Safety for Fiscal Year 2021



2

Definitions

Accident – Contact with any object, vehicle or person

Collision Accident – Contact with a vehicle, fixed object or person outside of the vehicle

Passenger Accident – Contact with a person boarding, alighting or inside the vehicle

Preventable Accident – Operator failed to take all reasonable measures to avoid contact

Non-Preventable Accident – Operator did everything reasonably expected to avoid contact



3

Total Accidents Comparison

FY19 Collision: 345

Passenger: 194

Total: 539

FY20 Collision: 358

Passenger 214

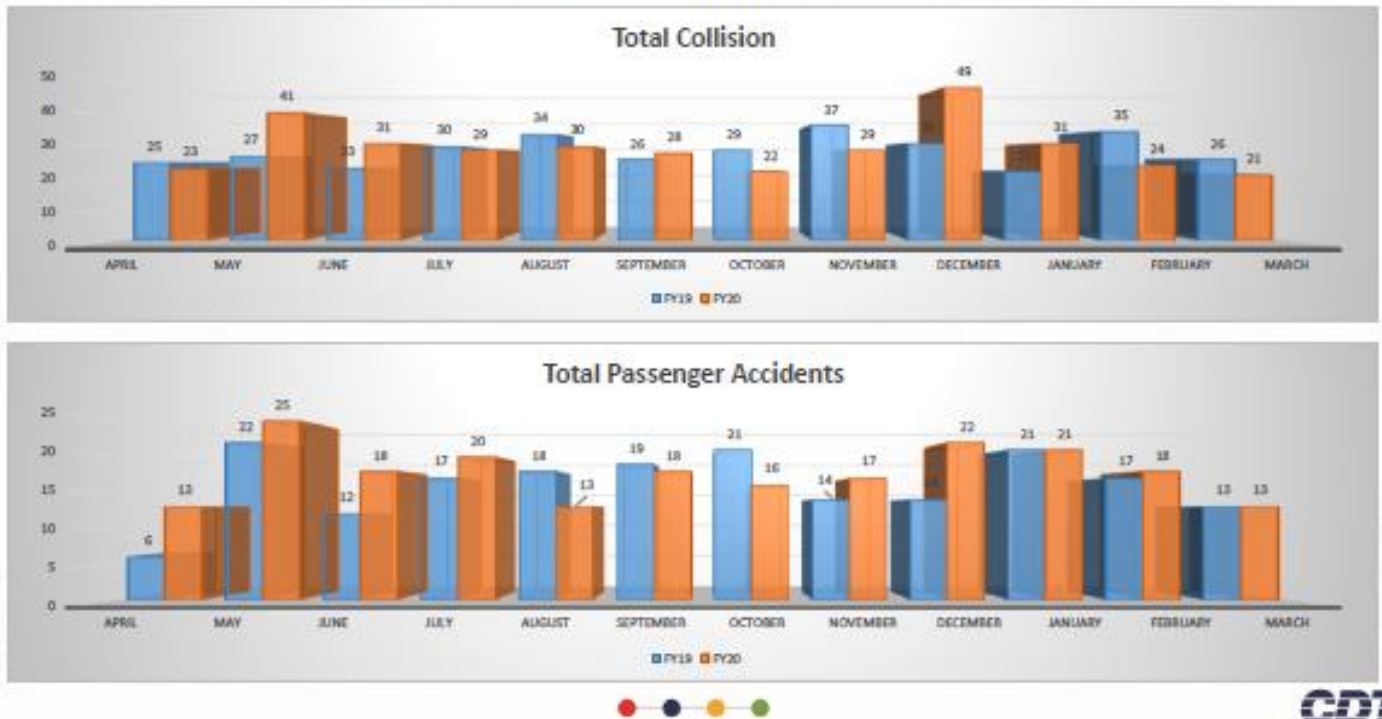
Total: 572

5.5 Accidents Per 100K Miles



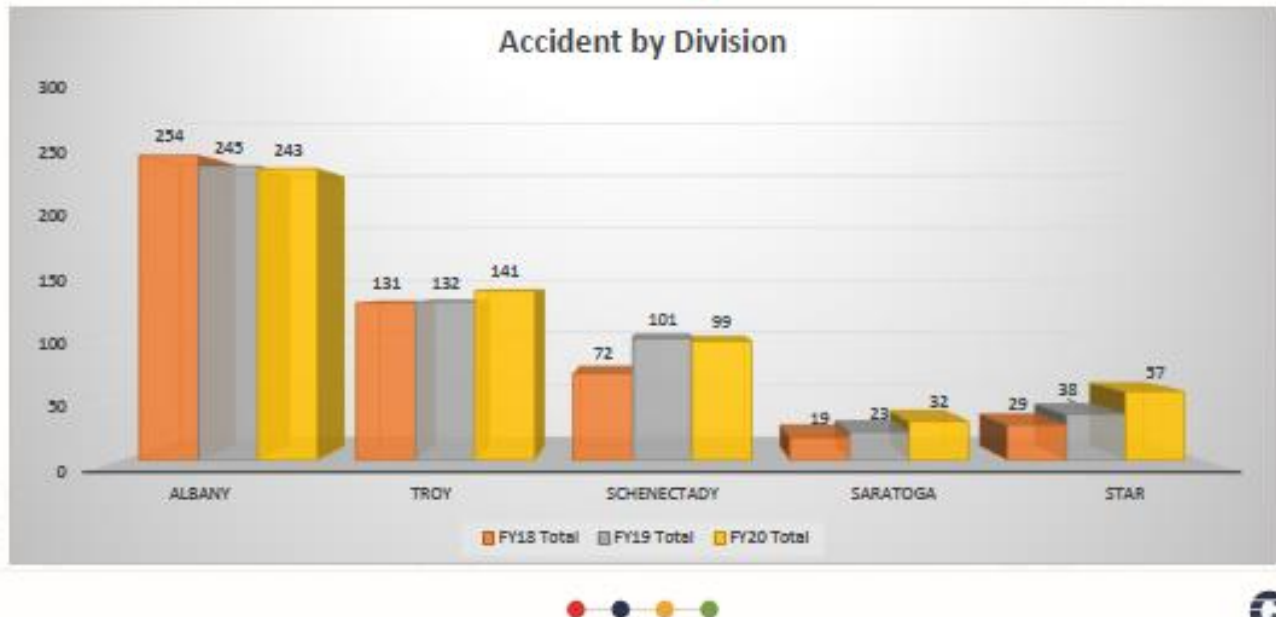
4

Comparison of Accident Type



5

Accidents by Division



6

Preventable Accidents Comparisons FY2019 – FY2020

FY19

Preventable: 156
Non-Preventable: 383
 Total: 539



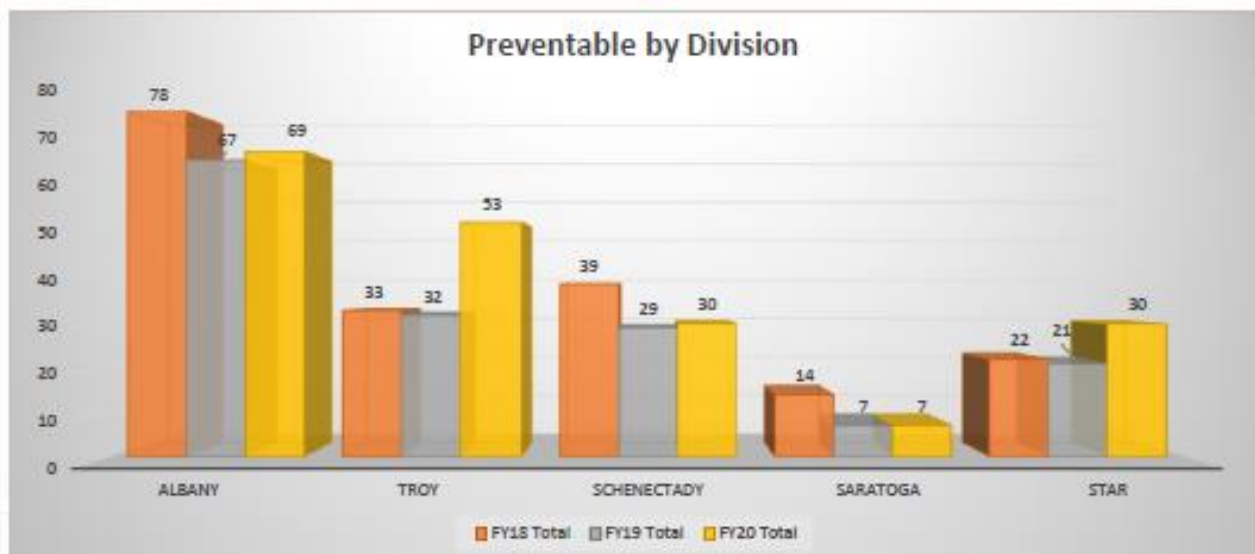
FY20

Preventable: 189
Non-Preventable: 383
 Total: 572



7

Preventable by the Division



8

Contributing Factors

December Snowstorm

- Impacted all divisions

Troy Division – 21 additional preventable accidents from FY19

- Troy Garage expansion – 12 on property preventable accidents
- August Constructing

Flexible Service – 9 additional preventable accidents from FY19

- 20,000 More trips
- 50% of accidents were from employees with less than 3 years

Employee Retention

- Operators with less than 3 years make up 50% of the preventable accidents



FY2021 Safety Initiatives



Focus Areas

Recruitment of operators – Continue working to recruit the right person – Positive behavioral traits.

Enhancing our training program – Revamping the operator refresher program – Focus on the 3 years and under group.

High Risk Operators – Using the data from the ITMS Dashboard, Supervisors will have more resources available to address aggressive behavior.

Safety Risk Matrix – Through SMS, departments will begin using a Risk Matrix to identify ways to address hazards during the planning process of routes, schedules, along with other areas that effect safety.



Memorandum

June 17, 2020

To: Chairman, Performance Monitoring/Audit Committee
Members, Performance Monitoring/Audit Committee

From: Jack Grogan, Director of Risk Management

Subject: Annual Report on Workplace injuries and
Worker's Compensation Costs – Fiscal Year 2020

Background:

In Fiscal Year 2020, CDTA had 81 companywide reported injury cases, 62 from Transportation and 19 from Maintenance. Of those 81 reported cases, 15 cases caused employees to lose more than 5 days of work. The injured employee numbers are higher than FY 2019 which had 65 total reported injuries and 11 lost time claims.

| Fiscal Year | Number of Injuries | Lost Time Claims |
|-----------------------|--------------------|------------------|
| 2015 | 73 | 12 |
| 2016 | 57 | 19 |
| 2017 | 77 | 19 |
| 2018 | 72 | 13 |
| 2019 | 65 | 11 |
| 2020 | 81 | 15 |
| 6 Year Average | 70.8 | 14.8 |

A specific type of injury could not be identified as most reported injuries were due to a trauma related incident. Vehicle crashes, falls and non-specific injuries (no known cause) make up the majority of cases.

Of significant note is the place of employment. The reported injuries by Division are Albany - 30, Troy – 21, Schenectady - 11 and STAR - 9. It is expected that the Albany Division would have the most injuries because of the large number of employees, but Troy has a fraction of employees and accounts for almost as many reported injuries. Schenectady's injury number is up from last year. STAR's injury number just about tripled in the past year. Further investigation did not reveal any specific environmental issue causing the larger numbers, but the Troy, Schenectady Division, along with Star will be subject to more attention moving forward.

Worker's Compensation costs consist of three categories: Compensation, Expenses and Medical costs. CDTA's total costs for FY 2020 are \$2,027,998. This is down from FY 2019, which showed \$2,268,064 in total costs. This is a year to year cost reduction of \$240,065. The six-year average for Worker's Compensation costs is \$2,207,391.

| Fiscal Year | COMP Total | EXPENSE Total | MEDICAL Total | Grand Total |
|--------------------|--------------------|----------------------|----------------------|---------------------|
| 2015 | \$1,585,921 | \$260,005 | \$406,975 | \$2,252,902 |
| 2016 | \$1,311,845 | \$283,227 | \$393,078 | \$1,988,152 |
| 2017 | \$1,510,297 | \$321,036 | \$430,128 | \$2,261,462 |
| 2018 | \$1,768,049 | \$246,094 | \$431,629 | \$2,445,772 |
| 2019 | \$1,637,789 | \$256,642 | \$373,632 | \$2,268,064 |
| 2020 | \$1,437,923 | \$271,660 | \$318,415 | \$2,027,998 |
| Total | \$7,813,901 | \$1,638,664 | \$2,353,857 | \$13,244,350 |
| 6 Year Avg | \$1,541,970 | \$273,110 | \$392,309 | \$2,207,391 |

Compensation is the clear driver for CDTA's costs. These are typically direct payments to injured workers in the form of indemnity payments and Scheduled Loss of Use (SLU) awards. These costs also include payments to attorneys. There are several payment categories within the Compensation section and all increased over the past 5 years. Schedule Loss of Use continues to be a significant factor in our WC costs amounting to \$2.1 million over the past 5 years. SLU awards peaked at \$579,312 in FY 2018 but did decrease to \$454,819 in FY 2019. And in FY 2020, SLU awards significantly decreased to \$258,158. This has been a positive trend.

Relief in SLU payments has been seen from State Legislation enacted in 2018. The law now considers the injured worker's actual Range of Motion instead of just relying on guidelines. Also, a body part can no longer have more than a 100% classification. In the past if a worker injured their arm, they could be awarded 50% each for their wrist, elbow and shoulder for a total of 150%. This example cannot happen anymore and significantly lowers SLU costs.

In March of 2007, legislation was passed that capped payments to injured workers. Lifetime benefits are no longer paid. Some of these legacy payments have expired in the last couple of years and more will be ending as we move forward. This cap will help us with some budget certainty issues and will also protect the company from long term liabilities.

Other significant cost drivers are the yearly increases to the Maximum Weekly Benefit rate. This rate is used to compensate injured employees on a weekly basis for the time they miss work for their respective injury. On July 1, 2019, the Maximum Weekly Benefit rate increased almost \$30 per week to \$934. The dramatic rate increases over the past 10 to 12 years has directly led to overall cost increases, even though the number of injuries continues to generally fall.

Recommendations:

- Intensify claims management – Unfortunately, a level of injuries is inevitable, however each injury/claim must be dealt with in the most efficient manner possible. Working with our Third-Party Administrator (TPA) and management, the goal is to get the employee healthy and working again as soon as possible.

- Bi-weekly Lost/Sick time meetings with Superintendents - These meetings are designed to ensure that all is being done to facilitate that the proper steps are taken to achieve a worker's return to duty and communicate any special considerations so valuable time is not lost.
- Work with the Safety and Training department as they re-brand and develop a companywide Safety Culture where every employee is empowered and expected to think of safety in all they do.
- Continue all the workplace safety programs currently being utilized and look to enhance as needed.
- Work with the Facilities and Maintenance departments to identify and correct any environmental factors that have led or may lead to unsafe work areas.
- Implement items from the Safety and Security Assessment specifically that deal with Operator safety. This should have a direct impact on risks of operator injuries from assaults.

Copy: Carm Basile, Chief Executive Officer
Mike Collins, Vice President of Finance and Administration

Workplace Injuries and Worker's Comp – FY 2020

Jack Grogan, Director of Risk Management



1

Work Place Injuries and Worker's Comp-2020

- 81 reported injuries in FY 2020, 15 were considered lost time
- Both higher than last year's numbers of 72 and 13
- Both higher than 5-year average of 68.8 and 14.8



2

Work Place Injuries and Worker's Comp-2020

- 62 from Transportation and 19 from Maintenance
- No significant type of injury identified
- Albany-30, Troy-21, Sch'dy-11 and STAR-9



3

Work Place Injuries and Worker's Comp-2020

- Total Expenses for FY 2020 are \$2,027,998
- Decrease from FY 2019 by \$240,714
- Decrease of \$35,879 over the 6-year average



4

Work Place Injuries and Worker's Comp-2020

- Direct payments to injured workers are main driver of costs
- Indemnity payments and SLU
- Max. weekly benefit rate increased \$30 per week on July 1, 2019
- SLU payments cost over \$2.1 million in the past 5 years
- SLU awards decreased by \$321,154 from FY 2018



5

Work Place Injuries and Worker's Comp-2020 - Recommendations

- Intensify Claims Management
- Bi-Weekly Lost/Sick management meetings
- Assist Safety and Training department in Safety Culture Re-Branding
- Continue and enhance Workplace safety training
- Identify and correct any potential environmental factors
- Implement items from Safety and Security Assessment



6

Work Place Injuries and Worker's Comp-2019

Questions?



Monthly Management Report

May 2020



Monthly Management Report - May 2020

Executive Summary - Highlights

| | | | | Current Month | | Year to Date | |
|----------|--------------------------|--------------|--------------|----------------|----------|----------------|---------------|
| REVENUE | | Actual | Budget | (\$) | (%) | (\$) | (%) |
| 1 | Mortgage Tax | \$ 1,056,711 | \$ 937,500 | \$ 119,211 | 12.72% | \$ (68,087) | -3.63% |
| 2 | Customer Fares | \$ 34,049 | \$ 1,720,972 | \$ (1,686,923) | -98.02% | \$ (3,258,381) | -94.67% |
| 3 | STOA | \$ - | \$ 3,685,397 | \$ (3,685,397) | -100.00% | \$ (7,370,793) | -100.00% |
| 4 | 5307 | | \$ 1,058,417 | \$ (1,058,417) | -100.00% | \$ (2,116,833) | -100.00% |
| 5 | CARES Act | \$ 7,032,139 | | \$ 7,032,139 | | \$ 20,035,544 | \$ 20,035,544 |
| | | | | | | | |
| EXPENSES | | Actual | Budget | (\$) | (%) | (\$) | (%) |
| 6 | Workers' Compensation | \$ 167,792 | \$ 219,809 | \$ (52,017) | -23.66% | \$ (60,174) | -13.69% |
| 7 | Professional Services | \$ 163,617 | \$ 324,145 | \$ (160,528) | -49.52% | \$ (313,103) | -48.30% |
| 8 | Purchased Transportation | \$ 81,917 | \$ 555,447 | \$ (473,530) | -85.25% | \$ (799,990) | -72.01% |
| 9 | Fuel | \$ 299,291 | \$ 472,426 | \$ (173,135) | -36.65% | \$ (286,901) | -39.04% |
| | | | | | | YTD Revenue | 37.50% |
| | | | | | | YTD Expenses | 14.30% |

- 1 MRT was almost 13% over budget, a nice rebound from a slow month in April.
- 2 Due to rear door boarding we did not collect fares in May, however there were some small product purchases.
- 3 NYS did not provide our quarterly State Operating Assistance (STOA) of \$11 million due May 10th.
- 4 We will not be able to access our \$12.7 million Federal Preventative Maintenance (5307) program until at least the fall.
- 5 We drew down \$7 million in CARES Act funding.
- 6 Workers' Compensation is under budget by 23% for the month, and 13% for the year.
- 7 Professional Services is under budget by 50% because all categories are spending less due to COVID. Advertising in particular is down \$70K.
- 8 Purchased Transportation was under budget 85% for the month and 72% for the year due to COVID.
- 9 Due to less fuel usage because of COVID, fuel is under budget by 36% for the month and 39% for the year.

Note: We accessed our Line of Credit (\$6 million) to pay for our Gillig Buses

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
CONSOLIDATED BALANCE SHEET**

| | May-2020 | May-2019 |
|---|----------------------|----------------------|
| Assets | | |
| Current Assets: | | |
| Cash | \$9,887,204 | \$10,455,428 |
| Investments | \$17,688,759 | \$19,468,230 |
| Receivables: | | |
| Mortgage Tax | \$1,056,711 | \$796,297 |
| Federal Grants | \$13,551,066 | \$2,111,300 |
| New York State Operating Assistance | \$0 | (\$3,126,883) |
| Trade and Other | \$1,116,130 | \$2,998,550 |
| Advances to Capital District Transportation Committee | \$1,179,106 | \$785,789 |
| Materials, Parts and Supplies | \$4,035,516 | \$3,959,784 |
| Prepaid Expenses | \$682,089 | \$604,476 |
| Sub-Total Current Assets | \$48,996,581 | \$38,052,969 |
| Noncurrent Assets: | | |
| Capital Assets, net | \$117,452,342 | \$116,357,785 |
| Deferred outflows of resources: | | |
| Deferred outflows of resources related to OPEB | \$18,454,673 | |
| Deferred outflows of resources from pension | \$1,544,989 | \$2,608,902 |
| Sub-Total Deferred outflows of resources: | \$19,999,662 | \$2,608,902 |
| Total for Assets | \$186,448,586 | \$157,019,656 |
| Liabilities | | |
| Current Liabilities: | | |
| Accounts Payable | \$9,769,737 | \$3,215,352 |
| Accrued Expenses | \$5,040,574 | \$4,190,868 |
| Unearned passenger revenue | \$2,190,734 | \$2,058,435 |
| Line of Credit | \$0 | \$5,505,108 |
| Sub-Total Current Liabilities | \$17,001,045 | \$14,969,763 |
| Noncurrent Liabilities: | | |
| Capital Lease Agreement | \$4,369,564 | \$5,503,411 |
| Estimated Provision for Existing Claims and Settlements | \$10,576,668 | \$10,882,595 |
| Other postemployment benefits | \$105,346,823 | \$90,160,188 |
| Net Pension Liability | \$1,816,083 | \$735,846 |
| Sub-Total Noncurrent Liabilities | \$121,909,138 | \$107,282,039 |
| Deferred inflows of resources: | | |
| Deferred inflows of resources from pension | \$737,493 | \$2,535,067 |
| Deferred inflows of resources from OBEP | \$11,007,730 | \$1,872,110 |
| Sub-Total Deferred inflows of resources | \$11,745,223 | \$4,407,177 |
| Total for Liabilities | \$150,655,405 | \$126,658,979 |
| Net Position | | |
| Net Investment in Capital Assets | \$108,241,228 | \$108,241,228 |
| Unrestricted | (\$72,448,047) | (\$77,880,551) |
| Total for Net Position | \$35,793,181 | \$30,360,677 |
| Total Liabilities and Net Position | \$186,448,586 | \$157,019,656 |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
CONSOLIDATED STATEMENT OF OPERATIONS
May-2020

| | <u>To Date Actual</u> | <u>Annual Budget</u> | 17% |
|--|-----------------------|----------------------|------------|
| REVENUE: | | | |
| AUTHORITY | \$1,860,865 | \$11,455,000 | 16% |
| TRANSIT | \$13,551,066 | \$81,953,820 | 17% |
| ACCESS | \$57,150 | \$525,000 | 11% |
| CDTA FACILITIES | \$161,419 | \$3,769,022 | 4% |
| TOTAL REVENUE | \$15,630,500 | \$97,702,842 | 16% |
| EXPENSE: | | | |
| AUTHORITY | \$2,653,411 | \$17,028,670 | 16% |
| TRANSIT | \$10,897,656 | \$77,122,426 | 14% |
| ACCESS | \$200,684 | \$1,283,750 | 16% |
| CDTA FACILITIES | \$223,345 | \$2,267,995 | 10% |
| TOTAL EXPENSE | \$13,975,095 | \$97,702,842 | 14% |
| Revenue over (under) Expenses | \$1,655,405 | | |
| Depreciation | <u>\$2,300,000</u> | | |
| Excess of Revenue over (under) Expenses | (\$644,595) | | |
| Transfer from Project Fund | \$0 | | |
| Transfer to Risk Mngt Fund | \$0 | | |
| Transfer from Risk Mngt Fund | \$0 | | |
| Transfer from Vehicle Replacement | \$0 | | |
| Transfer to Vehicle Replacement | \$0 | | |
| Transfer to Capital Projects Fund | \$0 | | |
| Transfer from Operating Fund | \$0 | | |
| Transfer to Operating Fund | \$0 | | |
| Transfer from Worker's Comp Fund | \$0 | | |
| Transfer to Worker's Comp Fund | <u>(\$439,816)</u> | | |
| *Net Excess of Revenue over (under) Expenses | (\$1,084,411) | | |
| *Contribution to required fleet replacement. | | | |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
May-20

BUDGET VARIANCE REPORT

| BUDGET VARIANCE REPORT | | CONSOLIDATED | | | | | | | | Annual Budget |
|------------------------------|----------------------------------|--------------|-------------|---------------|------------|--------------|--------------|---------------|------------|------------------|
| | | This Month | | | | Year to Date | | | | |
| | | Actual | Budget | Variance | % Variance | Actual | Budget | Variance | % Variance | |
| Operating Revenue | | | | | | | | | | |
| | Mortgage Tax | \$1,056,711 | \$937,500 | \$119,211 | 12.72% | \$1,806,913 | \$1,875,000 | (\$68,087) | -3.63% | \$11,250,000 |
| | Customer Fares | \$34,049 | \$1,720,972 | (\$1,686,923) | -98.02% | \$183,564 | \$3,441,945 | (\$3,258,381) | -94.67% | \$20,651,667 |
| | Advertising Revenue | \$105,625 | \$107,708 | (\$2,083) | -1.93% | \$211,250 | \$215,417 | (\$4,167) | -1.93% | \$1,292,500 |
| | RRS & Facilities | \$57,869 | \$304,303 | (\$246,433) | -80.98% | \$136,327 | \$608,605 | (\$472,278) | -77.60% | \$3,651,631 |
| | Interest Income | \$190 | \$1,667 | (\$1,476) | -88.58% | \$344 | \$3,333 | (\$2,990) | -89.69% | \$20,000 |
| | Misc. Income | \$7,122 | \$15,708 | (\$8,586) | -54.66% | \$16,530 | \$31,417 | (\$14,887) | -47.39% | \$188,500 |
| Total Operating Revenue | | \$1,261,567 | \$3,087,858 | (\$1,826,291) | -59.14% | \$2,354,926 | \$6,175,716 | (\$3,820,790) | -61.87% | \$37,054,298 |
| Operating Assistance | | | | | | | | | | |
| | New York State Aid | \$0 | \$3,685,397 | (\$3,685,397) | -100.00% | \$0 | \$7,370,793 | (\$7,370,793) | -100.00% | \$44,224,758 |
| | County Aid | \$0 | \$159,750 | (\$159,750) | -100.00% | \$0 | \$319,500 | (\$319,500) | -100.00% | \$1,917,000 |
| | Federal Preventative Maintenance | \$0 | \$1,058,417 | (\$1,058,417) | -100.00% | \$0 | \$2,116,833 | (\$2,116,833) | -100.00% | \$12,701,000 |
| | Federal Aid - Cares Act | \$7,032,139 | \$0 | \$7,032,139 | | \$20,035,544 | \$0 | \$20,035,544 | | \$0 |
| | Operating Grants | \$0 | \$150,482 | (\$150,482) | -100.00% | \$0 | \$300,964 | (\$300,964) | -100.00% | \$1,805,786 |
| Total Operating Assistance | | \$7,032,139 | \$5,054,045 | \$1,978,093 | 39.14% | \$20,035,544 | \$10,108,091 | \$9,927,454 | 98.21% | \$60,648,544 |
| Total Revenue and Assistance | | \$8,293,706 | \$8,141,904 | \$151,802 | 1.86% | \$22,390,470 | \$16,283,807 | \$6,106,663 | 37.50% | \$97,702,842 |
| Expenses | | | | | | | | | | |
| | Salaries and Wages | \$4,236,052 | \$4,031,423 | \$204,629 | 5.08% | \$7,773,438 | \$8,062,846 | (\$289,408) | -3.59% | \$48,377,074 |
| | FICA | \$306,166 | \$284,972 | \$21,194 | 7.44% | \$557,705 | \$569,944 | (\$12,239) | -2.15% | \$3,419,663 |
| | Health Benefits | \$844,940 | \$887,613 | (\$42,673) | -4.81% | \$1,712,409 | \$1,775,225 | (\$62,816) | -3.54% | \$10,651,352 |
| | Workers Compensation | \$167,792 | \$219,809 | (\$52,017) | -23.68% | \$379,444 | \$439,618 | (\$60,174) | -13.69% | \$2,637,708 |
| | Other Benefits | \$304,636 | \$332,395 | (\$27,759) | -8.35% | \$587,624 | \$664,790 | (\$77,167) | -11.61% | \$3,988,741 |
| | Professional Services | \$163,617 | \$324,145 | (\$160,528) | -49.52% | \$335,188 | \$648,291 | (\$313,103) | -48.30% | \$3,889,745 |
| | Materials & Supplies | \$146,996 | \$140,529 | \$6,468 | 4.60% | \$223,334 | \$281,058 | (\$57,724) | -20.54% | \$1,686,346 |
| | Miscellaneous | \$59,573 | \$61,404 | (\$1,831) | -2.98% | \$153,506 | \$122,809 | \$30,697 | 25.00% | \$736,853 |
| | Purchased Transportation | \$81,917 | \$555,447 | (\$473,530) | -85.25% | \$310,903 | \$1,110,893 | (\$799,990) | -72.01% | \$6,665,358 |
| | Maintenance Services | \$235,673 | \$251,272 | (\$15,598) | -6.21% | \$470,089 | \$502,543 | (\$32,454) | -6.46% | \$3,015,258 |
| | Liability - Claims | \$68,462 | \$30,069 | \$38,393 | 127.68% | \$96,872 | \$60,139 | \$36,733 | 61.08% | \$360,833 |
| | Utilities | \$59,531 | \$84,250 | (\$24,719) | -29.34% | \$110,102 | \$168,500 | (\$58,398) | -34.66% | \$1,011,000 |
| | Fuel | \$299,291 | \$472,426 | (\$173,134) | -36.65% | \$575,957 | \$944,851 | (\$368,894) | -39.04% | \$5,669,108 |
| | Parts, Tires, Oil | \$196,498 | \$405,906 | (\$209,408) | -51.59% | \$542,911 | \$811,812 | (\$268,901) | -33.12% | \$4,870,870 |
| | General Insurance | \$63,890 | \$60,244 | \$3,646 | 6.05% | \$125,099 | \$120,489 | \$4,611 | 3.83% | \$722,933 |
| Total EXPENSES | | \$7,235,035 | \$8,141,903 | (\$906,869) | -11.14% | \$13,954,580 | \$16,283,807 | (\$2,329,227) | -14.30% | \$97,702,842 |
| Surplus/Deficit | | \$1,058,671 | \$0 | \$1,058,671 | | \$8,435,890 | \$0 | \$8,435,890 | | \$0 |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
 MONTHLY MANAGEMENT REPORT
 May-20

BUDGET VARIANCE REPORT

| NON-TRANSIT | | | | | | | | | |
|--------------------------------------|-------------|-------------|-------------|---------|--------------|-------------|-------------|------------|---------------|
| This Month | | | | | Year to Date | | | | Annual |
| Actual | Budget | Variance | % Variance | | Actual | Budget | Variance | % Variance | Budget |
| Operating Revenue | | | | | | | | | |
| Mortgage Tax | \$1,056,711 | \$937,500 | \$119,211 | 12.72% | \$1,808,913 | \$1,875,000 | (\$68,087) | -3.63% | \$11,250,000 |
| Interest Income | \$152 | \$1,667 | (\$1,514) | -90.87% | \$268 | \$3,333 | (\$3,065) | -91.95% | \$20,000 |
| Interest Inc-Invest/Change in Invest | \$15,310 | \$0 | \$15,310 | 0.00% | \$46,600 | \$0 | \$46,600 | 0.00% | \$0 |
| Misc. Income - Authority | \$7,083 | \$7,083 | \$0 | 0.00% | \$7,083 | \$14,166 | (\$7,083) | 0.00% | \$185,000 |
| Operating Fund | \$0 | \$0 | \$0 | 0.00% | \$0 | \$0 | \$0 | 0.00% | \$0 |
| Total Operating Revenue | \$1,079,257 | \$946,250 | \$133,007 | 14.06% | \$1,860,865 | \$1,892,499 | (\$31,634) | -1.67% | \$11,455,000 |
| Expenses | | | | | | | | | |
| Labor - Authority | \$631,813 | \$579,035 | \$52,778 | 9.11% | \$1,182,407 | \$1,158,070 | \$24,337 | 2.10% | \$6,948,420 |
| Fringe - Authority | \$359,985 | \$389,708 | (\$29,723) | -7.63% | \$732,472 | \$779,415 | (\$46,944) | -6.02% | \$4,676,491 |
| Materials & Supplies - Authority | \$9,036 | \$14,820 | (\$5,783) | -39.03% | \$11,298 | \$29,639 | (\$18,342) | -61.88% | \$177,836 |
| Professional Services - Authority | \$120,091 | \$234,695 | (\$114,605) | -48.83% | \$290,949 | \$469,391 | (\$178,442) | -38.02% | \$2,816,345 |
| Other Expenses - Authority | \$172,455 | \$200,798 | (\$28,343) | -14.12% | \$436,285 | \$401,596 | \$34,688 | 8.64% | \$2,409,578 |
| Total Expenses | \$1,293,379 | \$1,419,056 | (\$125,677) | -8.86% | \$2,653,411 | \$2,838,112 | (\$184,701) | -6.51% | \$17,028,670 |
| Surplus/(Deficit) | (\$214,123) | (\$472,806) | (\$7,330) | | (\$792,546) | (\$945,612) | \$153,067 | | (\$5,573,670) |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
May-20

BUDGET VARIANCE REPORT

| TRANSIT | | | | | | | | | |
|----------------------------------|-------------------|---------------|-----------------|-------------------|---------------------|---------------|-----------------|-------------------|---------------|
| | This Month | | | | Year to Date | | | | Annual |
| | Actual | Budget | Variance | % Variance | Actual | Budget | Variance | % Variance | Budget |
| Operating Revenue | | | | | | | | | |
| Passenger Fares-Transit | \$24,900 | \$1,158,472 | (\$1,133,572) | -97.85% | \$126,414 | \$2,316,945 | (\$2,190,530) | -94.54% | \$13,901,667 |
| Contracts - Transit | \$0 | \$518,750 | (\$518,750) | -100.00% | \$0 | \$1,037,500 | (\$1,037,500) | -100.00% | \$6,225,000 |
| Advertising-Transit | \$93,125 | \$97,926 | (\$4,801) | -4.90% | \$186,250 | \$195,851 | (\$9,601) | -4.90% | \$1,175,109 |
| Misc. Income - Transit | \$39 | \$292 | (\$253) | -86.63% | \$2,363 | \$583 | \$1,780 | 305.06% | \$3,500 |
| Total Operating Revenue | \$118,064 | \$1,775,440 | (\$1,657,376) | -93.35% | \$315,027 | \$3,550,879 | (\$3,235,852) | -91.13% | \$21,305,276 |
| Operating Assistance | | | | | | | | | |
| State Aid - General | \$0 | \$159,750 | (\$159,750) | -100.00% | \$0 | \$319,500 | (\$319,500) | -100.00% | \$1,917,000 |
| State Aid - PBT | \$0 | \$3,492,313 | (\$3,492,313) | -100.00% | \$0 | \$6,984,626 | (\$6,984,626) | -100.00% | \$41,907,758 |
| State Aid - Northway Commuter S. | \$0 | \$33,333 | (\$33,333) | -100.00% | \$0 | \$66,667 | (\$66,667) | -100.00% | \$400,000 |
| County Aid | \$0 | \$159,750 | (\$159,750) | -100.00% | \$0 | \$319,500 | (\$319,500) | -100.00% | \$1,917,000 |
| Federal Aid - Transit | \$0 | \$1,058,417 | (\$1,058,417) | -100.00% | \$0 | \$2,116,833 | (\$2,116,833) | -100.00% | \$12,701,000 |
| Federal Aid - Cares Act | \$7,032,139 | \$0 | \$7,032,139 | | \$13,551,066 | \$0 | \$13,551,066 | | \$0 |
| Other Grants - Federal | \$0 | \$150,482 | (\$150,482) | -100.00% | \$0 | \$300,964 | (\$300,964) | -100.00% | \$1,805,786 |
| Total Operating Assistance | \$7,032,139 | \$5,054,045 | \$1,978,093 | -600.00% | \$13,551,066 | \$10,108,091 | \$3,442,976 | -600.00% | \$60,648,544 |
| Total Revenue and Assistance | \$7,150,202 | \$6,829,485 | \$320,717 | 4.70% | \$13,866,093 | \$13,658,970 | \$207,123 | 1.52% | \$81,953,820 |
| Expenses | | | | | | | | | |
| Labor - Maintenance | \$816,966 | \$722,271 | \$94,695 | 13.11% | \$1,501,745 | \$1,444,542 | \$57,203 | 3.96% | \$8,667,252 |
| Labor - Transportation | \$2,421,201 | \$2,429,255 | (\$8,053) | -0.33% | \$4,448,108 | \$4,858,509 | (\$410,401) | -8.45% | \$29,151,054 |
| Labor - STAR | \$286,735 | \$230,230 | \$56,505 | 24.54% | \$501,154 | \$460,459 | \$40,694 | 8.84% | \$2,762,756 |
| Fringe | \$1,264,717 | \$1,317,774 | (\$53,057) | -4.03% | \$2,488,797 | \$2,635,548 | (\$146,750) | -5.57% | \$15,813,287 |
| Materials & Supplies | \$670,924 | \$985,070 | (\$314,146) | -31.89% | \$1,373,219 | \$1,970,140 | (\$596,921) | -30.30% | \$11,820,838 |
| Professional Services | \$97,848 | \$75,980 | \$21,868 | 28.78% | \$112,209 | \$151,960 | (\$39,751) | -26.16% | \$911,762 |
| Other Expenses | \$2,402 | \$4,379 | (\$1,977) | -45.15% | \$4,004 | \$8,758 | (\$4,755) | -54.29% | \$52,550 |
| Purchased Transportation - STAR | \$48,278 | \$390,636 | (\$342,358) | -87.64% | \$185,716 | \$781,272 | (\$595,556) | -76.23% | \$4,687,630 |
| Liability - Claims | \$68,462 | \$30,069 | \$38,393 | 127.68% | \$96,872 | \$60,139 | \$36,733 | 61.08% | \$360,833 |
| Liability - Insurance | (\$99) | \$57,503 | (\$57,602) | -100.17% | \$52,048 | \$115,006 | (\$62,957) | -54.74% | \$690,033 |
| Utilities - Transit | \$38,870 | \$48,817 | (\$9,947) | -20.38% | \$65,833 | \$97,633 | (\$31,801) | -32.57% | \$585,800 |
| Mat & Supplies - NX | \$0 | \$5,833 | (\$5,833) | -100.00% | \$2,322 | \$11,667 | (\$9,345) | -80.10% | \$70,000 |
| Purchased Transportation - NX | \$22,456 | \$129,053 | (\$106,597) | -82.60% | \$65,628 | \$258,105 | (\$192,477) | -74.57% | \$1,548,631 |
| Total Expenses | \$5,738,759 | \$6,426,869 | (\$688,109) | -10.71% | \$10,897,656 | \$12,853,738 | (\$1,956,082) | -15.22% | \$77,122,426 |
| Surplus/(Deficit) | \$1,411,443 | \$402,616 | \$1,008,827 | | \$2,968,438 | \$805,232 | \$2,163,205 | | \$4,831,394 |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
May-20

BUDGET VARIANCE REPORT

| BUDGET VARIANCE REPORT | | ACCESS TRANSIT SERVICES | | | | | | | | Annual Budget |
|------------------------------|--------------------------------|-------------------------|------------|------------|------------|--------------|-------------|------------|------------|------------------|
| | | This Month | | | | Year to Date | | | | |
| | | Actual | Budget | Variance | % Variance | Actual | Budget | Variance | % Variance | |
| Operating Revenue | | | | | | | | | | |
| | Contracts - Access | \$9,149 | \$39,583 | (\$30,434) | -76.89% | \$57,149 | \$79,167 | (\$22,017) | -27.81% | \$525,000 |
| | Interest Income | \$1 | \$0 | \$1 | 0.00% | \$1 | \$0 | \$1 | 0.00% | \$0 |
| | Misc. Income | \$0 | \$0 | \$0 | 0.00% | \$0 | \$0 | \$0 | 0.00% | \$0 |
| | Other Grants - State & Federal | \$0 | \$0 | \$0 | 0.00% | \$0 | \$0 | \$0 | 0.00% | \$0 |
| Total Operating Revenue | | \$9,150 | \$39,583 | (\$30,433) | -76.88% | \$57,150 | \$79,167 | (\$22,016) | -27.81% | \$525,000 |
| Total Revenue and Assistance | | \$9,150 | \$39,583 | (\$30,433) | -76.88% | \$57,150 | \$79,167 | (\$22,016) | -27.81% | \$525,000 |
| Expenses | | | | | | | | | | |
| | Labor - Access | \$80,417 | \$54,722 | \$5,696 | 10.41% | \$108,558 | \$109,444 | (\$2,885) | -2.64% | \$858,662 |
| | Fringe Benefits - Access | \$16,564 | \$14,652 | \$1,912 | 13.05% | \$31,279 | \$29,303 | \$1,976 | 6.74% | \$175,819 |
| | Purchased Transportation | \$11,183 | \$33,333 | (\$22,150) | -66.45% | \$59,559 | \$66,667 | (\$7,107) | -10.66% | \$400,000 |
| | Professional Services - Access | \$0 | \$0 | \$0 | 0.00% | \$0 | \$0 | \$0 | 0.00% | \$0 |
| | Rent and Utilities - Access | \$1,643 | \$1,643 | \$0 | 0.00% | \$3,287 | \$3,287 | \$0 | 0.00% | \$19,721 |
| | Other Expenses - Access | \$0 | \$2,629 | (\$2,629) | -100.00% | \$0 | \$5,258 | (\$5,258) | -100.00% | \$31,548 |
| Total Expenses | | \$89,808 | \$108,979 | (\$17,171) | -16.05% | \$200,684 | \$213,958 | (\$13,274) | -6.20% | \$1,283,750 |
| Surplus/(Deficit) | | (\$80,658) | (\$67,396) | (\$13,262) | | (\$143,534) | (\$134,792) | (\$8,742) | | (\$758,750) |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
May-20

BUDGET VARIANCE REPORT

| CDTA FACILITIES | | | | | | | | | |
|-------------------------|-------------------|---------------|-----------------|-------------------|---------------------|---------------|-----------------|-------------------|---------------|
| | This Month | | | | Year to Date | | | | Annual |
| | Actual | Budget | Variance | % Variance | Actual | Budget | Variance | % Variance | Budget |
| Operating Revenue | | | | | | | | | |
| RRS Station & Garage | \$45,671 | \$68,707 | (\$23,036) | -33.53% | \$113,566 | \$137,414 | (\$23,847) | -17.35% | \$824,481 |
| RRS Parking Revenue | \$4,056 | \$223,596 | (\$219,540) | -98.19% | \$6,756 | \$447,192 | (\$440,435) | -98.49% | \$2,683,150 |
| RRS Advertising | \$12,500 | \$9,783 | \$2,717 | 27.78% | \$25,000 | \$19,565 | \$5,435 | 27.78% | \$117,391 |
| SSTS | \$2,148 | \$2,467 | (\$319) | -12.92% | \$4,177 | \$4,933 | (\$756) | -15.33% | \$29,600 |
| Greyhound | \$0 | \$2,500 | (\$2,500) | -100.00% | \$0 | \$5,000 | (\$5,000) | -100.00% | \$30,000 |
| 85 Watervliet Avenue | \$5,801 | \$6,667 | (\$866) | -12.99% | \$11,601 | \$13,333 | (\$1,732) | -12.99% | \$80,000 |
| Interest Income | \$250 | \$367 | (\$117) | -31.82% | \$317 | \$733 | (\$416) | -56.71% | \$4,400 |
| Total Operating Revenue | \$70,425 | \$314,085 | (\$243,660) | -77.58% | \$161,419 | \$628,170 | (\$466,752) | -74.30% | \$3,769,022 |
| Expenses | | | | | | | | | |
| Labor | \$18,919 | \$15,911 | \$3,008 | 18.91% | \$33,465 | \$31,822 | \$1,644 | 5.16% | \$190,930 |
| Fringe-Benefits | \$2,696 | \$2,656 | \$40 | 1.52% | \$5,061 | \$5,311 | (\$250) | -4.70% | \$31,867 |
| Professional Services | \$107 | \$10,417 | (\$10,310) | -98.97% | \$390 | \$20,833 | (\$20,443) | -98.13% | \$125,000 |
| Insurance | \$2,448 | \$2,417 | \$31 | 1.28% | \$2,448 | \$4,833 | (\$2,386) | -49.36% | \$29,000 |
| Security | \$1,087 | \$33,617 | (\$32,529) | -96.77% | \$15,805 | \$67,233 | (\$51,429) | -76.49% | \$403,400 |
| Facilities Upkeep | \$23,196 | \$24,542 | (\$1,345) | -5.48% | \$23,608 | \$49,083 | (\$25,475) | -51.90% | \$294,500 |
| Facilities Repairs | \$7,809 | \$6,608 | \$1,201 | 18.17% | \$13,615 | \$13,217 | \$398 | 3.01% | \$79,300 |
| Utilities | \$16,800 | \$28,983 | (\$12,183) | -42.03% | \$36,371 | \$57,967 | (\$21,596) | -37.26% | \$347,800 |
| Materials & Supplies | \$4,656 | \$1,250 | \$3,406 | 272.49% | \$5,174 | \$2,500 | \$2,674 | 106.97% | \$15,000 |
| Parking Garage | \$39,352 | \$40,833 | (\$1,482) | -3.63% | \$51,242 | \$81,667 | (\$30,425) | -37.25% | \$490,000 |
| Greyhound | \$0 | \$667 | (\$667) | -100.00% | \$0 | \$1,333 | (\$1,333) | -100.00% | \$8,000 |
| 85 Watervliet Avenue | \$7,403 | \$8,342 | (\$938) | -11.25% | \$16,298 | \$16,683 | (\$385) | -2.31% | \$100,100 |
| SSTS | \$9,129 | \$12,758 | (\$3,630) | -28.45% | \$19,868 | \$25,517 | (\$5,649) | -22.14% | \$153,100 |
| Total Expenses | \$133,603 | \$189,000 | (\$55,397) | -29.31% | \$223,345 | \$378,000 | (\$154,654) | -40.91% | \$2,267,997 |
| Surplus/(Deficit) | (\$63,178) | \$125,085 | (\$188,264) | | (\$61,926) | \$250,171 | (\$312,097) | | \$1,501,025 |

CAPITAL DISTRICT TRANSPORTATION AUTHORITY MONTHLY MANAGEMENT REPORT

AGING OF ACCOUNTS RECEIVABLE

| May-20 | | |
|---------------------------|-------------|------------|
| | Amount | % of Total |
| Current | \$204,352 | 4.88% |
| 31 - 60 | \$198,559 | 4.74% |
| 61 - 90 | \$1,577,531 | 37.64% |
| 91 - 120 | \$131,122 | 3.13% |
| Over 120 | \$2,079,145 | 49.61% |
| Total Accounts Receivable | \$4,190,709 | 100.00% |

| Apr-20 | | |
|---------------------------|-------------|------------|
| | Amount | % of Total |
| Current | \$2,591,119 | 46.69% |
| 31 - 60 | \$217,254 | 3.91% |
| 61 - 90 | \$82,797 | 1.49% |
| 91 - 120 | \$801,104 | 14.43% |
| Over 120 | \$1,857,803 | 33.47% |
| Total Accounts Receivable | \$5,550,077 | 100.00% |

AGING OF ACCOUNTS PAYABLE

| May-20 | | |
|------------------------|-------------|------------|
| | Amount | % of Total |
| Current | \$3,497,083 | 35.18% |
| 31 - 60 | \$1,144,262 | 11.51% |
| 61 - 90 | \$4,180,059 | 42.05% |
| 90 & Over | \$1,119,215 | 11.26% |
| Total Accounts Payable | \$9,940,619 | 100.00% |

May-20 Receivables over 120 days: \$2,079,145

Breakdown of outstanding receivables over 120 days.

\$1,717,367 NYS DEPT. OF TRANSPORTATION

\$114,143 ADVANTAGE TRANSIT GROUP, INC.

\$112,500 CITY OF ALBANY

\$96,698 OTHER

\$38,437 PROCTOR'S THEATER

\$2,079,145

ADDITIONAL INFORMATION

| MORTGAGE RECORDING TAX | Current Month | | | | Fiscal Year to Date | | | |
|------------------------|---------------|-----------|------------|--------|---------------------|-------------|------------|--------|
| | May-20 | May-19 | Difference | % | 2021 | 2020 | Difference | % |
| Albany | \$396,432 | \$309,009 | \$87,422 | 28.29% | \$631,136 | \$589,155 | \$41,981 | 7.13% |
| Rensselaer | \$153,551 | \$114,500 | \$39,051 | 34.11% | \$249,066 | \$253,635 | (\$4,569) | -1.80% |
| Saratoga | \$333,330 | \$275,147 | \$58,182 | 21.15% | \$671,458 | \$664,682 | \$6,776 | 1.02% |
| Schenectady | \$173,398 | \$151,292 | \$22,107 | 14.61% | \$255,253 | \$206,310 | \$48,943 | 23.72% |
| Total | \$1,056,711 | \$849,948 | \$206,763 | 24.33% | \$1,806,913 | \$1,713,782 | \$93,131 | 5.43% |

| | Current Month | Year To Date |
|---------|---------------|--------------|
| FY 2020 | \$1,056,711 | \$1,806,913 |
| FY 2019 | \$849,948 | \$1,713,782 |

Mortgage tax is unpredictable. Average annual receipts over the past 20 years were \$10.4 million with an annual low of \$4.7 million and an annual high of \$14.7 million.

Highlight Summary
April 30, 2020

RESTRICTED INVESTMENTS

| | <u>Fund Balances</u> | <u>Current Obligations</u> |
|--|----------------------|----------------------------|
| Risk Management Account (Self-Insured) | \$3,815,455 | \$1,915,577 |
| Workers' Comp. Account (Self-Insured) | \$8,446,269 | \$8,661,091 |
| Operating Account | \$1,965,171 | |

Current Operating Reserve Obligations

| | |
|---|-----------------|
| Acquire New Fare Collection System | \$22,437 |
| River Corridor BRT Design/Engineering | \$2,271 |
| Multi-Modal (GRH & Vanpool) | \$23,116 |
| Washington/Western BRT Design/Engineering | \$115,154 |
| Gateway | \$182,460 |
| Bus Shelter Program | \$9,979 |
| | <hr/> \$355,415 |

Current Capital Reserve Obligations

| | |
|--|-----------------|
| Computer Aided Dispatch/Automatic Vehicle Locator (CAD/AVL) System Upgrade | \$2,534,765 |
| | <hr/> \$931,231 |
| | \$931,231 |

Current Vehicle Replacement Reserve Obligations

| | |
|-----------------------------------|----------------|
| Paratransit Fleet Replacement (6) | \$948,635 |
| | <hr/> \$61,817 |
| | \$61,817 |

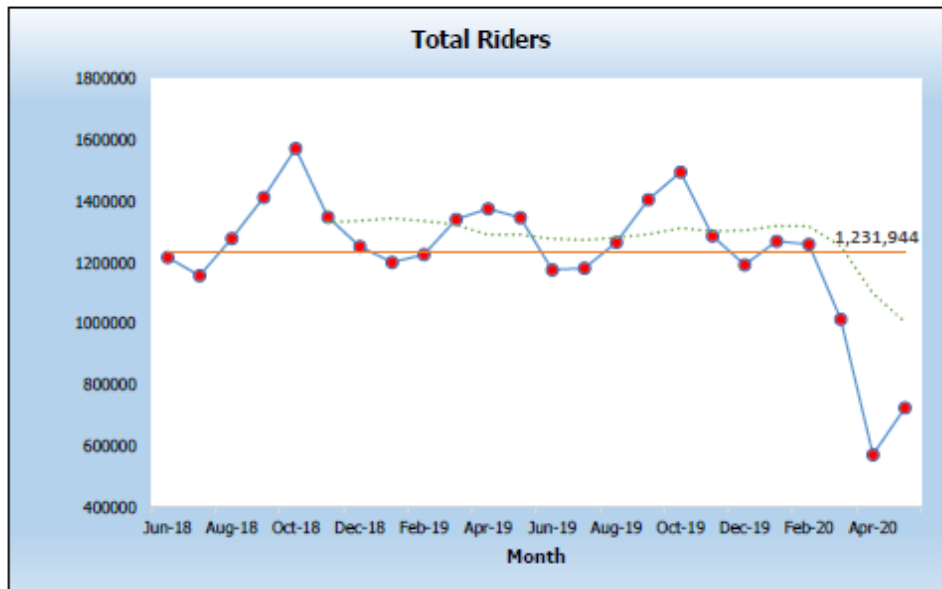
All Investment Accounts are reviewed quarterly.

Average annual returns:

| | |
|--------------------------|-------|
| Risk Management | 2.11% |
| Workers' Compensation | 1.82% |
| Operating Fund | 1.14% |
| Vehicle Replacement Fund | 1.36% |
| Capital Project | 1.50% |

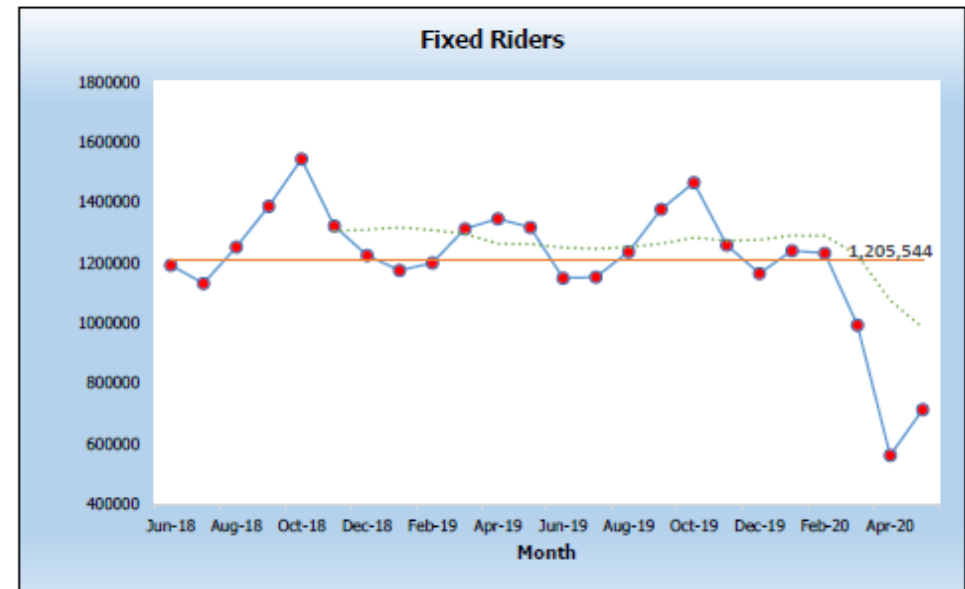
CDTA self insures the first two million of loss per occurrence of any lawsuit in addition to the current obligations and we reserve enough to cover one full loss.

Patronage/Mobility



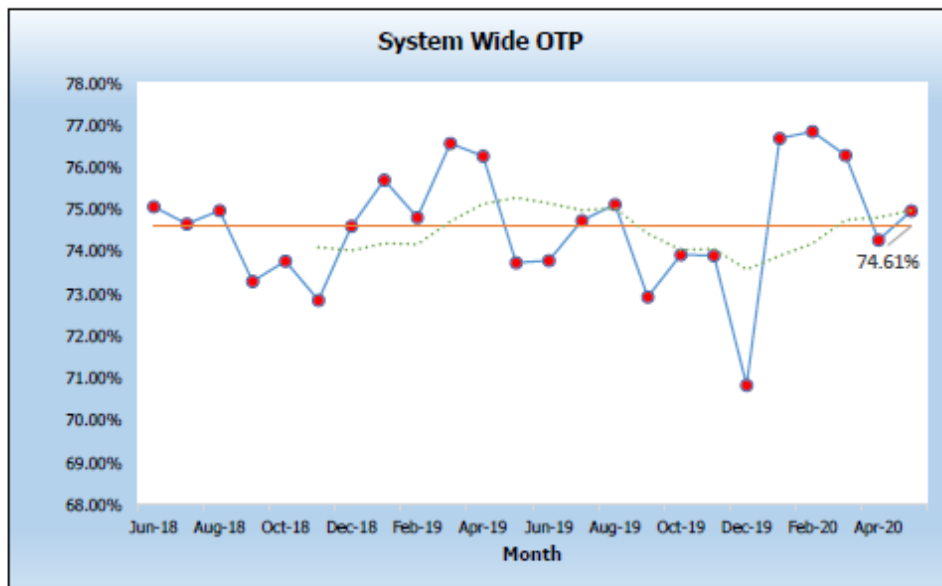
Previous: 1,346,210

Current: 724,476



Previous: 1,316,507

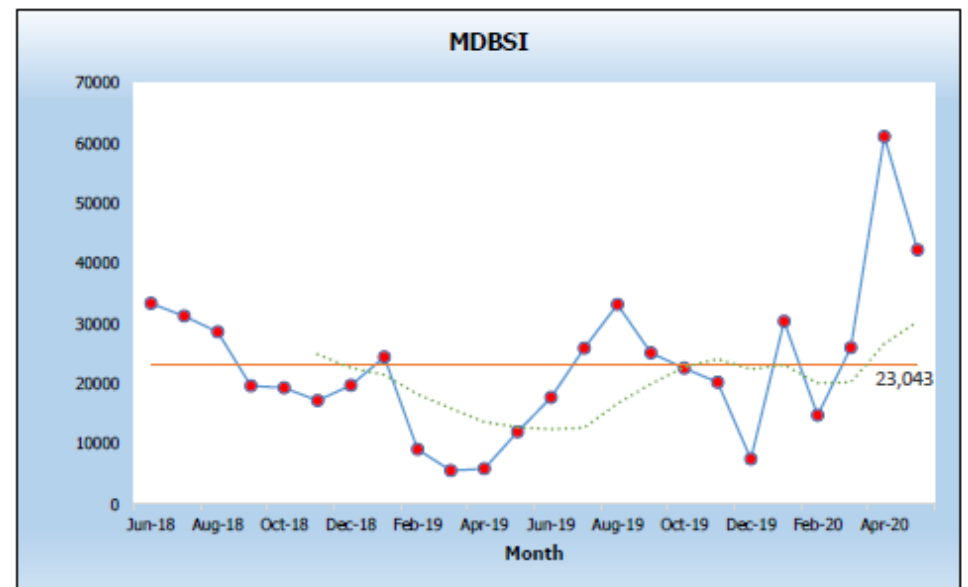
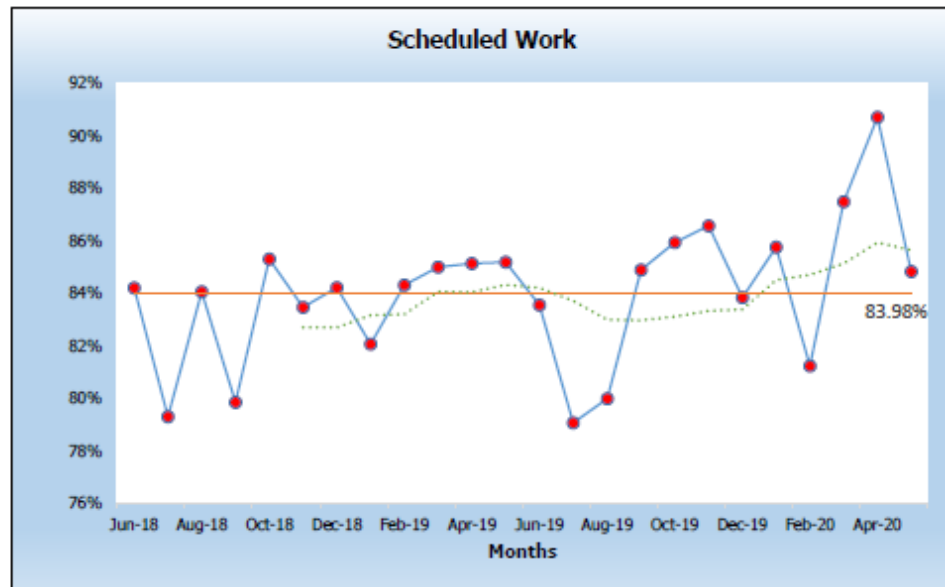
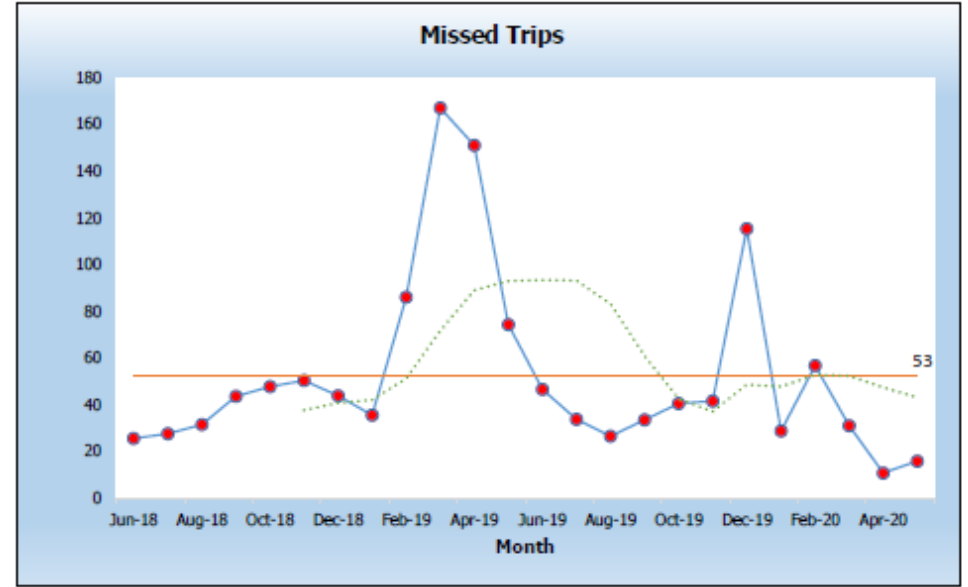
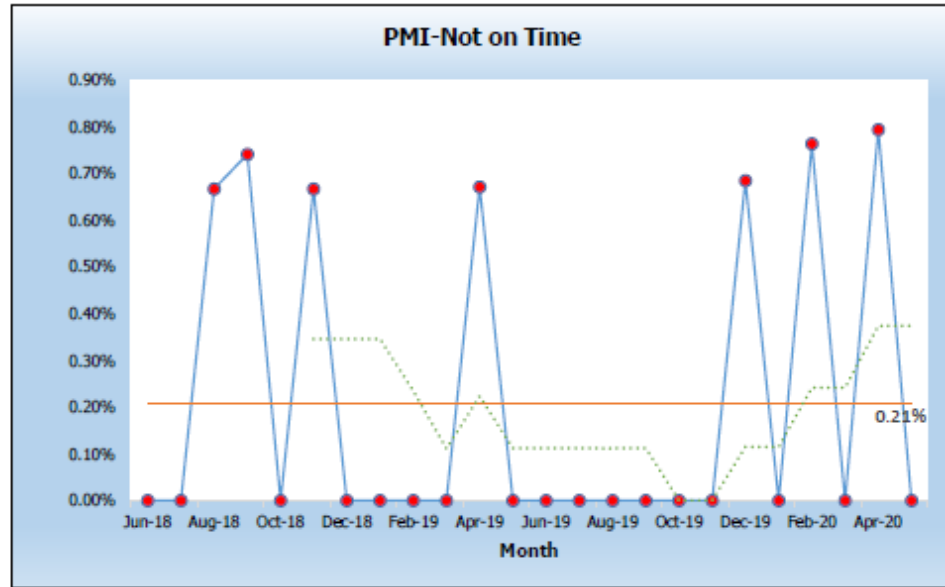
Current: 712,281



Previous: 73.74%

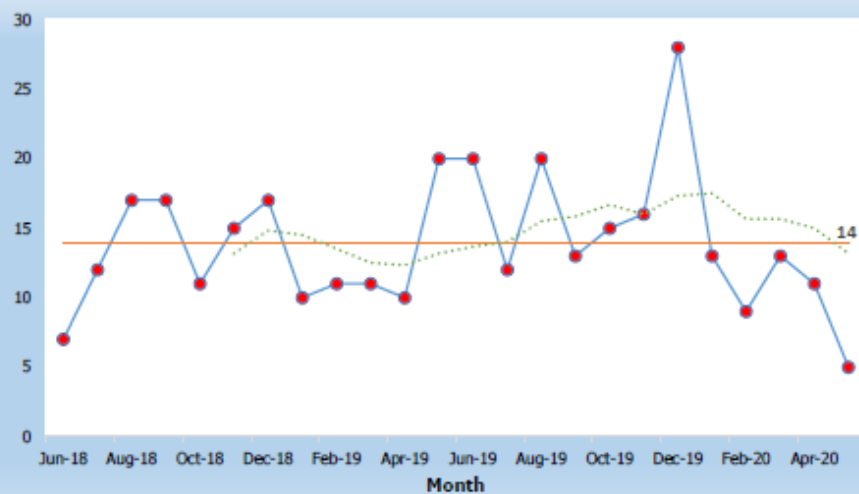
Current: 74.97%

Reliability



Safety

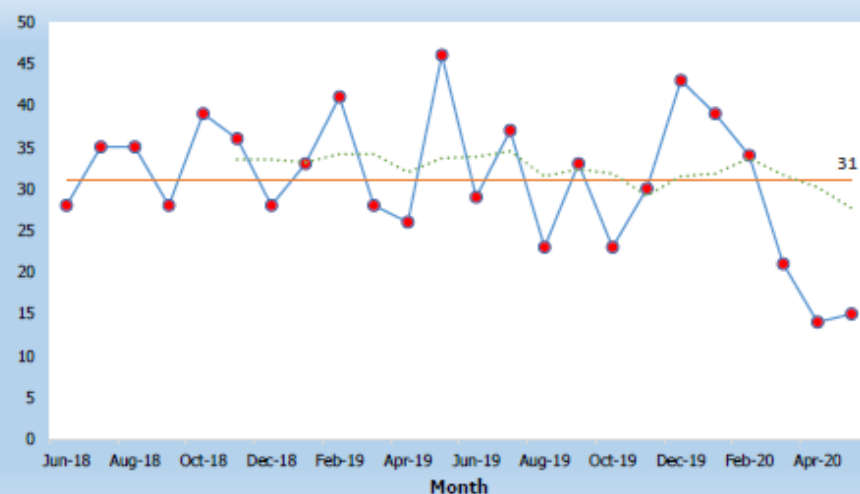
Preventable Accidents



Previous: 20

Current: 5

Non-Preventable Accidents

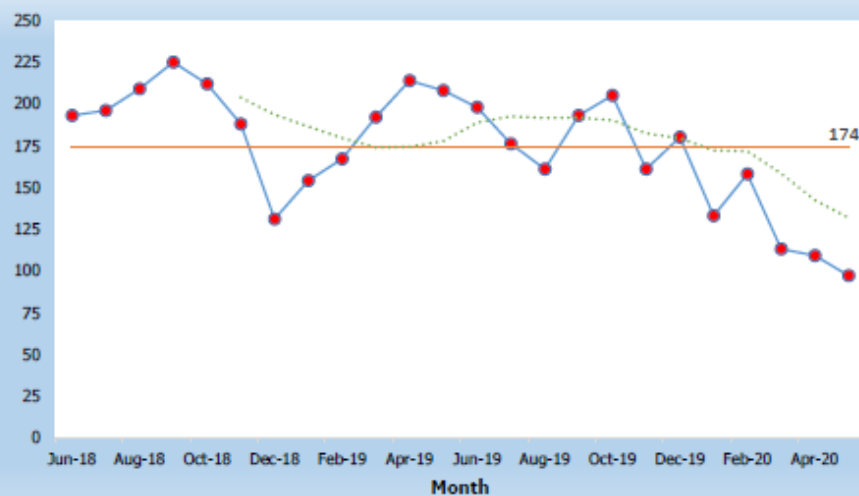


Previous: 46

Current: 15

Customer Service

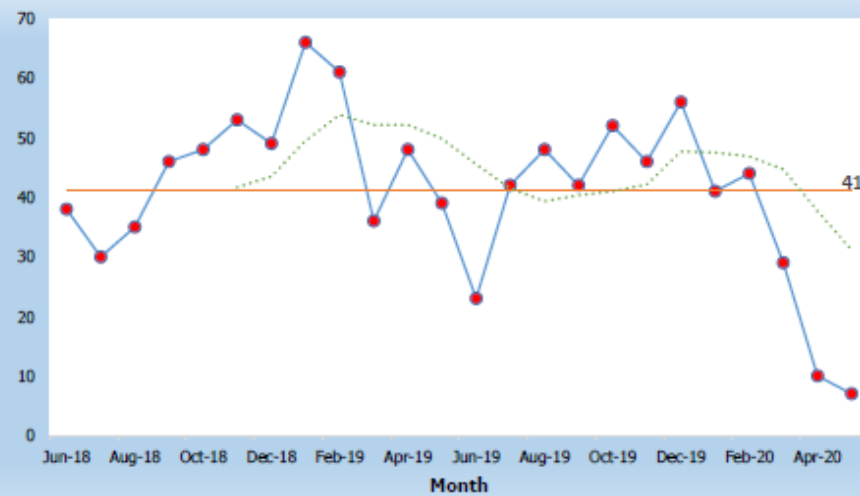
Fixed/Shuttle Complaints



Previous: 208

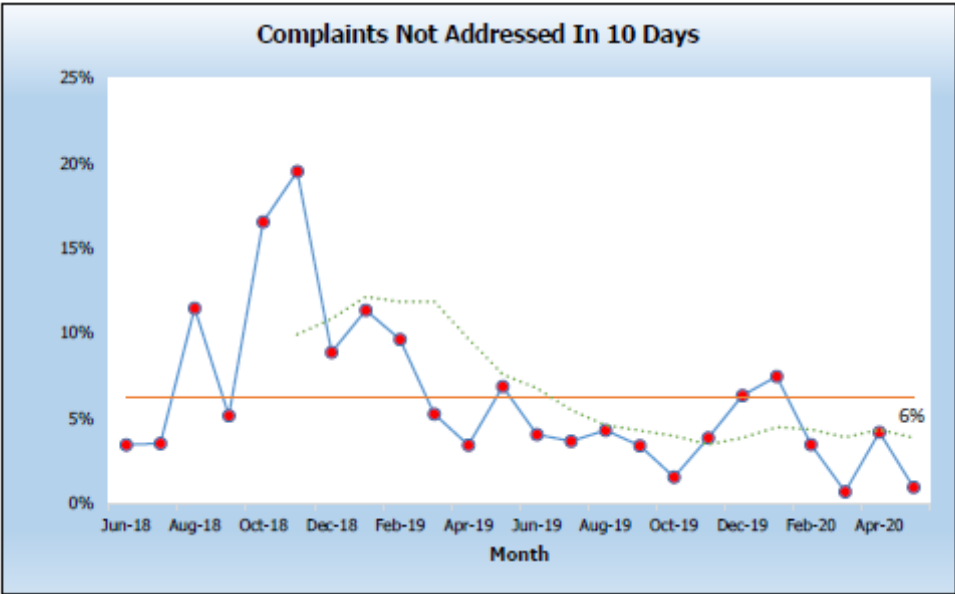
Current: 097

Other Complaints



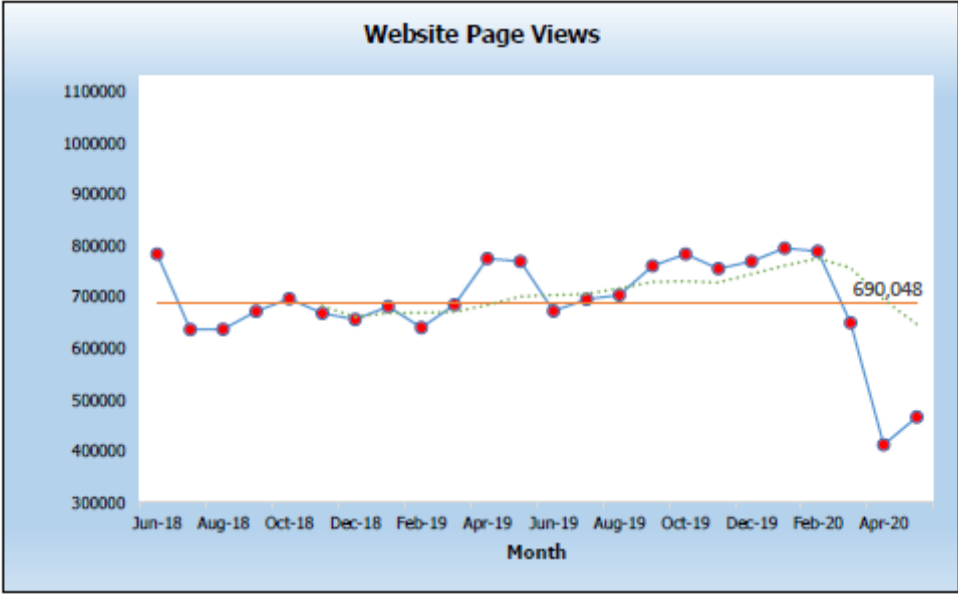
Previous: 39

Current: 7



Previous: 7%

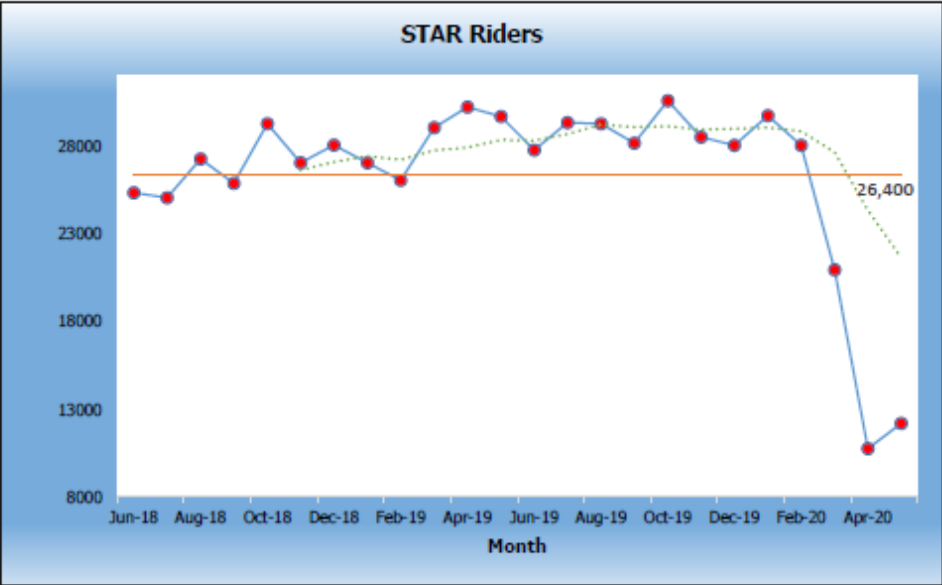
Current: 1%



Previous: 769,778

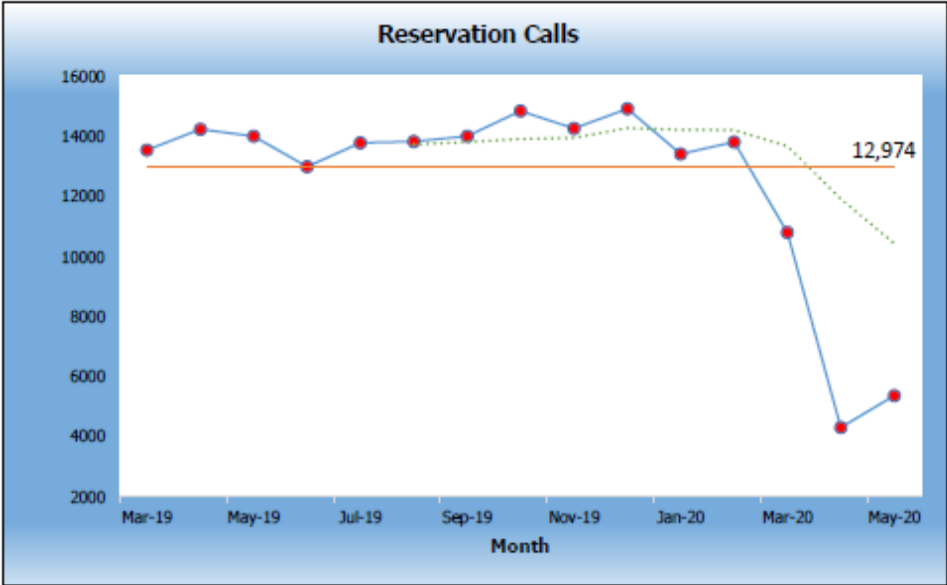
Current: 466,164

STAR Service



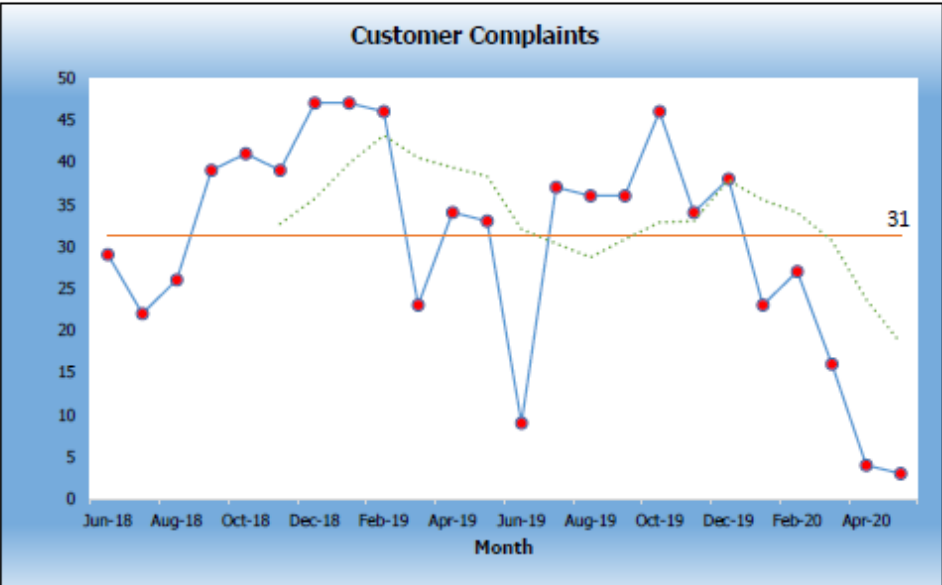
Previous: 29,703

Current: 12,195



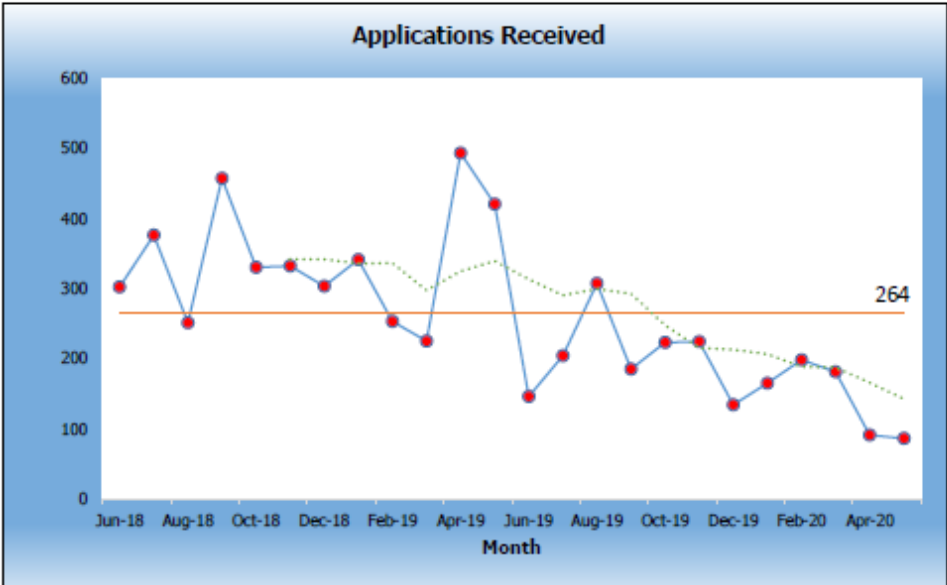
Previous: 14,002

Current: 5,368



Previous: 33

Current: 3

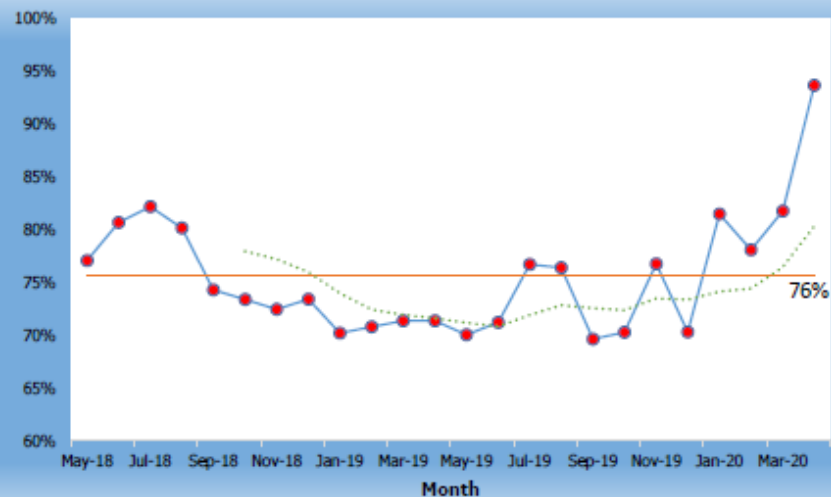


Previous: 420

Current: 86

STAR Service Quality and ADA Compliance

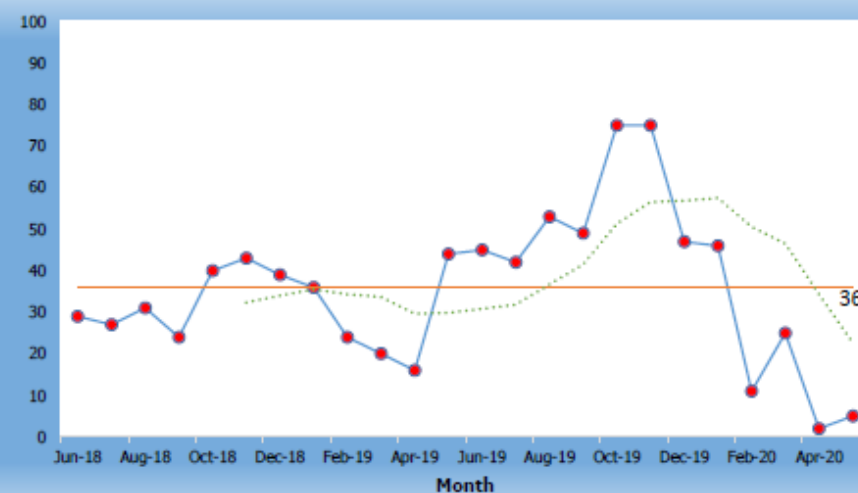
On-Time Performance (0-10 minutes) Period: Apr, 2020



Previous: 71%

Current: 94%

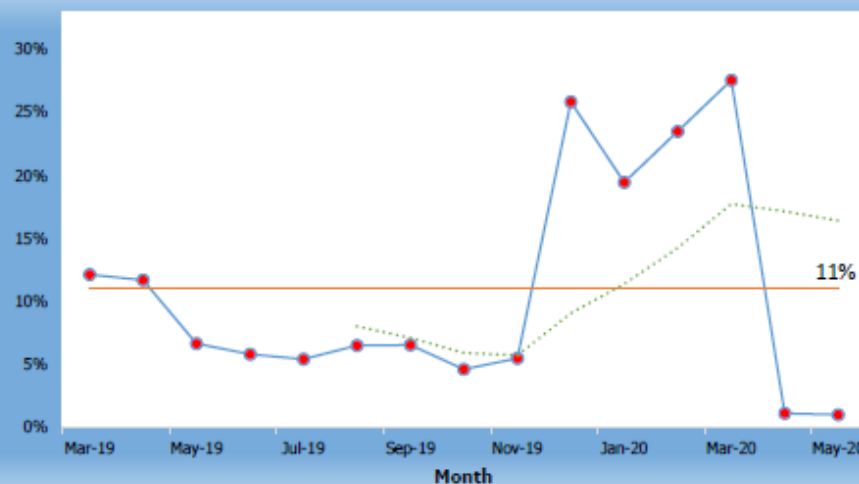
Trip Denials



Previous: 44

Current: 5

Reservation Calls in Queue Over 5 Minutes



Previous: 7%

Current: 1%