



## CDTA COMMITTEE AGENDA

### Performance Monitoring/Audit Committee

Wednesday, September 23, 2020 | 12:00 pm | Microsoft Teams Meeting

<b>Committee Item</b>	<b>Responsibility</b>
Call to Order	Denise Figueroa
Ascertain Quorum	Denise Figueroa
Agenda Approval	Denise Figueroa
Approve Minutes of Wednesday, August 19, 2020	Denise Figueroa
<b>Consent Agenda Items</b>	
• Approve Contract for Northway Express Service	Stacy Sansky
• Approve Contract for Bus Batteries	Stacy Sansky
<b>Audit Committee</b>	
• Internal Audit Quarterly Report	Sarah Matrose
<b>Investment Committee</b>	
• Update on Committee Activities/Reports	Denise Figueroa
<b>Administrative Discussion Items</b>	
• Risk Management & Workers Compensation Quarterly Report	Amanda Avery
• Monthly Management Report*	Mike Collins
• Monthly Non-Financial Report	Chris Desany
<b>Executive Session</b>	
• No items scheduled	
Next Meeting Date: Wednesday, October 21, 2020 at noon via Microsoft Teams and 110 Watervliet Avenue	
Adjourn	Denise Figueroa

*\* Indicates Material (Or Additional Material) Will Be Provided Via Email Or At Meeting*

# Capital District Transportation Authority

## Performance Monitoring/Audit Committee

Meeting Minutes – August 19, 2020 at 12:00 pm; 110 Watervliet Avenue, Albany

In Attendance: via MT - Denise Figueroa, Jayme Lahut, Mike Criscione; at 110 - Carm Basile, Mike Collins, Lance Zarcone, Phil Parella, Jaime Watson, Vanessa Salamy; via MT - Amanda Avery, Stacy Sansky, Jeremy Smith, Jon Scherzer, Sarah Matrose, Thomas Guggisberg, Ross Farrell, Melissa Shanley, Ethan Warren,

### Meeting Purpose

Regular monthly meeting of the Performance Monitoring/Audit Committee. Denise Figueroa noted that a quorum was present. Minutes from the June 17, 2020 meeting were reviewed and approved.

### Audit Committee Items

#### Approve Contract for Engine Oil

- Three bids were received to provide heavy-duty engine oil for vehicles. Staff recommends awarding to the low bidder, Brenntag Lubricants Northeast at \$92,800, which represents a 22% price decrease. The contract is for one year with an optional renewal year tied to the Consumer Price Index. The total estimated contract value is \$185,600.
- A one-year contract to Brenntag Lubricants Northeast of Manchester, New Hampshire for \$92,800 with an optional year for a total estimated contract value of \$185,600 will be recommended to the board for approval.

#### Approve Contract for Scheduling Software Maintenance

- HASTUS software is used for fixed route scheduling. The proprietary maintenance contract includes software updates, trip planning, and issue resolution. Staff recommends a one-year sole source maintenance contract to GIRO for the HASTUS software system.
- This contract to GIRO of Montreal, Quebec, Canada for an amount not to exceed \$180,203 will be recommended to the board for approval.

#### Approve Contract for Protective Barriers

- Protective barriers have been installed on all vehicles to protect operators and customers from COVID-19. Because of this health emergency, staff used our emergency procurement procedures to buy barriers from Transit Guard.
- A sole source contract to Transit Guard of Pagosa Springs, Colorado for \$480,500 will be recommended to the board for approval.

#### Approve Contract for Security Services at RRS

- We received 9 bids for security services at the Rensselaer Rail Station. Staff recommends a one-year contract with four optional renewal years for security services to FBY Security Services, the low bidder.
- A one-year contract to FBY Security Services of Brooklyn, New York for \$162,326; we estimate the five-year value at \$811,632 and it will be recommended to the board for approval.

### Resolution to Accept State Grant for River BRT

- We have been awarded a state grant to help operate River BRT service. We discussed this first-time operating grant during this year's budget development process. The state requires a board resolution to accept state funding prior to being reimbursed.
- To execute an agreement with NYSDOT to accept \$4,435,000 to support River BRT, a resolution is needed and therefore will be recommended to the board for approval.

### Resolution to Accept State Funds

- The state is providing \$3,461,124 for the purchase of 40-foot Gillig buses through the Transportation Modernization and Enhancement Program (MEP). The state also supports commuter service between Albany and Ulster County, which is operated by Adirondack Trailways. CDTA is the pass-through agent for this program and will be reimbursed \$684,299.
- To execute an agreement with NYSDOT to accept \$4,145,423 to support the MEP program and the Adirondack Trailways pass-through arrangement, a resolution is needed and therefore 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. Our financial picture is solid because of the CARES Act and the partial payment of our state operating assistance. A bright spot in our budget is MRT, which was up 31% this month and up almost 11% for the year. All other revenue categories are well under budget. Total revenue is healthy at 64% above budget, but we are still reporting state assistance according to budgeted accruals, not what is received. Expenses are down by 11.5%.

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

- Mike Collins gave the Monthly Non-Financial Report. Total ridership is coming back, and we are down only 13% for the fiscal year. STAR is down 40% but continues to improve. On time performance for fixed route is at 75%; while STAR on-time performance was at 86%.

### Executive Session

- No items scheduled

### Next Meeting

Wednesday, September 23, 2020 at 12:00pm via Microsoft Teams and at 110 Watervliet Ave.

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

**Subject:** A Sole source contract award for NX service to Upstate Transportation of Saratoga, LLC.

**Committee:** Performance Monitoring/Audit

**Committee Meeting Date:** September 23, 2020

**Board Action Date:** September 30, 2020

**Background:**

The contract for Northway Express (NX) service expires in November. NX provides commuter service from park and ride lots in Saratoga County to destinations in downtown Albany. The NX service is provided by a contractor (Upstate Transit) with CDTA owned coach style buses.

**Purpose:**

This contract will continue NX service for one more year before a competitive bid process is conducted.

**Summary of Proposal:**

Upstate Transit was awarded the NX contract in 2015 which expires in November. Like every transit property in the country, COVID has significantly reduced ridership and service levels that require properties to frequently adjust schedules to meet current demands. Because of low and changing ridership levels on the NX corridor, drafting an RFP that accurately defines service needs would make it challenging for a vendor to properly prepare a competitive bid.

Upstate Transit has agreed to hold pricing from current contract for another year, which staff finds to be fair and reasonable. Staff recommends a one-year sole source contract be awarded to Upstate Transportation of Saratoga, LLC for the Northway Express Service for an amount not to exceed \$1.5 million.

**Financial Summary and Source of Funds:**

The total cost of the NX service will not exceed \$1.5 million and it is funded in the FY2021/22 operating budgets.

**Prepared by:**

Stacy Sansky, Director of Procurement

**Project Manager:**

Lance Zarcone, Vice President of Operations

## Memorandum

September 23, 2020

To: Performance Monitoring/Audit Committee  
From: Lance Zarcone, Vice President of Operations  
Subject: Sole Source NX Contract

### **Background:**

CDTA provides the Capital Region with a menu of mobility options, fixed-route, commuter, and paratransit services. CDTA's commuter service, Northway Express (NX), connects people from park and ride locations in Saratoga County to destinations in downtown Albany. The NX service is provided by a contractor with CDTA owned coach style buses. The service operates Monday through Friday except for major holidays.

In 2015 the Upstate Transit of Saratoga LLC was awarded a one-year contract with an option to extend the agreement annually for additional one-year period for up to four years, that is set to expire November 30, 2020.

### **Justification:**

Transit properties across the country have experienced decreases in ridership due to the COVID 19 pandemic. In order to help prevent the spread of the virus, CDTA has made several service changes to keep our employees, our customers and the community safe. Service levels are continuously adjusted to meet the demand of ridership.

The NX service is providing four morning and four afternoon trips currently. As most businesses continue working at a 50% capacity, ridership levels have held steady at rates lower than the five-year average.

With changing ridership levels on the Northway Express Service and the fluidity of the national pandemic, drafting an RFP that accurately defines service needs would make it challenging for a vendor to properly prepare their response for a competitive bid.

### **Recommendation:**

Staff is recommending a one-year sole source contract be awarded to Upstate Transportation of Saratoga LLC, that expires on November 30, 2021.

**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:**

\$1,500,000 (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 # 1                      or                      Advertised  
Number of Proposals/Bids Received # 1

Attach Summary of Bids/Proposals

7. **Disadvantaged Business Enterprise (DBE) involvement**

Are there known DBEs that provide this good or service?      Yes      No  
Number of DBEs bidding/proposing                                      0  
DBE Certification on file?                                      Yes      No      Not Applicable  
Number of DBE Subcontractors                                      0

8. **LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR:** Upstate Transit of Saratoga, LLC  
207 Geyser Road  
Saratoga Springs, NY 12866

8. **SOURCE OF FUNDS:** FY2021/22 Operating Budgets

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

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

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

Stacy Sansky, Director of Procurement                      DATED: September 15, 2020

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

**Subject:** Recommend a contract to purchase bus batteries from Electro Battery Systems, Inc of Pompton Plains, New Jersey.

**Committee:** Performance Monitoring/Audit

**Committee Meeting Date:** September 23, 2020

**Board Action Date:** September 30, 2020

**Background:**

The current battery contract is expiring and a new one is required. This is a routine action item.

**Purpose:**

Bus batteries are a required part for the operation of our vehicles. This item is procured every year or two.

**Summary of Proposal:**

An Invitation for Bids (IFB) was issued for a firm to provide a two-year contract for bus batteries. The scope of work outlined the estimated quantity and type of batteries required.

Four bids were received, and staff recommends a two-year contract be awarded to the incumbent Electro Battery Systems, Inc of Pompton Plains, New Jersey for \$150,572. Electro Battery was the low bidder and provided a 1% cost decrease from the previous contract.

Upon Board approval the contract will be executed immediately.

**Financial Summary and Source of Funds:**

The total two-year cost is \$150,572 and it will be funded in the FY2021 and FY2022 operating budgets.

**Prepared by:**

Stacy Sansky, Director of Procurement

**Project Manager:**

Lance Zarcone, Vice President of Operations

## Memorandum

September 23, 2020

To: Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations

Subject: Approval of Bus Battery Contract

### Background

Bus batteries are a high-volume part which are required to keep buses operating. CDTA procures bus batteries through an Invitation for Bid process to ensure consistent availability and volume pricing.

### Justification

Four bids were received and reviewed. The low bidder is the incumbent; Electro Battery Systems who has performed satisfactorily over the past contract.

### Recommendation

I recommend awarding a two-year contract to Electro Battery Systems, Inc. of Pompton Plains, New Jersey for an amount not to exceed \$150,572.

Copy: Chief Executive Officer  
Director of Procurement







# Bid Summary



Contract Name: Batteries for Transit Buses

Contract No: CDTA Maint 156-3000

Date/Time of Opening: August 18, 2020 1:00PM

Bidder Contact Information	Year 1 Prices	Year 2 Prices	Total Costs By Part Number (based on qty per year x cost per year)	DBE/MWBE/SDVOB Status
Name: <b>Battery Systems, Inc.</b> Address: <b>12322 Monarch St Garden Grove, CA</b> Contact: <b>Chris Tschombor</b> Email: <b>bids@batterysystems.net</b> Phone: <b>310.667.9320</b>	Year 1 Prices Part 7669 <b>\$274.78</b>  Year 1 Prices 13-49717-001 <b>\$293.57</b>	Year 2 Prices Part 7669 <b>\$302.26</b>  Year 2 Prices 13-49717-001 <b>\$322.93</b>	Two Year Cost for Part 7669 <b>\$57,429.20</b>  Two Year Cost for Part 13-49717-001 <b>\$135,630</b> <b>Total Contract Cost: \$193,059</b>	DBE __ MBE __ WBE __ SDVOB __
Name: <b>Northeast Battery &amp; Alternator, LLC</b> Address: <b>240 Washington St Auburn, NY</b> Contact: <b>John A Raughtigan, CPA</b> Email: <b>jraughtigan@northeastbattery.com</b> Phone: <b>508.864.7432</b>	Year 1 Prices Part 7669 <b>\$183.33</b>  Year 1 Prices 13-49717-001 <b>\$286.25</b>	Year 2 Prices Part 7669 <b>\$192.63</b>  Year 2 Prices 13-49717-001 <b>\$301.31</b>	Two Year Cost for Part 7669 <b>\$37,503</b>  Two Year Cost for Part 13-49717-001 <b>\$129,263.20</b> <b>Total Contract Cost: \$166,766</b>	DBE __ MBE __ WBE __ SDVOB __
Name: <b>The Battery Store</b> Address: <b>3905 State St Schenectady, NY</b> Contact: <b>Jacquelyn Rhatigan</b> Email: <b>thebatterystore@ymail.com</b> Phone:	Year 1 Prices Part 7669 <b>No Bid</b>  Year 1 Prices 13-49717-001 <b>\$282</b>	Year 2 Prices Part 7669 <b>No Bid</b>  Year 2 Prices 13-49717-001 <b>\$287</b>	Two Year Cost for Part 7669 <b>No Bid</b>  Two Year Cost for Part 13-49717-001 <b>\$125,180</b> <b>Total Contract Cost: NA-did not bid all items</b>	DBE __ MBE __ WBE <b>X</b> SDVOB __
Name: <b>Electro Battery Systems, Inc.</b> Address: <b>230 W Parkway Unit 3 Pompton Plains, NJ 07444</b> Contact: <b>Todd Maupai</b> Email: <b>info@electrobattery.com</b> Phone: <b>973.835.3334</b>	Year 1 Prices Part 7669 <b>\$141</b>  Year 1 Prices 13-49717-001 <b>\$274.80</b>	Year 2 Prices Part 7669 <b>\$145</b>  Year 2 Prices 13-49717-001 <b>\$279.80</b>	Two Year Cost for Part 7669 <b>\$28,560</b>  Two Year Cost for Part 13-49717-001 <b>\$122,012</b> <b>Total Contract Cost: \$150,572</b>	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: \_\_\_\_\_

## Memorandum

September 23, 2020

To: Audit Committee Members  
Carm Basile, Chief Executive Officer

From: Sarah Matrose, Internal Auditor

Subject: Risk Assessment and Internal Audit Progress

Traditionally the risk assessment is conducted to either prepare or review the 3-year audit plan for Audit Committee review and approval. In the midst of the global pandemic, and the accompanying uncertainty, I am proposing an abbreviated audit plan and the movement of the risk assessment to better correspond with the calendar year end, when we can reassess where Internal Audit may focus on needs that best compliment the future of CDTA and its goals.

### **Remainder of 2020 Audits**

#### Emergency Response Documents

Creating emergency response documents with the Director of Risk Management and other CDTA resources in accordance with APTA Standards and regulatory agency guidelines.

#### Safety – Public Transportation Agency Safety Plan Audit Set-Up

During the development of the required Safety Plan, it was determined that Internal Audit would continually monitor the items within the plan to ensure compliance.

#### Information Technology – Disaster Recovery Plan

Review the current Disaster Recovery Plan for efficiencies and ensure the proper controls are in place for it to work as intended in the event of a disaster.

#### Completed or In Progress Internal Audit Activities

- Prevailing Wages Audit Report
- Universal Access Billing Audit Report
- Assisting IT with an outside vendor assessment of our security and processes around employee personal information.
- Reviewing NX mileage reports for consistency, accuracy, and adherence to contractual terms
- Participation and review of the GIRO Hastus Bid and Daily work group sessions, specifications, and procedural documents

## Memorandum

September 23, 2020

To: Audit Committee Members  
Chris Desany, Vice President of Planning & Infrastructure  
Jeremy Smith, Director of Facilities  
Carm Basile, Chief Executive Officer

From: Sarah Matrose, Internal Auditor

Subject: Prevailing Wages Audit Report

### EXECUTIVE SUMMARY

The Prevailing Wages Audit was performed as part of the 2019 – 2020 Audit Plan. The audit consisted of a review of contracts issued and invoices paid to applicable vendors for the period of January 1, 2019 through November 30, 2019. Our audit objective was to determine that CDTA procedures and controls related to the payment of prevailing wages are adequate, effective, and efficient.

The audit disclosed that the overall control environment needs improvement to satisfy federal and state requirements in a more consistent manner.

I would like to express my appreciation for the cooperation and assistance extended by the Facilities Department staff during the audit.

## **BACKGROUND**

The Davis-Bacon and Related Acts (DBRA) requires that every contract in excess of \$2,000, performed in connection with federal funds for the construction, alteration, or repair (including painting and decorating) of public buildings or public works be paid set minimum wages to various classes of laborers and mechanics employed under the contract. New York State Labor Law also requires the minimum wage rate to be paid to all workers under a public work contract of any value.

The “prevailing wage” is the combination of the basic hourly rate and any fringe benefits listed in the appropriate wage schedule; the higher of the two (federal and state) must be paid if the work meets the Federal criteria. The wage schedule and appropriate language must be included in any public works construction contract or agreement and the collection of weekly certified payrolls is required to be maintained for seven years after the completion of the project.

## **OBJECTIVE**

The objective of our audit was to determine that CDTA procedures and controls related to the Davis-Bacon and Related Acts are adequate, effective, and efficient and subcontracted employees’ wages were paid in accordance with the Davis-Bacon wage determination.

## **DETAILED SCOPE**

The audit scope included a review of contracts and invoices for services of construction, alteration, or repair activities on public work buildings paid between January 1, 2019 and November 30, 2019. Testing included the following topics:

- Confirmed all applicable contracts contain the wage schedules and required prevailing wage language.
- Verified the required certified payrolls were being submitted by contractors and subcontractors and maintained by CDTA staff.
- Verified appropriate prevailing wages and bona fide fringe benefits were paid to applicable contracted and subcontracted employees.

## **RESULTS OF AUDIT**

The audit identified a need for a structured process to be followed consistently throughout the organization, as well as a need for training on the prevailing wage requirements for all Project Managers.

Facilities will develop a series of checklists, for the pre-award, post-award, and ongoing monitoring of all levels of agreements made by CDTA for work performed on a public building to ensure all Contractors and Subcontractors of CDTA are aware of their obligations in all stages of award.

The completion of these checklists, and a Bureau of Public Work prevailing wage training, should be mandatory for all Project Managers across the organization, to ensure CDTA remains compliant with the regulations.

Submission of certified payrolls by Contractors must be a condition of payment, as per internal policy as well as per NYS Labor Law. To ensure we are performing our due diligence in the reception and accuracy of the payrolls on all public work contracts, Internal Audit recommends the Facilities department implement a centralized person and/or process to handle the tedious collection and communication with Contractors on missing or inaccurate payrolls prior to the Project Manager reviewing the invoice for approval. The centralized function will not only create consistency and a built-in two-step review process by default, but also will allow for the Project Manager to focus their time on the field management duties as outlined in their job descriptions.

### **MANAGEMENT RESPONSE**

Facilities management agrees with the results of the audit and the recommendations as outlined in the above report.

Facilities will create a checklist of pre/post/and ongoing monitoring of all levels of agreements made by CDTA for work performed on a public building to ensure all Contractors and Subcontractors of CDTA are aware of their obligations in all stages of award. Management expect this task to be completed and ready for all staff's use by October 1, 2020.

Facilities management agrees that all employees who are project managers or may be Project Managers in the future, must be trained on prevailing wage requirements as well as other project management required tasks. Management believes that training for all staff that may be Project Managers should be completed by December 31, 2020.

Facilities management also agrees that implementing a centralized person to handle the cyclical process of collection and communication with contractors on missing or inaccurate payrolls prior to Project Manager review is a consistent and efficient solution to this task. Facilities management will recommend to Senior Staff that a centralized person be assigned these tasks.

## Memorandum

September 23, 2020

To: Audit Committee Members  
Jonathan Scherzer, Director of Marketing  
Phil Parella, Director of Finance  
Ross Farrell, Director of Planning  
Mike Collins, Vice President of Finance & Administration  
Chris Desany, Vice President of Planning & Infrastructure  
Carm Basile, Chief Executive Officer

From: Sarah Matrose, Internal Auditor

Subject: Universal Access Audit Report

### **EXECUTIVE SUMMARY**

The Universal Access Audit was performed as part of the 2019 – 2020 Audit Plan. The audit consisted of a review of active Universal Access contracts as of January 1, 2020. Our audit objective was to determine that CDTA procedures and controls related to the invoicing of Universal Access contracts are effective, efficient, and accurate.

The audit disclosed that the overall control environment is working as intended and no material weaknesses were noted. Internal Audit did propose recommendations to enhance the billing process and improve efficiency throughout the process.

I would like to express my appreciation for the cooperation and assistance extended by the Marketing, Planning, and Finance staff during the audit.

## **BACKGROUND**

The Universal Access program is designed to allow businesses and institutions to contract with CDTA to provide bus and/or CDPHP *Cycle!* service at no cost to employees, tenants, and/or students while the employer pays an agreed upon price. Possible types of agreements may include, but are not limited to, a price per rider basis up to a maximum amount, a base cost tied to direct costs of the provision of services, or a base cost plus cost per rider.

Universal Access ridership accounted for 4.3 million boardings, or almost 30% of all rides in FY 2019. This program allows Partner constituents free or reduced-cost transit access using their institutions' ID card or, in some cases, a CDTA *Navigator* card.

Universal Access partners are invoiced in a multi-step process originating with the Planning Department running a series of ridership data queries from various internal systems. This data is then provided to the Marketing Department for review resulting in a personal notification to each Partner of their ridership for the period. The Marketing Department subsequently duplicates the notification to the Finance Department where an invoice is generated for each Partner.

## **OBJECTIVE**

The objective of our audit was to review the Universal Access billing process in its entirety for efficiencies and accuracy.

## **DETAILED SCOPE**

The audit scope included a review of contracts and invoices for Universal Access partners active as of January 1, 2020. Testing included the following topics:

- Ensuring the contract terms are current.
- Verifying the contract terms and invoice amounts match.
- Ensuring the ridership numbers validate the invoiced amount.

## **RESULTS OF AUDIT**

Through a detailed process review and sampled testing, Internal Audit found the Universal Access billing process to be accurate and adequate; however, the audit identified the efficiencies of the process could be streamlined and enhanced.

The current process of compiling the Universal Access ridership data is heavily reliant on manual entry, resulting in a time-consuming activity that is more prevalent to human error. Internal Audit recommends the automation of as much of the data collection as possible, utilizing capabilities within Excel.

Additionally, Internal Audit recommends a restructuring of the process to better utilize the Finance Department and reduce redundancies in the process.



## MANAGEMENT RESPONSE

The Partner ridership data spreadsheets are being reviewed by the Marketing, Planning, and Information Technology departments to capitalize on the automation of the data collection. Development of the automation tool is expected to be completed by August 31, 2020; however, testing for accuracy of the ridership data will be reliant on when CDTA returns to receiving fare payments for Universal Access rides.

The Marketing, Finance, and Planning departments have discussed and agreed upon implementing the following Universal Access billing process improvements to enhance the efficiency and benefit of the program across the organization. The process changes will be phased in as the automation tool is completed and staff are trained.

- The Planning Department will pull ridership data and verify accuracy.
- During the first week of the month, the Planning Department will send accurate ridership data to Accounts Receivable, Revenue Collection, and Marketing.
- Accounts Receivable will wait five-business days to send invoices. If the Marketing Department has comments or concerns about the ridership data, Accounts Payable will hold the invoice until the issue is resolved.

## Memorandum

September 23, 2020

To: Performance Monitoring/Audit Committee

From: General Counsel

Subject: Risk Management and Workers Compensation Self-Insurance Accounts,  
as of 7/1/20

Our procedures require a quarterly review of the adequacy of the Risk Management Self-Insurance Account and the separate Workers Compensation Self-Insurance Account.

### 1. Risk Management:

CDTA is self-insured for most liability exposures up to \$2 million. If at all possible, liability and automobile (AL and PD) claims are managed and defended internally. These claims include bodily injury, property damage, and certain other claims including no-fault.

Reasonable prudence dictates that in view of the \$2 million self-insured retention and the volatility of the market, we should be prepared to absorb at least one total loss (preferably two) along with the projected value of incurred losses.

- **Projected Losses** (incurred but unpaid): \$1,963,666  
(increase of \$53,640 (+2.8%) for the quarter)
- **Self-Insured Retention** (one) \$2,000,000
- **Market Value of Account:** \$3,815,435  
(increase of \$7,130(+.19%) for the quarter)

### 2. Workers Compensation:

We have retained an actuary to project monthly expenditures under the self-insurance program for workers' compensation that was initiated on 8/14/02. This formula is based upon actual experience, an annual valuation at the end of the fiscal year, and an annual projection of expenses adjusted for actual expenses in the current year. The projection includes both IBNR and the projected value of claims, expenses and assessment.

- **Projected Claims:** \$8,644,581  
increase of \$3,917 (+.05%) for the quarter)
- **Market Value of Account:** \$8,528,588  
(increase of \$143,772 (+1.7%) for the quarter)

### 3. Liability/Auto Claims:

As of 7/1/20, we had 36 pending liability claims, 23 of which were in suit. A number of inactive cases have been closed out. The majority of the active claims are in various stages of discovery, while a few have been referred to outside counsel and are scheduled for trial in the near future. As of 7/1/20, CDTA had 16 liability claims with reserves of \$10,000 or more, including 9 liability claims with reserves of \$25,000 or more. It is always our intention to carry adequate funds to cover the aggregate value of anticipated losses.

**Conclusion: It is my opinion that the balances of the Risk Management and Workers' Compensation Self-Insurance Accounts are adequate to meet the anticipated needs of CDTA and its subsidiaries at the present time.** *Due to the high-risk nature of our operations, we anticipate an increase in claims made against the Authority. Because of our self-insured status, it is prudent to maintain adequate funds to account for the increases in claims.*

Copy: Board of Directors  
Chief Executive Officer  
Vice President of Finance and Administration

# Monthly Management Report



## Monthly Management Report - August 2020

### Executive Summary - Highlights

			Current Month		Year to Date		
	Actual	Budget	(\$ Variance	(%) Variance	(\$ Variance	(%) Variance	
1	Mortgage Tax	\$ 1,151,841	\$ 937,500	\$ 214,341	22.86%	\$ 583,637	12.45%
2	Customer Fares	\$ 610,025	\$ 1,720,972	\$ (1,110,947)	-64.55%	\$ (7,783,142)	-90.45%
3	RRS & Facilities	\$ 75,741	\$ 304,303	\$ (228,562)	-75.11%	\$ (1,178,362)	-77.45%
4	STOA	\$ 3,685,397	\$ 3,685,397	\$ -	0.00%	\$ -	0.00%
5	5307	\$ 1,058,417	\$ 1,058,417	\$ -	0.00%	\$ -	0.00%
6	CARES Act	\$ 687,995		\$ 687,995		\$ 28,436,102	
	Actual	Budget	(\$ Variance	(%) Variance	(\$ Variance	(%) Variance	
7	Wages	\$ 3,678,777	\$ 4,031,423	\$ (352,646)	-8.75%	\$ (1,143,332)	-5.67%
8	Professional Services	\$ 385,040	\$ 324,145	\$ 60,895	18.79%	\$ (536,025)	-33.07%
9	Maintenance Services	\$ 340,040	\$ 251,272	\$ 88,768	35.33%	\$ (143,390)	-11.41%
10	Utilities	\$ 77,514	\$ 84,250	\$ (6,736)	-8.00%	\$ (125,617)	-29.82%
						<b>YTD Revenue</b>	<b>49.20%</b>
						<b>YTD Expenses</b>	<b>-10.03%</b>

#### Revenue Summary

- 1 August MRT was 23% over budget, the fourth straight month over a million dollars. For the year, MRT is 12.5% over budget.
- 2 We started collecting customer fares again on August 19th. The three largest revenue categories performed as follows; Cash = \$180,104; Navigator = \$176,481; Universal Access Contracts = \$196,875 (this is an accrued amount)
- 3 RRS & Facilities is under budget 75% for the month and 77% YTD. Most of this is due to the lack of parking revenue.
- 4 \$7.6 million (70%) of our 2nd quarter STOA payment was received in August. We continue to record the full STOA amount.
- 5 Our 5307 grant is now available, but no funds have been drawn down.
- 6 We recorded the remaining \$687,995 CARES Act revenue in August. We will draw this amount in October.

#### Expense Summary

- 7 Wages are under budget by 8.7% this month and 5.6% under for the year.
- 8 Professional services is over budget this month due to timing issues with our new Bike Share vendor; but YTD we are 33% below budget.
- 9 Maintenance services are over budget this month because of a timing issue with an IT contract; but YTD we are 11% under budget.
- 10 Utilities are under budget by 8% for the month and 30% for the year.

**Note:** We paid off our \$6.2 million line of credit for bus purchases and expect to be reimbursed from the State Capital program by November.

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

	Aug-20	Aug-19
<b>Assets</b>		
<i>Current Assets:</i>		
Cash	\$21,109,306	\$12,805,535
Investments	\$24,698,641	\$19,836,214
Receivables:		
Mortgage Tax	\$1,120,337	\$1,255,649
Federal Grants	\$13,910,148	\$878,250
New York State Operating Assistance	\$3,302,177	(\$3,469,028)
Trade and Other	\$1,497,696	\$4,085,075
Advances to Capital District Transportation Committee	\$932,045	\$1,166,682
Materials, Parts and Supplies	\$4,035,365	\$4,093,039
Prepaid Expenses	\$598,553	\$378,992
<i>Sub-Total Current Assets</i>	<b>\$71,204,268</b>	<b>\$41,030,408</b>
<i>Noncurrent Assets:</i>		
Capital Assets, net	\$114,002,342	\$109,234,922
<i>Deferred outflows of resources:</i>		
Deferred outflows of resources related to OPEB	\$18,454,673	\$0
Deferred outflows of resources from pension	\$1,544,989	\$2,608,902
<i>Sub-Total Deferred outflows of resources:</i>	<b>\$19,999,662</b>	<b>\$2,608,902</b>
<b>Total for Assets</b>	<b>\$205,206,272</b>	<b>\$152,874,232</b>
<b>Liabilities</b>		
<i>Current Liabilities:</i>		
Accounts Payable	\$5,590,907	\$3,417,818
Accrued Expenses	\$5,383,538	\$4,083,785
Unearned passenger revenue	\$1,962,976	\$1,757,937
Line of Credit	\$6,200,000	
<i>Sub-Total Current Liabilities</i>	<b>\$19,137,421</b>	<b>\$9,259,540</b>
<i>Noncurrent Liabilities:</i>		
Capital Lease Agreement	\$3,933,562	\$5,503,411
Estimated Provision for Existing Claims and Settlements	\$10,500,530	\$10,431,359
Other postemployment benefits	\$105,346,823	\$90,160,188
Net Pension Liability	\$1,616,083	\$735,846
<i>Sub-Total Noncurrent Liabilities</i>	<b>\$121,396,998</b>	<b>\$106,830,803</b>
<i>Deferred inflows of resources:</i>		
Deferred inflows of resources from pension	\$737,493	\$2,535,067
Deferred inflows of resources from OBEP	\$11,007,730	\$1,872,110
<i>Sub-Total Deferred inflows of resources</i>	<b>\$11,745,223</b>	<b>\$4,407,177</b>
<b>Total for Liabilities</b>	<b>\$152,279,643</b>	<b>\$120,497,520</b>
<b>Net Position</b>		
Net Investment in Capital Assets	\$108,241,228	\$108,241,228
Unrestricted	(\$55,314,598)	(\$75,864,516)
<b>Total for Net Position</b>	<b>\$52,926,630</b>	<b>\$32,376,712</b>
<b>Total Liabilities and Net Position</b>	<b>\$205,206,272</b>	<b>\$152,874,232</b>



**CAPITAL DISTRICT TRANSPORTATION AUTHORITY  
CONSOLIDATED STATEMENT OF OPERATIONS  
Aug-20**

	<u>To Date Actual</u>	<u>Annual Budget</u>	<b>42%</b>
<b>REVENUE:</b>			
AUTHORITY	\$5,363,616	\$11,455,000	47%
TRANSIT	\$53,706,329	\$81,953,820	66%
ACCESS	\$101,321	\$525,000	19%
CDTA FACILITIES	\$405,833	\$3,769,022	11%
<b>TOTAL REVENUE</b>	<b>\$59,577,099</b>	<b>\$97,702,842</b>	<b>61%</b>
<b>EXPENSE:</b>			
AUTHORITY	\$6,577,128	\$17,028,670	39%
TRANSIT	\$28,937,023	\$77,122,426	38%
ACCESS	\$445,120	\$1,283,750	35%
CDTA FACILITIES	\$556,250	\$2,267,995	25%
<b>TOTAL EXPENSE</b>	<b>\$36,515,522</b>	<b>\$97,702,842</b>	<b>37%</b>
Revenue over (under) Expenses	\$23,061,577		
Depreciation	\$5,750,000		
Excess of Revenue over (under) Expenses	\$17,311,577		
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	(\$7,000,000)		
Transfer from Worker's Comp Fund	\$0		
Transfer to Worker's Comp Fund	(\$1,099,045)		
*Net Excess of Revenue over (under) Expenses	\$9,212,532		

\*Contribution to required fleet replacement.

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY**  
**MONTHLY MANAGEMENT REPORT**  
**Aug-20**

**BUDGET VARIANCE REPORT**

	<b>CONSOLIDATED</b>								<b>Annual Budget</b>
	<b>This Month</b>				<b>Year to Date</b>				
	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	
<b>Operating Revenue</b>									
Mortgage Tax	\$1,151,841	\$937,500	\$214,341	22.86%	\$5,271,137	\$4,687,500	\$583,637	12.45%	\$11,250,000
Customer Fares	\$610,025	\$1,720,972	(\$1,110,947)	-64.55%	\$821,720	\$8,604,861	(\$7,783,142)	-90.45%	\$20,651,667
Advertising Revenue	\$105,625	\$107,708	(\$2,083)	-1.93%	\$525,125	\$538,542	(\$13,417)	-2.49%	\$1,292,500
RRS & Facilities	\$75,741	\$304,303	(\$228,562)	-75.11%	\$343,151	\$1,521,513	(\$1,178,362)	-77.45%	\$3,651,631
Interest Income	\$174	\$1,667	(\$1,493)	-89.56%	\$862	\$8,333	(\$7,471)	-89.66%	\$20,000
Misc. Income	\$33,298	\$15,708	\$17,589	111.98%	\$68,825	\$78,542	(\$9,716)	-12.37%	\$188,500
<b>Total Operating Revenue</b>	<b>\$1,976,704</b>	<b>\$3,087,858</b>	<b>(\$1,111,154)</b>	<b>-35.98%</b>	<b>\$7,030,820</b>	<b>\$15,439,291</b>	<b>(\$8,408,471)</b>	<b>-54.46%</b>	<b>\$37,054,298</b>
<b>Operating Assistance</b>									
New York State Aid	\$3,685,397	\$3,685,397	\$0	0.00%	\$18,426,983	\$18,426,983	\$0	0.00%	\$44,224,758
County Aid	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,000
Federal Preventative Maintenance	\$1,058,417	\$1,058,417	\$0	0.00%	\$5,292,083	\$5,292,083	\$0	0.00%	\$12,701,000
Federal Aid - Cares Act	\$687,995	\$0	\$687,995		\$28,436,102	\$0	\$28,436,102		\$0
Operating Grants	\$150,482	\$150,482	\$0	0.00%	\$752,411	\$752,411	\$0	0.00%	\$1,805,786
<b>Total Operating Assistance</b>	<b>\$5,742,041</b>	<b>\$5,054,045</b>	<b>\$687,996</b>	<b>13.61%</b>	<b>\$53,706,329</b>	<b>\$25,270,227</b>	<b>\$28,436,102</b>	<b>112.53%</b>	<b>\$60,648,544</b>
<b>Total Revenue and Assistance</b>	<b>\$7,718,745</b>	<b>\$8,141,904</b>	<b>(\$423,158)</b>	<b>-5.20%</b>	<b>\$60,737,148</b>	<b>\$40,709,518</b>	<b>\$20,027,631</b>	<b>49.20%</b>	<b>\$97,702,842</b>
<b>Expenses</b>									
Salaries and Wages	\$3,678,777	\$4,031,423	(\$352,645)	-8.75%	\$19,013,782	\$20,157,114	(\$1,143,332)	-5.67%	\$48,377,074
FICA	\$261,491	\$284,972	(\$23,481)	-8.24%	\$1,354,039	\$1,424,860	(\$70,820)	-4.97%	\$3,419,663
Health Benefits	\$826,641	\$887,613	(\$60,971)	-6.87%	\$4,218,697	\$4,438,063	(\$219,366)	-4.94%	\$10,651,352
Workers Compensation	\$234,112	\$219,809	\$14,303	6.51%	\$1,134,958	\$1,099,045	\$35,913	3.27%	\$2,637,708
Other Benefits	\$299,891	\$332,395	(\$32,504)	-9.78%	\$1,549,553	\$1,661,975	(\$112,423)	-6.76%	\$3,988,741
Professional Services	\$385,040	\$324,145	\$60,895	18.79%	\$1,084,703	\$1,620,727	(\$536,025)	-33.07%	\$3,889,745
Materials & Supplies	\$115,203	\$140,529	(\$25,326)	-18.02%	\$577,104	\$702,644	(\$125,540)	-17.87%	\$1,686,346
Miscellaneous	\$91,430	\$61,404	\$30,026	48.90%	\$434,129	\$307,022	\$127,107	41.40%	\$736,853
Purchased Transportation	\$379,070	\$555,447	(\$176,377)	-31.75%	\$1,749,301	\$2,777,233	(\$1,027,932)	-37.01%	\$6,665,358
Maintenance Services	\$340,040	\$251,272	\$88,769	35.33%	\$1,112,968	\$1,256,358	(\$143,390)	-11.41%	\$3,015,258
Liability - Claims	\$22,325	\$30,069	(\$7,745)	-25.76%	\$150,801	\$150,347	\$454	0.30%	\$360,833
Utilities	\$77,514	\$84,250	(\$6,736)	-7.99%	\$295,633	\$421,250	(\$125,617)	-29.82%	\$1,011,000
Fuel	\$582,218	\$472,426	\$109,792	23.24%	\$1,830,779	\$2,362,128	(\$531,349)	-22.49%	\$5,669,108
Parts, Tires, Oil	\$427,702	\$405,906	\$21,796	5.37%	\$1,800,584	\$2,029,529	(\$228,945)	-11.28%	\$4,870,870
General Insurance	\$63,890	\$60,244	\$3,646	6.05%	\$317,295	\$301,222	\$16,073	5.34%	\$722,933
<b>Total EXPENSES</b>	<b>\$7,785,343</b>	<b>\$8,141,903</b>	<b>(\$356,560)</b>	<b>-4.38%</b>	<b>\$36,624,325</b>	<b>\$40,709,517</b>	<b>(\$4,085,193)</b>	<b>-10.03%</b>	<b>\$97,702,842</b>
<b>Surplus/Deficit</b>	<b>(\$66,598)</b>	<b>\$0</b>	<b>(\$66,598)</b>		<b>\$24,112,824</b>	<b>\$0</b>	<b>\$24,112,823</b>		<b>\$0</b>



**CAPITAL DISTRICT TRANSPORTATION AUTHORITY**  
**MONTHLY MANAGEMENT REPORT**  
**Aug-20**

**BUDGET VARIANCE REPORT**

	<b>NON-TRANSIT</b>								<b>Annual Budget</b>
	<b>This Month</b>				<b>Year to Date</b>				
	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	
<b>Operating Revenue</b>									
Mortgage Tax	\$1,151,841	\$937,500	\$214,341	22.86%	\$5,271,137	\$4,687,500	\$583,637	12.45%	\$11,250,000
Interest Income	\$139	\$1,667	(\$1,528)	-91.66%	\$677	\$8,333	(\$7,657)	-91.88%	\$20,000
Interest Inc-Invest/Change in Invest	\$1,666	\$0	\$1,666	0.00%	\$58,886	\$0	\$58,886	0.00%	\$0
Misc. Income - Authority	\$6,250	\$7,083	(\$833)	-11.76%	\$32,917	\$35,415	(\$2,498)	0.00%	\$185,000
Operating Fund	\$0	\$0	\$0	0.00%	\$0	\$0	\$0	0.00%	\$0
<b>Total Operating Revenue</b>	<b>\$1,159,896</b>	<b>\$946,250</b>	<b>\$213,647</b>	<b>22.58%</b>	<b>\$5,363,616</b>	<b>\$4,731,248</b>	<b>\$632,368</b>	<b>13.37%</b>	<b>\$11,455,000</b>
<b>Expenses</b>									
Labor - Authority	\$538,750	\$579,035	(\$40,285)	-6.96%	\$2,898,765	\$2,895,175	\$3,590	0.12%	\$6,948,420
Fringe - Authority	\$337,914	\$389,708	(\$51,794)	-13.29%	\$1,818,573	\$1,948,538	(\$129,965)	-6.67%	\$4,676,491
Materials & Supplies - Authority	\$4,274	\$14,820	(\$10,546)	-71.16%	\$32,595	\$74,098	(\$41,504)	-56.01%	\$177,836
Professional Services - Authority	\$131,929	\$234,695	(\$102,766)	-43.79%	\$709,515	\$1,173,477	(\$463,962)	-39.54%	\$2,816,345
Other Expenses - Authority	\$328,555	\$200,798	\$127,757	63.62%	\$1,117,681	\$1,003,991	\$113,690	11.32%	\$2,409,578
<b>Total Expenses</b>	<b>\$1,341,422</b>	<b>\$1,419,056</b>	<b>(\$77,634)</b>	<b>-5.47%</b>	<b>\$6,577,128</b>	<b>\$7,095,279</b>	<b>(\$518,151)</b>	<b>-7.30%</b>	<b>\$17,028,670</b>
<b>Surplus/(Deficit)</b>	<b>(\$181,526)</b>	<b>(\$472,806)</b>	<b>(\$136,013)</b>		<b>(\$1,213,512)</b>	<b>(\$2,364,031)</b>	<b>\$1,150,519</b>		<b>(\$5,573,670)</b>

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY**  
**MONTHLY MANAGEMENT REPORT**  
**Aug-20**

**BUDGET VARIANCE REPORT**

	<b>TRANSIT</b>								<b>Annual Budget</b>
	<b>This Month</b>				<b>Year to Date</b>				
	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	
<b>Operating Revenue</b>									
Passenger Fares-Transit	\$393,002	\$1,158,472	(\$765,470)	-66.08%	\$523,526	\$5,792,361	(\$5,268,835)	-90.96%	\$13,901,667
Contracts - Transit	\$196,875	\$518,750	(\$321,875)	-62.05%	\$196,875	\$2,593,750	(\$2,396,875)	-92.41%	\$6,225,000
Advertising-Transit	\$93,125	\$97,926	(\$4,801)	-4.90%	\$462,625	\$489,629	(\$27,004)	-5.52%	\$1,175,109
Misc. Income - Transit	\$27,048	\$292	\$26,756	9173.54%	\$35,909	\$1,458	\$34,450	2362.30%	\$3,500
<b>Total Operating Revenue</b>	<b>\$710,050</b>	<b>\$1,775,440</b>	<b>(\$1,065,390)</b>	<b>-60.01%</b>	<b>\$1,218,935</b>	<b>\$8,877,198</b>	<b>(\$7,658,263)</b>	<b>-86.27%</b>	<b>\$21,305,276</b>
<b>Operating Assistance</b>									
State Aid - General	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,000
State Aid - PBT	\$3,492,313	\$3,492,313	\$0	0.00%	\$17,461,566	\$17,461,566	\$0	0.00%	\$41,907,758
State Aid - Northway Commuter S.	\$33,333	\$33,333	\$0	0.00%	\$166,667	\$166,667	\$0	0.00%	\$400,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,000
Federal Aid - Transit	\$1,058,417	\$1,058,417	\$0	0.00%	\$5,292,083	\$5,292,083	\$0	0.00%	\$12,701,000
Federal Aid - Cares Act	\$687,995	\$0	\$687,995		\$28,436,102	\$0	\$28,436,102		\$0
Other Grants - Federal	\$150,482	\$150,482	\$0	0.00%	\$752,411	\$752,411	\$0	0.00%	\$1,805,786
<b>Total Operating Assistance</b>	<b>\$5,742,040</b>	<b>\$5,054,045</b>	<b>\$687,996</b>	<b>0.00%</b>	<b>\$53,706,329</b>	<b>\$25,270,227</b>	<b>\$28,436,102</b>	<b>0.00%</b>	<b>\$60,648,544</b>
<b>Total Revenue and Assistance</b>	<b>\$6,452,090</b>	<b>\$6,829,485</b>	<b>(\$377,394)</b>	<b>-5.53%</b>	<b>\$54,925,263</b>	<b>\$34,147,425</b>	<b>\$20,777,839</b>	<b>60.85%</b>	<b>\$81,953,820</b>
<b>Expenses</b>									
Labor - Maintenance	\$648,928	\$722,271	(\$73,343)	-10.15%	\$3,589,630	\$3,611,355	(\$21,725)	-0.60%	\$8,667,252
Labor - Transportation	\$2,225,419	\$2,429,255	(\$203,835)	-8.39%	\$11,018,877	\$12,146,273	(\$1,127,395)	-9.28%	\$29,151,054
Labor - STAR	\$208,838	\$230,230	(\$21,391)	-9.29%	\$1,180,747	\$1,151,148	\$29,599	2.57%	\$2,762,756
Fringe	\$1,242,109	\$1,317,774	(\$75,665)	-5.74%	\$6,240,174	\$6,588,870	(\$348,696)	-5.29%	\$15,813,287
Materials & Supplies	\$1,128,585	\$985,070	\$143,515	14.57%	\$4,237,828	\$4,925,349	(\$687,521)	-13.96%	\$11,820,838
Professional Services	\$279,401	\$75,980	\$203,421	267.73%	\$482,969	\$379,901	\$103,068	27.13%	\$911,762
Other Expenses	\$3,683	\$4,379	(\$696)	-15.90%	\$13,875	\$21,896	(\$8,020)	-36.63%	\$52,550
Purchased Transportation - STAR	\$264,731	\$390,636	(\$125,905)	-32.23%	\$1,203,749	\$1,953,179	(\$749,430)	-38.37%	\$4,687,630
Liability - Claims	\$22,325	\$30,069	(\$7,745)	-25.76%	\$150,801	\$150,347	\$454	0.30%	\$360,833
Liability - Insurance	\$50,157	\$57,503	(\$7,346)	-12.77%	\$204,060	\$287,514	(\$83,454)	-29.03%	\$690,033
Utilities - Transit	\$29,734	\$48,817	(\$19,082)	-39.09%	\$175,007	\$244,083	(\$69,077)	-28.30%	\$585,800
Mat & Supplies - NX	\$0	\$5,833	(\$5,833)	-100.00%	\$2,322	\$29,167	(\$26,845)	-92.04%	\$70,000
Purchased Transportation - NX	\$87,916	\$129,053	(\$41,137)	-31.88%	\$436,984	\$645,263	(\$208,279)	-32.28%	\$1,548,631
<b>Total Expenses</b>	<b>\$6,191,825</b>	<b>\$6,426,869</b>	<b>(\$235,043)</b>	<b>-3.66%</b>	<b>\$28,937,023</b>	<b>\$32,134,344</b>	<b>(\$3,197,321)</b>	<b>-9.95%</b>	<b>\$77,122,426</b>
<b>Surplus/(Deficit)</b>	<b>\$260,264</b>	<b>\$402,616</b>	<b>(\$142,350)</b>		<b>\$25,988,240</b>	<b>\$2,013,081</b>	<b>\$23,975,159</b>		<b>\$4,831,394</b>

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY  
MONTHLY MANAGEMENT REPORT**

Aug-20

**BUDGET VARIANCE REPORT**

	<b>ACCESS TRANSIT SERVICES</b>								<b>Annual Budget</b>
	<b>This Month</b>				<b>Year to Date</b>				
	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	
<b>Operating Revenue</b>									
Contracts - Access	\$20,148	\$43,750	(\$23,602)	-53.95%	\$101,318	\$218,750	(\$117,432)	-53.68%	\$525,000
Interest Income	\$1	\$0	\$1	0.00%	\$3	\$0	\$3	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
<b>Total Operating Revenue</b>	<b>\$20,149</b>	<b>\$43,750</b>	<b>(\$23,601)</b>	<b>-53.95%</b>	<b>\$101,321</b>	<b>\$218,750</b>	<b>(\$117,429)</b>	<b>-53.68%</b>	<b>\$525,000</b>
<b>Total Revenue and Assistance</b>	<b>\$20,149</b>	<b>\$43,750</b>	<b>(\$23,601)</b>	<b>-53.95%</b>	<b>\$101,321</b>	<b>\$218,750</b>	<b>(\$117,429)</b>	<b>-53.68%</b>	<b>\$525,000</b>
<b>Expenses</b>									
Labor - Access	\$42,989	\$54,722	(\$11,733)	-21.44%	\$247,105	\$273,609	(\$26,505)	-9.69%	\$656,662
Fringe Benefits - Access	\$14,468	\$14,652	(\$184)	-1.25%	\$76,882	\$73,258	\$3,624	4.95%	\$175,819
Purchased Transportation	\$26,424	\$33,333	(\$6,909)	-20.73%	\$108,568	\$166,667	(\$58,099)	-34.86%	\$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%	\$8,415	\$8,217	\$198	2.41%	\$19,721
Other Expenses - Access	\$4,000	\$2,629	\$1,371	52.15%	\$4,151	\$13,145	(\$8,994)	-68.42%	\$31,548
<b>Total Expenses</b>	<b>\$89,524</b>	<b>\$106,979</b>	<b>(\$17,455)</b>	<b>-16.32%</b>	<b>\$445,120</b>	<b>\$534,896</b>	<b>(\$89,776)</b>	<b>-16.78%</b>	<b>\$1,283,750</b>
<b>Surplus/(Deficit)</b>	<b>(\$69,376)</b>	<b>(\$63,229)</b>	<b>(\$6,147)</b>		<b>(\$343,799)</b>	<b>(\$316,146)</b>	<b>(\$27,653)</b>		<b>(\$758,750)</b>

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY**  
**MONTHLY MANAGEMENT REPORT**  
**Aug-20**

**BUDGET VARIANCE REPORT**

<b>CDTA FACILITIES</b>									
<b>This Month</b>					<b>Year to Date</b>				<b>Annual</b>
	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Actual</b>	<b>Budget</b>	<b>Variance</b>	<b>% Variance</b>	<b>Budget</b>
<b>Operating Revenue</b>									
RRS Station & Garage	\$52,431	\$68,707	(\$16,276)	-23.69%	\$261,964	\$343,534	(\$81,570)	-23.74%	\$824,481
RRS Parking Revenue	\$15,222	\$223,596	(\$208,374)	-93.19%	\$39,908	\$1,117,979	(\$1,078,071)	-96.43%	\$2,683,150
RRS Advertising	\$12,500	\$9,783	\$2,717	27.78%	\$62,500	\$48,913	\$13,587	27.78%	\$117,391
SSTS	\$2,049	\$2,467	(\$418)	-16.94%	\$10,273	\$12,333	(\$2,060)	-16.70%	\$29,600
Greyhound	\$0	\$2,500	(\$2,500)	-100.00%	\$1,015	\$12,500	(\$11,485)	-91.88%	\$30,000
85 Watervliet Avenue	\$5,801	\$6,667	(\$866)	-12.99%	\$29,004	\$33,333	(\$4,330)	-12.99%	\$80,000
Interest Income	\$273	\$367	(\$93)	-25.43%	\$1,170	\$1,833	(\$664)	-36.19%	\$4,400
<b>Total Operating Revenue</b>	<b>\$88,276</b>	<b>\$314,085</b>	<b>(\$225,809)</b>	<b>-71.89%</b>	<b>\$405,833</b>	<b>\$1,570,426</b>	<b>(\$1,164,593)</b>	<b>-74.16%</b>	<b>\$3,769,022</b>
<b>Expenses</b>									
Labor	\$13,853	\$15,911	(\$2,058)	-12.93%	\$78,658	\$79,554	(\$896)	-1.13%	\$190,930
Fringe-Benefits	\$2,311	\$2,656	(\$344)	-12.97%	\$12,268	\$13,278	(\$1,010)	-7.60%	\$31,867
Professional Services	\$641	\$10,417	(\$9,776)	-93.85%	\$1,743	\$52,083	(\$50,340)	-96.65%	\$125,000
Insurance	\$2,448	\$2,417	\$31	1.28%	\$9,791	\$12,083	(\$2,293)	-18.97%	\$29,000
Security	\$9,981	\$33,617	(\$23,635)	-70.31%	\$49,162	\$168,083	(\$118,921)	-70.75%	\$403,400
Facilities Upkeep	\$25,379	\$24,542	\$837	3.41%	\$67,671	\$122,708	(\$55,037)	-44.85%	\$294,500
Facilities Repairs	\$8,606	\$6,608	\$1,998	30.23%	\$32,682	\$33,042	(\$360)	-1.09%	\$79,300
Utilities	\$43,422	\$28,983	\$14,439	49.82%	\$100,110	\$144,917	(\$44,806)	-30.92%	\$347,800
Materials & Supplies	\$1,132	\$1,250	(\$118)	-9.41%	\$9,002	\$6,250	\$2,752	44.02%	\$15,000
Parking Garage	\$19,064	\$40,833	(\$21,770)	-53.31%	\$116,844	\$204,167	(\$87,322)	-42.77%	\$490,000
Greyhound	\$0	\$667	(\$667)	-100.00%	\$0	\$3,333	(\$3,333)	-100.00%	\$8,000
85 Watervliet Avenue	\$5,824	\$8,342	(\$2,518)	-30.19%	\$39,354	\$41,708	(\$2,354)	-5.64%	\$100,100
SSTS	\$4,578	\$12,758	(\$8,180)	-64.11%	\$38,965	\$63,792	(\$24,827)	-38.92%	\$153,100
<b>Total Expenses</b>	<b>\$137,239</b>	<b>\$189,000</b>	<b>(\$51,761)</b>	<b>-27.39%</b>	<b>\$556,250</b>	<b>\$944,999</b>	<b>(\$388,749)</b>	<b>-41.14%</b>	<b>\$2,267,997</b>
<b>Surplus/(Deficit)</b>	<b>(\$48,963)</b>	<b>\$125,085</b>	<b>(\$174,049)</b>		<b>(\$150,417)</b>	<b>\$625,427</b>	<b>(\$775,844)</b>		<b>\$1,501,025</b>



# CAPITAL DISTRICT TRANSPORTATION AUTHORITY MONTHLY MANAGEMENT REPORT

## AGING OF ACCOUNTS RECEIVABLE

Aug-20		
	Amount	% of Total
Current	\$414,585	18.92%
31 - 60	\$265,576	12.12%
61 - 90	\$28,339	1.29%
91 - 120	\$1,935	0.09%
Over 120	\$1,480,524	67.57%
<b>Total Accounts Receivable</b>	<b>\$2,190,959</b>	<b>100.00%</b>

Jul-20		
	Amount	% of Total
Current	\$615,156	39.32%
31 - 60	\$74,386	4.75%
61 - 90	\$7,653	0.49%
91 - 120	\$42,289	2.70%
Over 120	\$824,934	52.73%
<b>Total Accounts Receivable</b>	<b>\$1,564,418</b>	<b>100.00%</b>

## AGING OF ACCOUNTS PAYABLE

Aug-20		
	Amount	% of Total
Current	\$4,196,811	75.08%
31 - 60	\$1,051,475	18.81%
61 - 90	\$181,830	3.25%
90 & Over	\$159,575	2.85%
<b>Total Accounts Payable</b>	<b>\$5,589,691</b>	<b>100.00%</b>

<b>Aug-20 Receivables over 120 days:</b>	<b>\$1,480,524</b>
Breakdown of outstanding receivables over 120 days.	
\$1,103,946 NYS DEPT. OF TRANSPORTATION	
\$114,143 ADVANTAGE TRANSIT GROUP, INC.	
\$112,500 CITY OF ALBANY	
\$45,816 PROCTOR'S THEATER	
\$104,119 OTHER	
<b>Total</b>	<b>\$1,480,524</b>

## ADDITIONAL INFORMATION

MORTGAGE RECORDING TAX	Current Month				Fiscal Year to Date			
	Aug-20	Aug-19	Difference	%	2021	2020	Difference	%
Albany	\$425,301	\$309,558	\$115,743	37.39%	\$1,830,171	\$1,258,262	\$571,909	45.45%
Rensselaer	\$169,062	\$176,600	(\$7,538)	-4.27%	\$692,629	\$572,989	\$119,640	20.88%
Saratoga	\$407,861	\$473,194	(\$65,333)	-13.81%	\$1,990,584	\$1,446,310	\$544,274	37.63%
Schenectady	\$149,618	\$66,381	\$83,237	125.39%	\$757,753	\$400,086	\$357,667	89.40%
<b>Total</b>	<b>\$1,151,842</b>	<b>\$1,025,734</b>	<b>\$126,108</b>	<b>12.29%</b>	<b>\$5,271,137</b>	<b>\$3,677,648</b>	<b>\$1,593,489</b>	<b>43.33%</b>

	Current Month	Year To Date
FY 2020	\$1,151,842	\$5,271,137
FY 2019	\$1,025,734	\$3,677,648

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  
August 31, 2020**

**RESTRICTED INVESTMENTS**

	<b><u>Fund Balances</u></b>	<b><u>Current Obligations</u></b>
Risk Management Account (Self-Insured)	\$3,829,460	\$1,969,216
Workers' Comp. Account (Self-Insured)	\$8,418,717	\$8,531,314
Operating Account	\$8,963,066	

**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
		\$355,415

**Current Capital Reserve Obligations**

	\$2,539,464	
Computer Aided Dispatch/Automatic Vehicle Locator (CAD/AVL) System Upgrade		\$931,231
		\$931,231

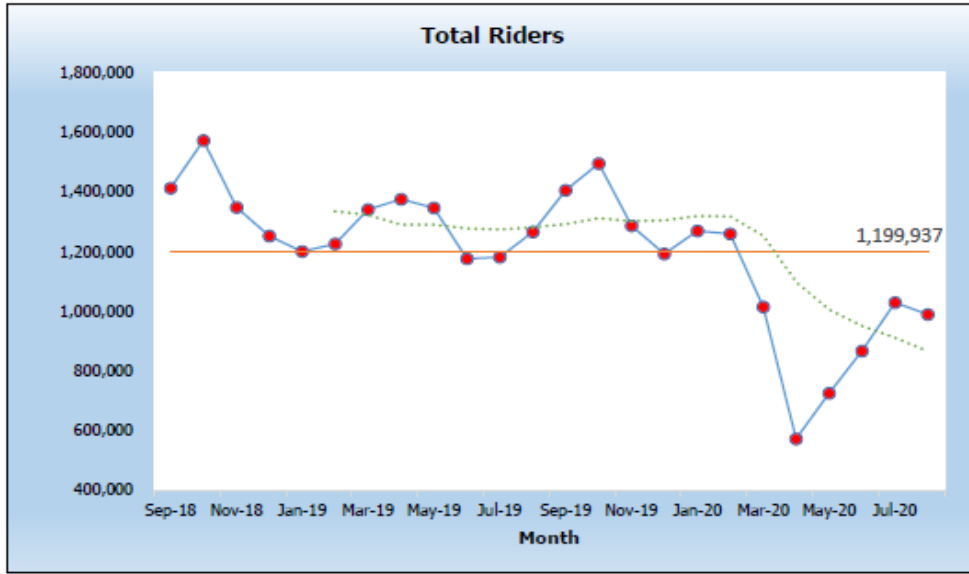
**Current Vehicle Replacement Reserve Obligations**

	\$947,935	
Paratransit Fleet Replacement (6)		\$61,817
		\$61,817

All Investment Accounts are reviewed quarterly.		
Average annual returns:		
Risk Management	1.45%	
Workers' Compensation	1.07%	
Operating Fund	0.19%	
Vehicle Replacement Fund	0.89%	
Capital Project	1.11%	

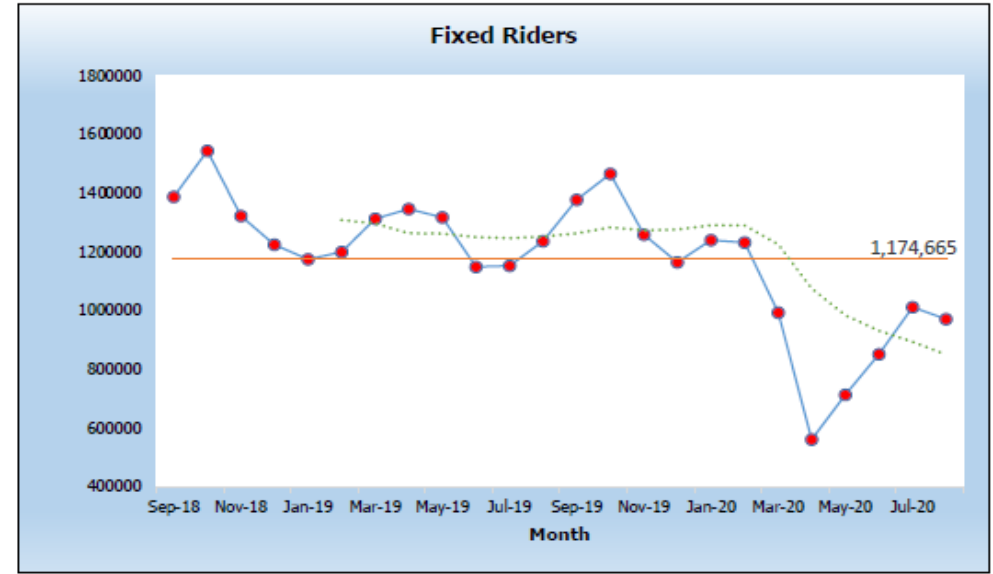
\* CDTA self insures the first two million of loss per occurrence of any lawsuit in addition to the current obligations and we reserve enough to cover one full loss.

Patronage/Mobility



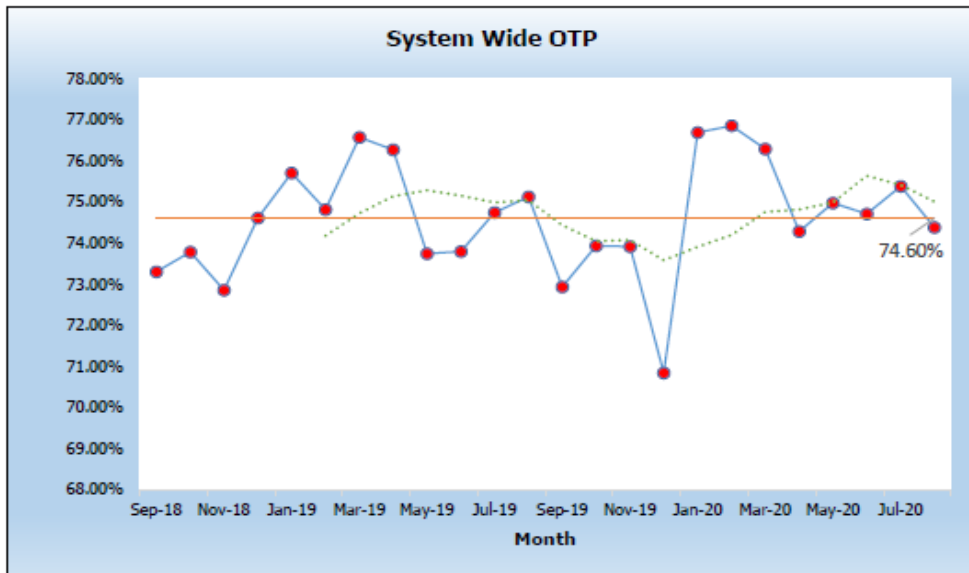
Previous: 1,265,350

Current: 988,385



Previous: 1,236,064

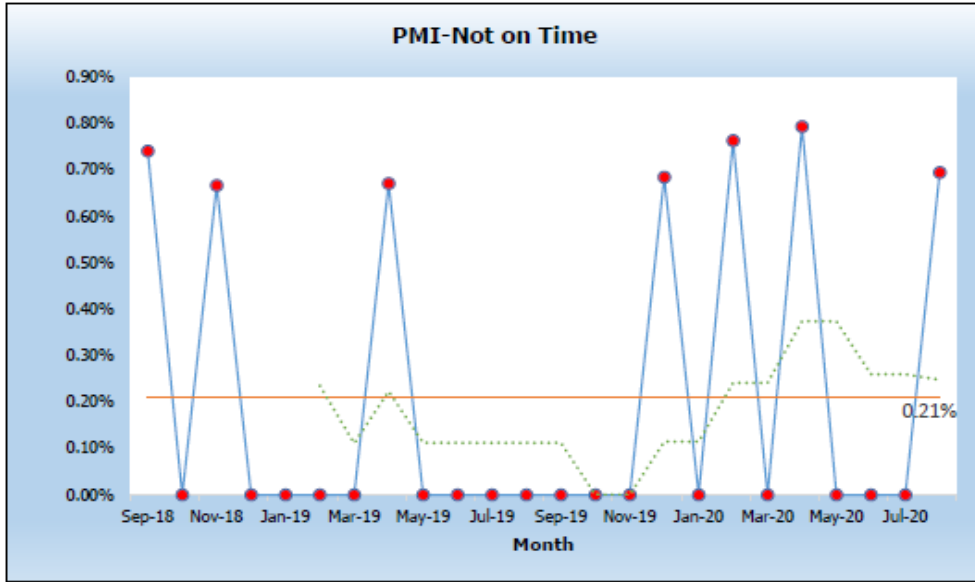
Current: 970,376



Previous: 75.12%

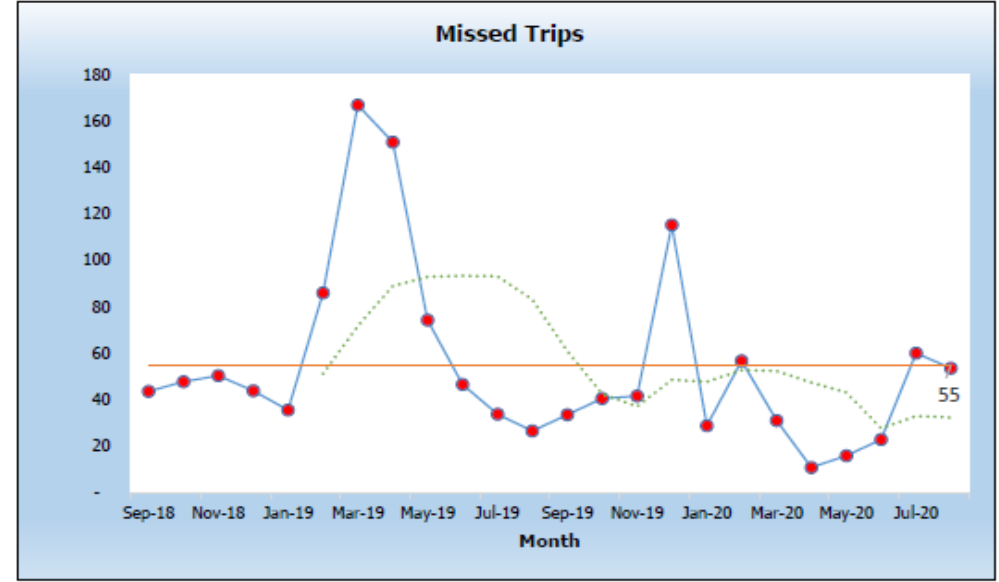
Current: 74.38%

Reliability



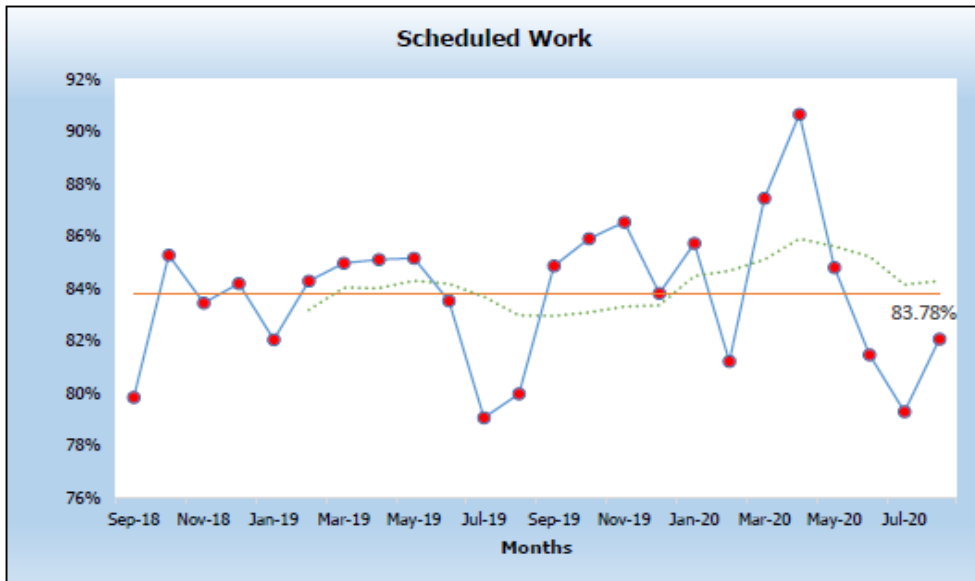
Previous: 0.00%

Current: 0.69%



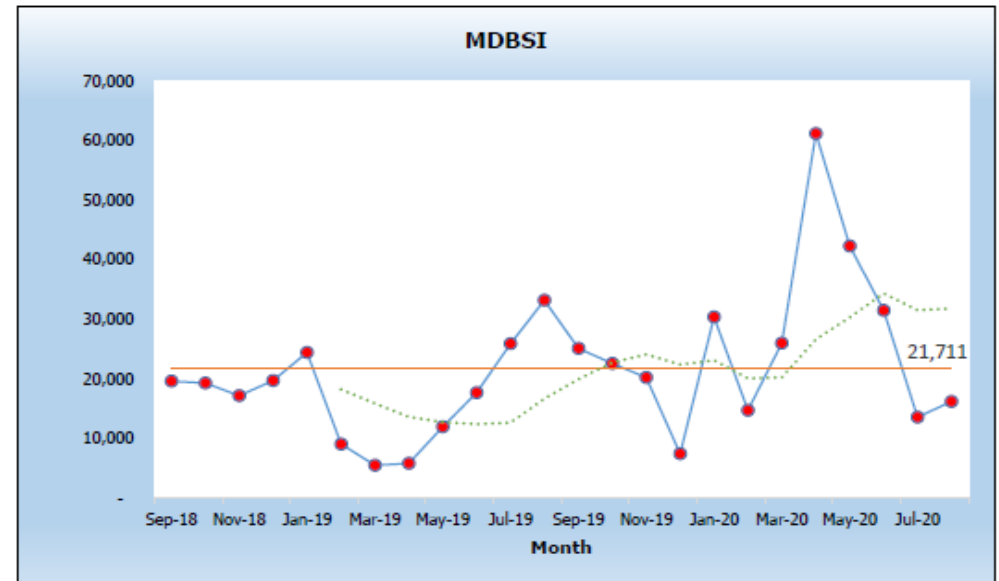
Previous: 27

Current: 54



Previous: 79.97%

Current: 82.07%

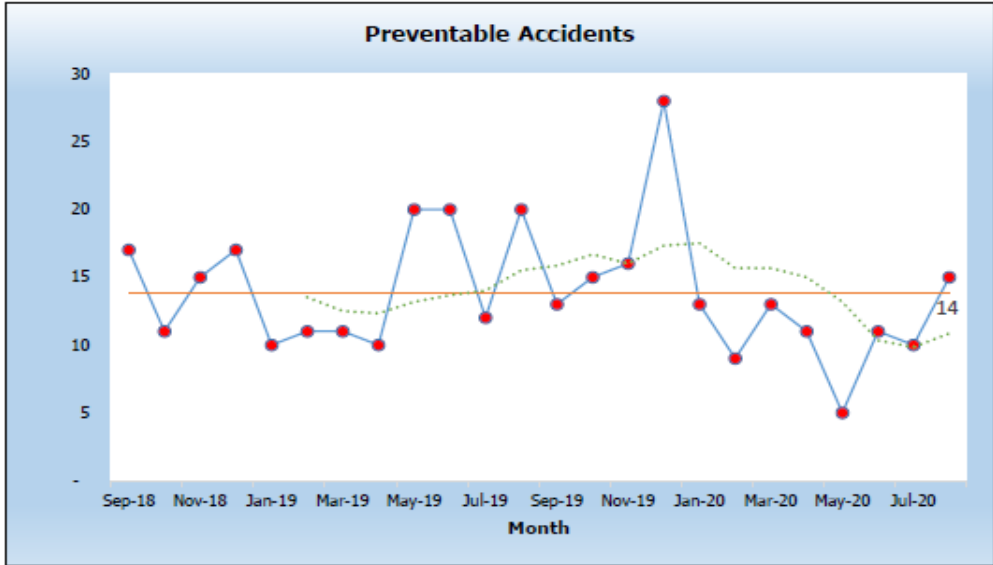


Previous: 33,221

Current: 16,232

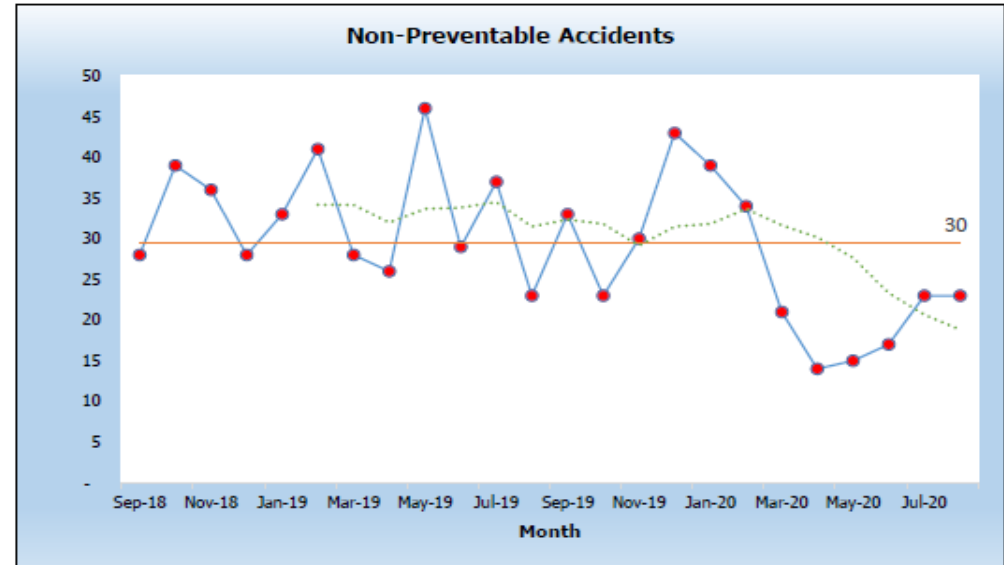


Safety



Previous: 20

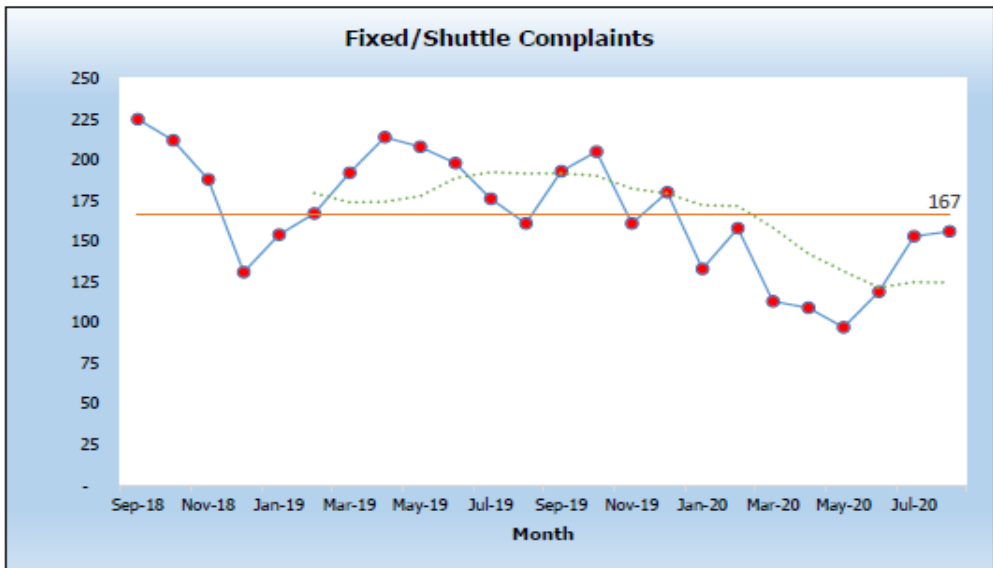
Current: 15



Previous: 23

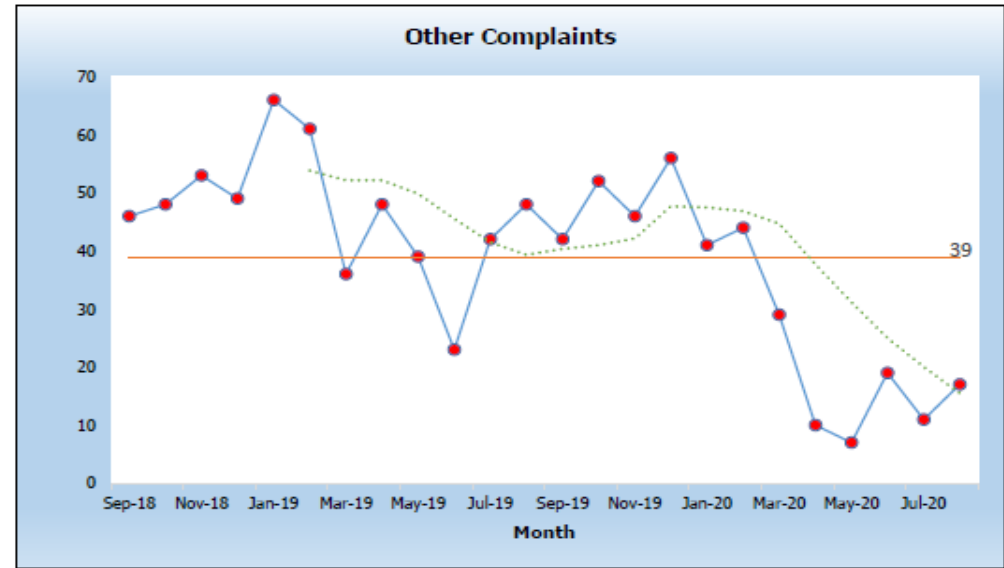
Current: 23

Customer Service



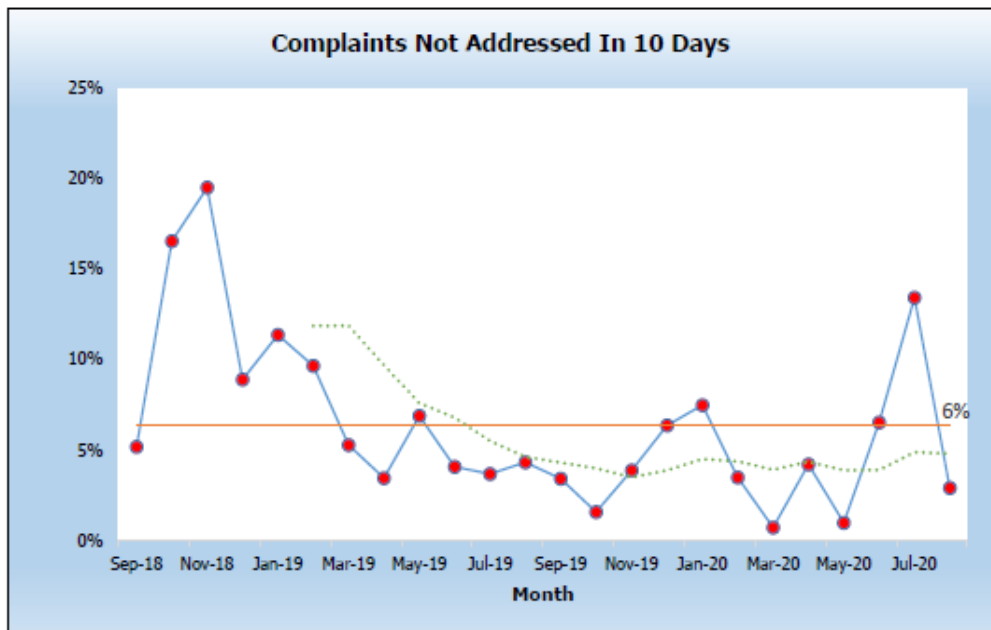
Previous: 161

Current: 156



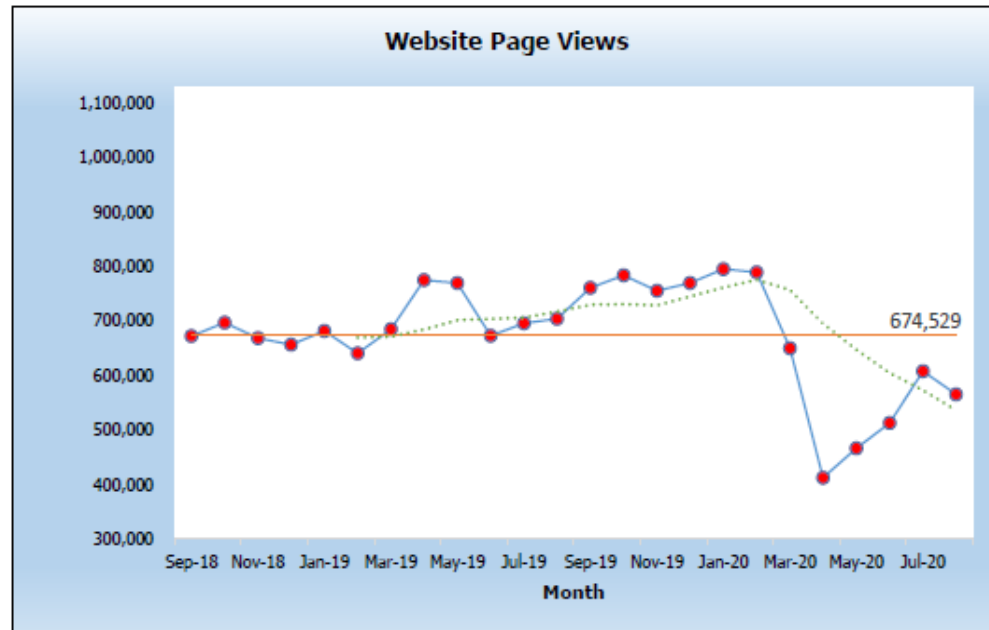
Previous: 48

Current: 17



Previous: 4%

Current: 3%

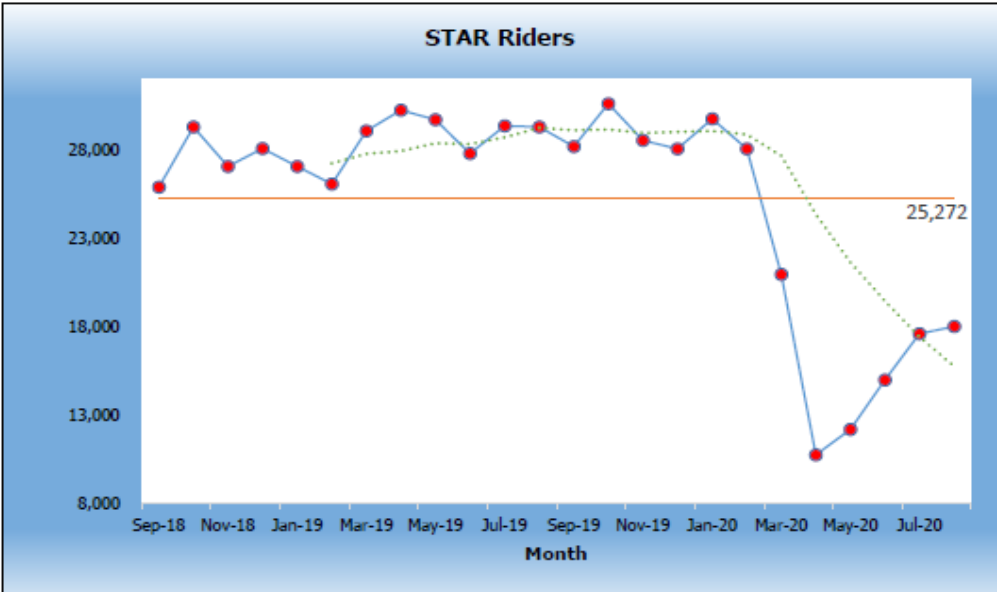


Previous: 703,928

Current: 565,568

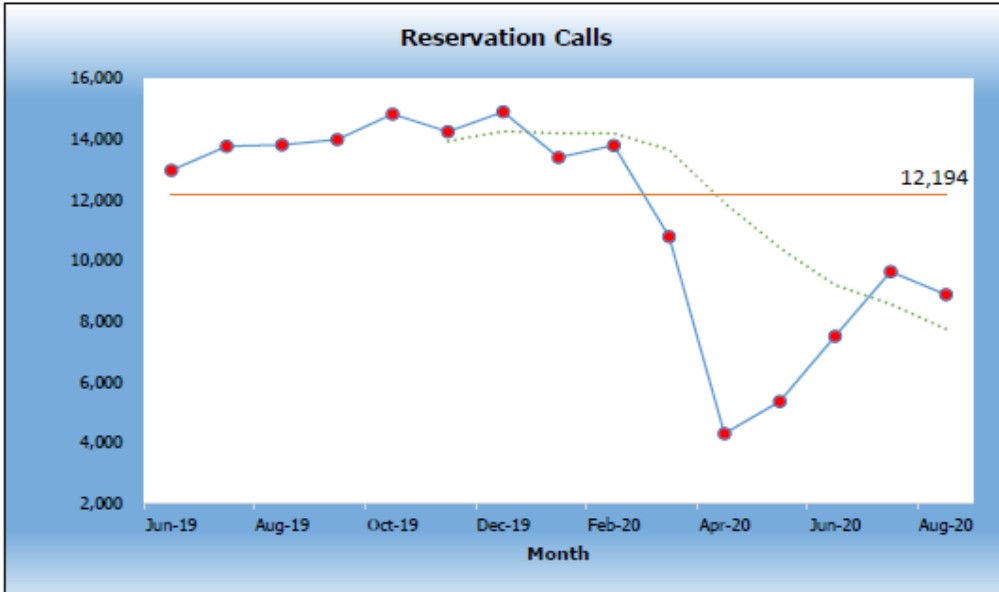


STAR Service



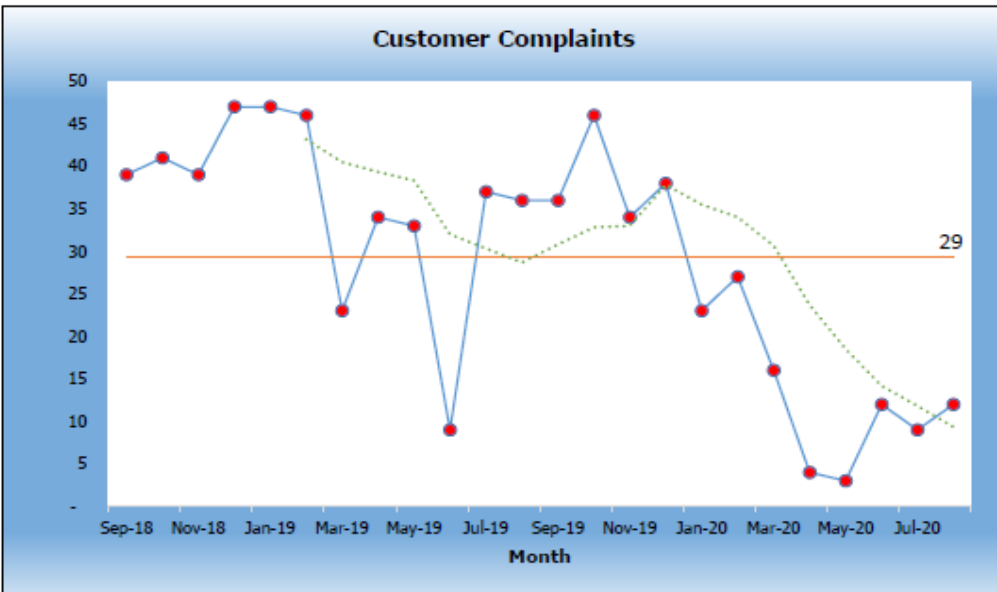
Previous: 29,286

Current: 18,009



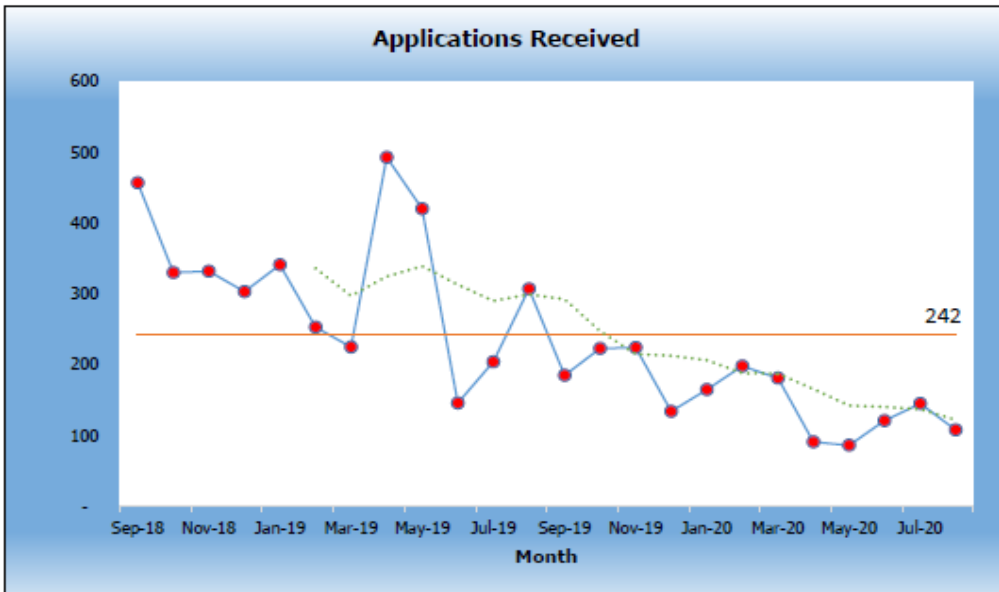
Previous: 13,831

Current: 8,888



Previous: 36

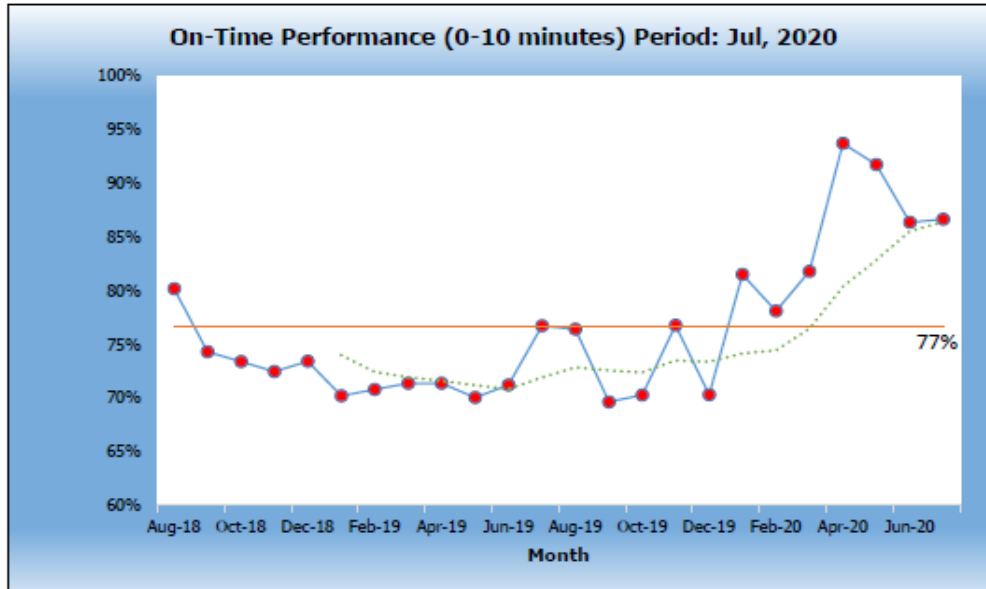
Current: 12



Previous: 307

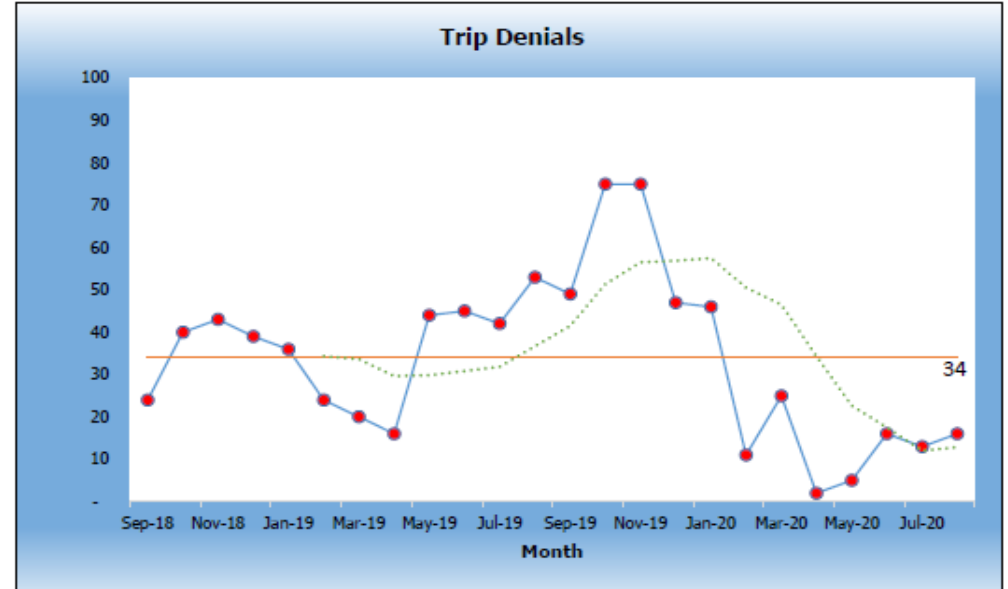
Current: 108

STAR Service Quality and ADA Compliance



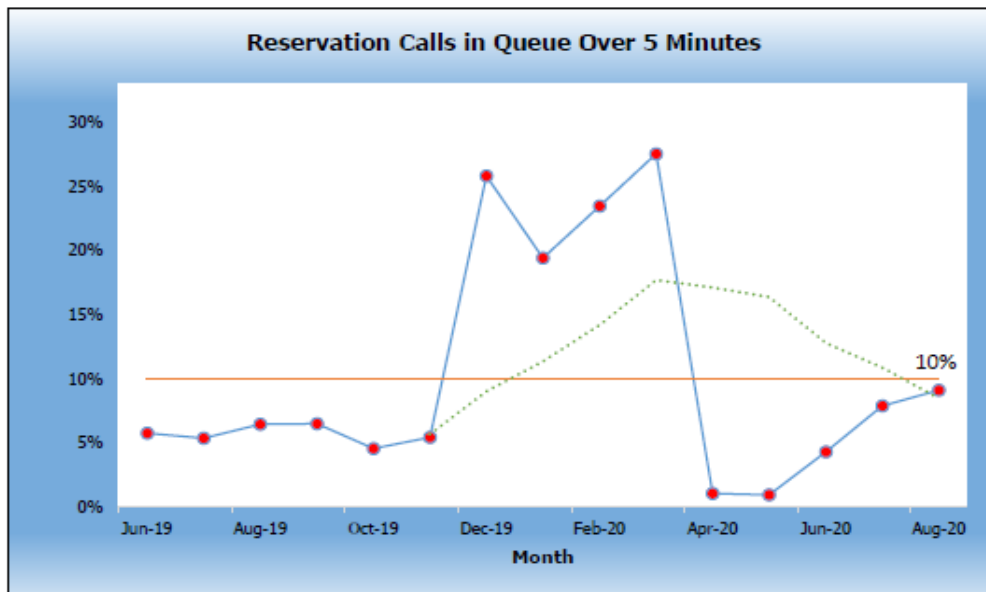
Previous: 77%

Current: 87%



Previous: 53

Current: 16



Previous: 6%

Current: 9%

**Total Riders** – Includes fixed route, STAR, NX, cash fare, Navigator, contracts (primarily UA), employees, and special events/trolley.

**Fixed Riders** – Includes fixed route, NX, cash fare, Navigator, contracts (primarily UA), employees, and special events/trolley.

**System Wide OTP %** – On-time performance: The percentage of departures that occurred between 5 minutes late and 1 minute early. Departures more than 30 minutes late or more than 15 minutes early are excluded. This is calculated across all times points in all routes in the system.

**PMI – Not on Time** – A Preventive Maintenance Inspection (PMI) is a routine (periodic) service and examination of the vehicle to identify potential defects before they fail. This measure is the work orders completed within 500 miles before and 500 miles after the scheduled mileage (6,000), divided by the number of PMI's done for the month.

**Missed Trips** – Collected by dispatchers and aggregated by administration. This includes missed trips due to mechanical issues and operator availability.

**Scheduled Work** – Unscheduled work in anything identified during a driver vehicle inspection, or caused by a breakdown. Scheduled work is anything else (primarily as a result of a PMI). This metric is the ratio of scheduled work to unscheduled work.

**MDBSI** – Mean distance between service interruptions: Total Miles Operated divided by number of service interruptions. A service interruption is defined as Incident, accident, operator running late, traffic delays, tire issues, etc., causing a service interruption (delay) of 5 minutes or more.

**Preventable Accidents** – An accident is considered preventable if it is due to an operator's failure to drive in a safe and professional manner. Accident categorizations may experience minor fluctuations after the fact for the prior month (after this report is generated).

**Non-Preventable Accidents** – An accident is considered non-preventable if the operator did everything that is reasonably expected of a defensive driver to avoid the accident. Accident categorizations may experience minor fluctuations after the fact for the prior month (after this report is generated).

**Fixed/Shuttle Complaints** – Any comments/complaints related to our regular route network, including the Northway Xpress. These are generally related to the on-street service expectations of our customers, from operator conduct to on time performance.

**Other Complaints** – This category is for comments tied to any claims, service requests, fare disputes, or anything related to STAR.

**Complaints Not Addressed in 10 Days** – Comments are submitted, reviewed, assigned and investigated by division. Once investigation is complete and customer is contacted (if requested), complaint is "addressed".

**Website Page Views** – This measures how many times someone has viewed an entire page including all text, images, etc. Alternatively, visits are defined as a series of hits from any particular address (source location). If any two hits are separated by 30 minutes or more, typically two visitors are counted.

## Definitions (STAR)

**STAR Riders** – Actual (not scheduled) ridership, including personal care assistants and other passengers.

**STAR On-Time Performance** - Percentage of bookings which were on-time for both their pick-up and, where applicable, their drop-off. A pick-up is considered on-time if the vehicle arrived no more than 10 minutes after the pick-up scheduled time. If the booking has a drop-off scheduled time (such as in the case of a doctor appointment), the vehicle must also arrive at the drop-off no later than that scheduled time to be considered on-time. If the booking has no drop-off scheduled time, then the drop-off is not considered for on-time performance. In instances where the vehicle arrived at the pick-up but the client did not take the trip (such as no-shows, missed trips and cancels-at-door), on-time performance is only judged by pick-up arrival time since the drop-off cannot be performed. Only considers trips for which data entry is complete and has passed a quality check. This data is one month behind all other data.

**STAR Trip Denials** - Trips which meet the FTA definition of a trip denial. This means all trips which were scheduled over an hour before or after the original requested time. Excludes same-day dispatching.

**STAR Reservation Calls in Queue Over 5 Minutes** - Count of times customers had to wait for over five minutes before being connected with a STAR reservationist after selecting to do so.

**STAR Customer Comments/Complaints** - Number of comments or complaints related to STAR service.

**STAR Applications Received** - Counts every client whose application has been received and entered in Trapeze.