



CDTA COMMITTEE AGENDA
Performance Monitoring/Audit Committee
Wednesday, October 20, 2021 | 12:00 pm | Microsoft Teams Meeting

Committee Item	Responsibility	
Call to Order	Denise Figueroa	
Approve Minutes of Wednesday, September 22, 2021	Denise Figueroa	
Consent Agenda Items		
• Approve Purchase of Articulated Buses	Stacy Sansky	4
• Approve Contract Extension for Upstate Transit Services	Stacy Sansky	6
• Approve Contract for Rail Station Maintenance & Repairs	Stacy Sansky	9
• Approve Contract for Workers' Comp/TPA Services	Stacy Sansky	12
• Approve Contract for Auto/General Liability Insurance	Jack Grogan	16
• Approve Contract for Auto/Physical Damage Insurance	Jack Grogan	19
• Approve Contract for Workers' Compensation Excess Insurance	Jack Grogan	22
• Approve Safety Management System Plan*	Rich Nasso	25
Audit Committee		
• Quarterly Audit Report	Sarah Matrose	28
Administrative Discussion Items		
• Monthly Management Report*	Mike Collins	33
• Monthly Non-Financial Report	Chris Desany	45
Next Meeting: Wednesday, December 15, 2021 at noon via Microsoft Teams & 110 Watervliet Avenue		
Adjourn	Denise Figueroa	

**Additional materials will be attached separately or provided before the meeting via email.*

Capital District Transportation Authority

Performance Monitoring/Audit Committee

Meeting Minutes – September 22, 2021 at 12:00 pm; 110 Watervliet Avenue, Albany

In Attendance: via MT – Dave Stackow; at 110 – Denise Figueroa, Joe Spairana, Carm Basile, Amanda Avery, Mike Collins, Lance Zarcone, Phil Parella, Jon Scherzer, Stacy Sansky, Sarah Matrose, Gary Guy, David Williams, Vanessa Salamy; via MT – Jaime Kazlo, Jeremy Smith, Jack Grogan

Meeting Purpose

Regular monthly meeting of the Performance Monitoring/Audit Committee. Denise Figueroa noted that a quorum was present. Minutes from the August 25, 2021 meeting were reviewed and approved.

Consent Agenda Items

Approve Contract for Facility Advertising

- Our Transit & Facility Advertising is a revenue generating program that provides revenue from the sale of advertising on buses, shelters, and displays at our rail stations.
- An RFP was issued, and we received two proposals. Staff recommends a contract to the incumbent, Lamar Obie Corporation. Lamar has provided this service for nearly 15-year, exceeding revenue guarantees and offering strong sales support services. In the new contract, the annual guarantee will increase 35% to \$1.2 million.
- The annual guarantee increases every year for 10 years and the revenue share increases in year six to 63% for CDTA. All in all, a very good arrangement for us.
- A 10-year revenue contract to Lamar Obie Corporation of Frisco, Texas with a minimum revenue guarantee \$13.5 million over the life of the arrangement will be recommended to the board for approval.

Investment Committee

- The Investment Committee met on September 27 and a report was provided to the board.

Administrative Discussion Items

Risk Management & Workers' Compensation Quarterly Report

- Amanda Avery provided a quarterly review on the adequacy of the Risk Management and Workers' Compensation Self-Insurance Account. The Committee determined that both accounts are adequate at this time.

Monthly Management Report

- Mike Collins provided the Monthly Management Report. MRT continues to perform well with year-to-date revenue \$2.4 million better than expectations; Customer revenue is 40% over budget through August, notwithstanding the lower budget expectations based on the pandemic; Rail Station revenue continues to improve as train travel picks up. Total revenue exceeded budget by 11%. Wages are 2.2% under budget this month and 2.5% over budget for the year; Workers' Compensation costs were under budget this month by 53% due to lower payments and insurance recoveries. Total expenses are 2.8% under budget for the year.

- We remain in a good financial position. We made a budget adjustment last month to reflect changes that took place after we approved our budget.

Monthly Non-Financial (performance) Report

- Carm provided the Non-Financial Report. Ridership has spiked up in the past few weeks as UA arrangements kick in and college students return to campus. STAR ridership is up 62% from last year. Missed trips are high this month and will be for the foreseeable future as we balance new services and manpower. Fixed route on-time performance was 75%; STAR on-time performance was 77%. Preventable accidents are at 32 this month; and non-preventable accidents are at 6. 40% of preventable accidents were on property, which is attributed to the construction taking place.

Next Meeting

Wednesday, October 20, 2021 at 12:00pm via Microsoft Teams and at 110 Watervliet Ave.

Capital District Transportation Authority Agenda Action Proposal

Subject: Fixed route articulated bus purchase from New Flyer of America.

Committee: Performance Monitoring/Audit

Committee Meeting Date: October 20, 2021

Board Action Date: October 27, 2021

Background:

As work advances on the Washington Western Bus Rapid Transit (WWBRT), vehicles need to be ordered to prepare for service. This will be our first BRT line operating all articulated vehicles.

Purpose:

To provide fully branded articulated buses for the WWBRT.

Summary of Proposal:

Articulated buses were competitively procured through the RFP process in October 2020. This contract was awarded to New Flyer of America, in part, in anticipation of the new WWBRT line.

Staff recommends purchasing sixteen articulated buses at a cost of \$828,340 per vehicle. There is an additional cost to include an extended warranty for engines. The projected delivery is slated for August 2022.

Financial Summary and Source of Funds:

The WWBRT grant will fund 80% of this purchase and the remaining 20% will be funded from our capital reserve fund.

Description	Unit Cost	Quantity	Extended Cost
Articulated Bus	\$828,340	16	\$13,253,440
Cummins Extended Warranty	\$5,100	16	\$81,600
TOTAL:			\$13,335,040

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Director of Maintenance

Memorandum

October 20, 2021

To: Members, Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations

Subject: Fixed Route Articulated Bus Acquisition

Background:

On October 28, 2020, the CDTA Board of Directors awarded a five-year contract to purchase articulated vehicles from New Flyer of America, LLC. Staff recommends the purchase of sixteen additional vehicles for fixed-route service operations from this contract.

Justification:

The vehicle model is an articulated New Flyer Xcelsior heavy-duty transit bus. This articulated bus is 60' long, comprised of two passenger areas and connected by a joint mechanism. The mechanism allows the vehicle to bend when the bus turns a corner yet has a continuous interior. It has three doors and almost twice the seating capacity of a standard 40' bus. Buses will have passenger amenities such as WIFI and USB charging ports. These buses will have a similar design to the articulated buses currently operating on Route 5 but with a new color scheme. The BRT Purple Line will be silver with a purple accent.

These 16 buses will be utilized on the Washington/Western corridor with an anticipated delivery of August 2022.

Recommendation:

Staff recommends purchasing sixteen articulated vehicles from New Flyer for the WWBRT line for a total cost of \$13,335,040.

Copy: Chief Executive Officer
Director of Procurement

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract award for NX service to Upstate Transportation of Saratoga, LLC.

Committee: Performance Monitoring/Audit

Committee Meeting Date: October 20, 2021

Board Action Date: October 27, 2021

Background:

The contract for NX service is set to expire in November and because of pandemic related service challenges, and the probability of not getting competitive bids, we recommend a one-year contract extension.

Purpose:

This contract will maintain commuter service for NX customers.

Summary of Proposal:

Upstate Transit was awarded a contract for the Northway Express (NX) service in 2015. As a result of COVID, service levels were continuously adjusted last year which led to extending our contract for an additional year. That contract expires in November.

Because the pandemic continues to affect ridership levels, it is difficult to draft an RFP defining the needs that allow potential vendors to prepare a competitive response. Upstate Transit agreed to hold pricing from the current contract. Staff recommends a one-year sole source contract be awarded to Upstate Transportation of Saratoga, LLC for the Northway Express for an amount not to exceed \$1.5 million.

Financial Summary and Source of Funds:

This contract for \$1.5 million is funded through the FY2022/FY2023 Operating Budgets.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

October 20, 2021

To: Members, Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations

Subject: NX Contract Extension

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, Upstate Transit of Saratoga was awarded a one-year contract with an option to extend the agreement annually for up to four additional years, that expired November 30, 2020. An additional one-year extension was awarded in September 2020 that expires on November 30, 2021.

Justification:

Transit properties across the country have experienced decreases in ridership due to COVID. CDTA has made several service changes to keep our employees, our customers and the community safe. Service levels are continuously adjusted to meet ridership demand.

The NX service currently provides six morning and six afternoon trips. Many businesses (and the state in particular) continue to work at reduced capacity and current ridership is much lower than average.

Because of the pandemic, NX ridership continues to fluctuate and drafting an RFP that accurately defines service needs would be difficult for a vendor to respond to.

Recommendation:

Staff is recommending that an additional one-year extension for \$1.5 million be awarded to Upstate Transportation of Saratoga LLC, that will expire November 30, 2022.

Copy: Chief Executive Officer
Director of Procurement

**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:** FY2022/FY2023 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 30, 2021

Capital District Transportation Authority Agenda Action Proposal

Subject: Retroactive contract approval for emergency repairs at to the Rensselaer Rail Station (RRS) top deck.

Committee: Performance Monitoring/Audit
Committee Meeting Date: October 20, 2021
Board Action Date: October 27, 2021

Background:

The Rensselaer Rail Station (RRS) is about 20 years old and requires preventive maintenance to ensure its useful life. The parking structure is no exception. Because we experienced significant inclement weather this summer, it added to the normal deterioration of the top deck membrane, that now requires repair.

Purpose:

The membrane on the RRS top deck requires repair and must be rehabilitated prior to the upcoming winter season.

Summary of Proposal:

The manufacturer of the RRS membrane assessed the state of the deck membrane and recommended local contractors experienced in working with their product to make the repairs. Two local vendors were contacted for proposals. One was unable to complete the work required. The other, PCC Contracting, Inc. provided a complete proposal including fees for the rehabilitation. PCC Contracting is experienced in this type of work and has performed preventative maintenance work for CDTA.

Staff recommends a retroactive contract be awarded to PCC Contracting, Inc. of Schenectady, NY for deck repairs at the RRS for an amount not to exceed \$156,000.

Financial Summary and Source of Funds:

This project for \$156,000 will be funded through the FY2022 Capital Plan.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Jeremy Smith, Director of Facilities

Memorandum

October 20, 2021

To: Performance Monitoring/Audit Committee

From: Christopher Desany, Vice President of Planning and Infrastructure

Subject: Rensselaer Rail Station (RRS) Deck Repairs

Background

Major capital assets require ongoing preventive maintenance to ensure a useful life. The RRS parking structure is no exception. Since its opening in 2001, it has experienced a greater than expected need for ongoing attention. In 2018, the top deck was stripped, and a new membrane installed. In 2020, that project was completed and closed out. Since then, several areas have delaminated and are in need of additional repairs. Some of these repairs were expected based on the Operations and Maintenance Plan.

The rehabilitation involves addressing a separation of the membrane along the joints on the top deck. This deterioration began this past spring. Torrential rains that we experienced in July caused further infiltration that needs to be addressed prior to the upcoming winter season, and a traditional procurement cycle would preclude us from doing that.

The manufacturer of the product (Kelmar) visited the site and was given the appropriate background. The manufacturer provided information for a regional installer who has worked with them in the past, but it was suggested that we use local vendor who could begin work as soon as possible.

Justification

Two local vendors were engaged to provide feedback and cost proposals. One vendor determined that they could not complete the scope provided. The other firm, PCC Contracting Incorporated, provided a proposal and did discovery work to provide an accurate assessment and fee. PCC has extensive experience with applicable restoration and new construction projects that include masonry, plaster, concrete, and waterproofing for historic buildings, commercial and mixed-use buildings, civil infrastructure, and parking structures. Additionally, PCC has previously done work for our preventive maintenance program. Our Director of Facilities and Rail Station Manager worked with PCC to finalize the details.

Recommendation

I recommend a retroactive emergency procurement for deck repairs for an amount of \$156,000 from PCC Contracting Inc. of Schenectady, NY.

Copy: Chief Executive Officer
Director of Procurement
Director of Facilities

**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:

\$156,000 (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)-**Emergency**

6. SELECTION CRITERION USED:

Number of Proposals/Bids Solicited # 2 or Advertised
Number of Proposals/Bids Received # 1

Attach Summary of Bids/Proposals

8. Disadvantaged/Minority Women’s Business Enterprise (D/MWBE) involvement

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

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: PCC Contracting, Inc.
1861 Chrysler Avenue
Schenectady, NY 12303

9. SOURCE OF FUNDS: FY2022 Capital Plan

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: October 20, 2021

Capital District Transportation Authority Agenda Action Proposal

Subject: Award recommendation for Third Party Claims Administration to Future Comp of Buffalo, NY.

Committee: Performance Monitoring/Audit
Committee Meeting Date: October 20, 2021
Board Action Date: October 27, 2021

Background:

CDTA uses a Third-Party Administrator (TPA) to manage Workers' Compensation and Disability claims on our behalf.

Purpose:

To secure a TPA to manage Worker's Compensation and Disability Claims; and to obtain Excess Insurance for Worker's Compensation.

Summary of Proposal:

A Request for Proposals (RFP) was issued to manage CDTA's Worker's Compensation and Disability Claims and to provide Workers' Compensation Excess Insurance. Optional pricing was also requested to transfer all open claims from our incumbent provider to a new provider.

Two proposals were received. As a result of the review process, staff recommends that the Board award a contract to Future Comp of Buffalo, NY (the incumbent provider) for an approximate cost of \$300,000 per year. Cost estimates are based on the number of claims filed each year of the contract.

Upon Board approval this contract will be executed immediately. This contract will be for three years with two optional one-year renewals.

Financial Summary and Source of Funds:

The estimated cost is \$300,000 per year and will be funded through the operating budget.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Jack Grogan, Director of Risk Management

Memorandum

October 20, 2021

To: Members, Performance Monitoring/Audit Committee

From: Jack Grogan, Director of Risk Management

Subject: Worker's Compensation and Disability (TPA Services)

Background:

CDTA is self-insured for Workers Compensation and Disability Claims. A Third-Party Administrator (TPA) manages these claims on our behalf. The current contract for services is set to expire. A Requests for Proposals (RFP) was issued for these services and two proposals were received. Staff evaluated these proposals based on price, experience and approach to this work and found that the incumbent, Future Comp best suited our current needs.

Future Comp uses USI Insurance Services to provide Excess Workers' Compensation Insurance. USI provides broker services to find competitive access to the Excess Workers' Compensation market. Future Comp is one of the largest third-party administrators in the Northeast.

Justification:

Future Comp's proposal provides more experience, quality, and better pricing. As the incumbent, we are very pleased with their performance.

Cost estimates are based on the number of filed claims and Future Comp has proposed to keep the cost to manage claims at the same rates as the prior contract. The average cost per year is \$300,000.

Recommendation:

Staff is recommending a 3-year contract with two optional one-year renewals for Third-Party Claims Administration services be awarded to Future Comp, of Buffalo, NY for approximately \$300,000 per year.

Copy: Chief Executive Officer
VP of Finance & Administration

CDTA HR 31-7000

Criteria	Future Comp- Buffalo, NY	Constitution-Hartford, CT
Cost of Services 120 Points	118	53
Capacity to Provide Service 75 Points	70	32
Contractor Services Proposal 60 Points	47	17
Access to Markets for Excess Insurance 30 Points	29	7
DBE and/or MWBE Participation 15 Points	0	0
TOTAL	264	109

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

1. TYPE OF CONTRACT (check one):

Construction & Maintenance Goods, Commodities & Supplies Bus Purchase
 X 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
 X 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:

\$300,000 per year fixed estimated (circle one)

4. PROCUREMENT METHOD (check one):

X 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) X Request for Proposals (RFP)
 Professional Services (Over \$25,000) Sole or Single Source (Non-Competitive)

6. SELECTION CRITERION USED:

Number of Proposals/Bids Solicited # 24 or Advertised
Number of Proposals/Bids Received # 2

Attach Summary of Bids/Proposals

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

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

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: Future Comp
726 Exchange St Suite 618
Buffalo, NY 14210

8. SOURCE OF FUNDS: FY2022 to FY2026 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: October 13, 2021

Capital District Transportation Authority

Agenda Action Proposal

Subject: Auto & General Liability Insurance

Committee: Performance Monitoring/Audit

Committee Meeting Date: October 20, 2021

Board Action Date: October 27, 2021

Background: Auto and General Liability insurance provides liability coverage caused by the operation of our business. Rose & Kiernan (R&K) provides broker services to obtain Auto and General Liability Insurance for CDTA. We have maintained a \$2 million self-insured retention (SIR) policy and \$13 million in excess coverage above our SIR since 2004. The SIR is like a deductible, and we pay the first \$2 million of any claim.

Excess coverage is purchased in two layers above our \$2 million SIR. The first layer is an excess policy of \$8 million and the second layer is a \$5 million policy above the first layer for a total of \$13 million in coverage protection.

Our claims experience is very good, and we have never come close to piercing our \$2 million SIR. However, because CDTA is included for insurance purposes in the broader transportation market, which includes trucking and rail, we are subject to loss trends that affect the overall transportation market. The commercial auto insurance segment continues to see increased loss activity and higher loss payouts.

Purpose: Auto & General Liability provides insurance protection for claims for injury and damage to people and property of others caused by the operation of our business.

Summary of Proposal: R&K approached 20 markets but received only one quotation for our primary layer. Although markets expressed interest because of our good loss experience, market underwriters deem our price points as too low and cannot match our incumbent premium. Exhibit A (attached) summarizes the renewal offer.

American Alternatives is one of our incumbent carriers and they provided a renewal quote of \$337,500 for the first \$8 million layer of excess insurance. The incumbent carrier for the second \$5 million-layer, Allied World National Assurance quoted \$115,000 for the second layer (\$5 million) of excess insurance above the first layer. We also purchase coverage for Non-Certified Acts of Terrorism with Lloyds of London for \$21,190. This is also included in our Auto Physical Damage insurance program.

It is recommended that we award American Alternatives the first layer of excess coverage at \$8 million for Auto & General Liability at a cost of \$337,500. It is also recommended that we award Allied World the second layer of excess coverage at \$5 million above the first layer at a cost of \$115,000. Finally, it is recommended that we select the Non-Certified Acts of Terrorism coverage for \$21,190 through Lloyd's of London Insurance Company. These one-year policies represent a 5.8% increase and take effect on November 10, 2021.

Finance Summary and Source of Funds: The total one-year cost for the Auto & General Liability Insurance is not to exceed \$463,690 and it will be funded through the FY2022/23 operating budgets.

Prepared by:

Jack Grogan, Director of Risk Management

Project Manager:

Jack Grogan, Director of Risk Management

Exhibit A

Auto & General Liability Insurance Program

Renewal (\$2 million SIR)

Insurance Carrier	Excess Insurance Coverage	Premium	Insurance Rating
A. American Alternative	\$8 million	\$337,500	A+
B. Allied World	\$5 million excess above \$8 million	\$115,000	A+

Non-Certified Acts of Terrorism - Carrier	Excess Insurance Coverage	Premium	Insurance Rating
Lloyd's of London	\$13 million	\$21,190	A

Total Premium = \$473,690

Carrier Addresses:

Lead Excess Liability - \$8,000,000:

American Alternative Insurance Corporation
555 College Road East
Princeton, NJ 08543

Excess Liability - \$5,000,000 x \$8,000,000:

Allied World National Assurance Company
199 Water Street
New York, New York 10038

Non-Certified Acts of Terrorism – Excess General Liability and Auto Liability:

Lloyd's of London
520 Madison Avenue 32nd Floor
New York, New York 10022

Memorandum

October 20, 2021

To: Members, Performance Monitoring/Audit Committee

From: Jack Grogan, Director of Risk Management

Subject: Auto and General Liability Insurance

Summary:

Rose & Kiernan (insurance broker) pursued several markets to get competitive quotations for our Auto and General Liability Insurance. Auto & General Liability provides insurance protection for claims for injury and damage to people and property of others caused by the operation of our business.

Our claims experience is very good, but we are included in the overall transportation insurance market for pricing, which encompasses trucking and rail industries. The loss experience in the overall markets has not been good and markets reflect this poor experience with large premium increases and/or declining to quote. Altogether over 18 companies declined quoting our program because they could not match our incumbent carriers pricing or were no longer in the public entity/transportation marketplace. We received only one proposal for our primary layer for auto & general liability insurance.

CDTA's excess program contains a \$2 million self-insured retention (SIR) with a \$8 million layer followed by a \$5 million layer for a total excess coverage of \$13 million.

American Alternatives is our incumbent carrier, and they provided a renewal quote of \$337,500 for the first \$8 million layer of excess insurance. The incumbent carrier for the second \$5 million-layer, Allied World National Assurance Company quoted \$115,00 for the second \$5 million layer. We also purchase coverage for Non-Certified Acts of Terrorism with Hiscox/Underwriters at Lloyds of London for \$21,190. This policy will cover both the liability and auto property/physical damage exposures.

Recommendation:

Based on the quotations for auto & general liability insurance, we recommend awarding American Alternative the first \$8 million excess layer for \$337,500 and Allied World National Assurance Company for the second \$5 million layer for \$115,00. It is recommended that we select the Non-Certified Acts of Terrorism with Lloyd's of London for \$21,190. The total premium cost will be \$473,690. The insurance renewals be effective November 10, 2021, through November 9, 2022.

Copy: Chief Executive Officer
VP of Finance & Administration

Capital District Transportation Authority Agenda Action Proposal

Subject: Auto Physical Damage Insurance

Committee: Performance Monitoring/Audit

Committee Meeting Date: October 20, 2021

Board Action Date: October 27, 2021

Background: Auto Physical Damage insurance is rated and priced based on the dollar value of our fleet. The current value of our fleet is about \$60 million with our fleet garaged at three separate locations. We currently have a \$30,000,000 per occurrence limit with deductibles ranging from \$2,500 dollars for service vehicles to \$20,000 for buses.

Purpose: Auto Physical Damage provides insurance for vehicles in the event of fire, theft, vandalism, collision and natural perils.

Summary of Proposal: Rose & Kiernan (our broker) approached several markets and received only one proposal from our incumbent, Lexington Insurance. Exhibit A on the following page summarizes the program components.

The premium of \$256,382 reflects the fleet value of \$60 million. Last year, Lexington decreased the occurrence limit from \$30,000,000 to \$25,000,000, but we decided to purchase an additional \$5 million layer to bring our occurrence limit back to \$30 million. This year again, R&K obtained excess physical damage quotes from Homeland Insurance Company for \$5 million in excess of Lexington's \$25,000,000 limit (see exhibit A).

It is recommended that we award Lexington Insurance of 99 High Street, Boston, MA to provide Auto Physical Damage Insurance for \$256,382 effective November 10, 2021, for a period of one year. It is also recommended that we select Homeland Insurance Company of Delaware of 605 Highway 169 North Suite 800, Plymouth, Minnesota to provide \$5 million additional excess coverage for \$25,000 effective November 10, 2021, for a period of one year.

Finance Summary and Source of Funds: The total cost of the Auto Physical Damage Insurance for one year is \$281,383, which is an \$8,000 decrease from last year, and it is budgeted in the FY20212/23 operating budgets.

Prepared By:

Jack Grogan, Director of Risk Management

Project Manager:

Jack Grogan, Director of Risk Management

EXHIBIT A

Auto Physical Damage Insurance

2021-22 Lexington Insurance Program

(Insurance Rating A)

Program Components	Insurance Coverage
Per Occurrence Limit	\$25,000,000
Loss per Vehicle	\$810,000
Service Vehicle Deductible	\$2,500
Bus Deductible	\$20,000
Rate per \$100 of Value	\$0.405
Premium	\$256,382

2020-21 Homeland Insurance Program

(Insurance Rating A+)

Program Components	Insurance Coverage
Excess Property Limit	\$5,000,000
Premium	\$25,000

Total Premium = \$281,382

Memorandum

October 20, 2021

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

From: Jack Grogan, Director of Risk Management

Subject: Auto Physical Damage Insurance Renewal

Background:

Lexington Insurance a division of AIG is the current carrier and has been for many years. Our Broker (Rose & Kiernan) did conduct extensive marketing for alternative options; however, the incumbent Lexington Insurance was the only carrier to provide a quotation.

Auto Physical Damage provides insurance for our vehicles in the event of fire, theft, vandalism, collision, and natural perils. The renewal of our Auto Physical Damage Policy is for a period of one-year effective November 10, 2021, through November 9, 2022. A variety of deductibles are included in the insurance program as follows; \$20,000 for buses, \$5,000 for Trolleys, and \$2,500 for Service Vehicles. The maximum coverage per occurrence is \$25,000,000 at any one location and the maximum loss per vehicle is \$810,000 per unit.

The value of our fleet is \$60 million. Last year, Lexington decreased the occurrence limit from \$30,000,000 to \$25,000,000. R&K has obtained excess auto physical damage quotes from Homeland Insurance Company for an additional layer of \$5 million in excess of Lexington's \$25,000,000 limit.

Recommendation:

It is recommended that we award the auto physical damage insurance contract to Lexington Insurance for \$256,382 and Homeland Insurance Company of Delaware to provide excess coverage for \$25,000. The total premium is \$281,383 and is budgeted in our FY2021/22 operating budgets.

Copy: Chief Executive Officer
VP of Finance & Administration

**Capital District Transportation Authority
Agenda Action Proposal**

Subject: Contract Award to ACE American/CHUBB for Workers Compensation Excess Coverage.

Committee: Performance Monitoring/Audit
Committee Meeting Date: October 20, 2021
Board Action Date: October 27, 2021

Background:

The Workers Compensation Excess Insurance Market is a specialty market with a small number of insurance companies willing to provide insurance quotations.

We have purchased excess insurance each year since we self-insured in 2002. Our current program has a \$1 million self-insured retention (SIR) level with no coverage limit for any claim that exceeds the current SIR. We pay all claim costs up to \$1 million of each occurrence. A variety of insurance options were provided which are included in Exhibit A on page 2.

In late 2019, the excess insurance market began tightening because of cumulative losses and diminished capacity in the reinsurance markets. Catastrophic storm losses and California wildfires added to increasing losses and overall claims frequency. This was before the Covid-19 pandemic was widespread.

We have several claims projected to exceed our SIR levels over the next few years.

Purpose:

Workers Compensation Excess Insurance provides insurance protection against high value and catastrophic Workers' Compensation claims.

Summary of Proposal:

USI Insurance and Benefit Services (our insurance broker for Workers Compensation Excess Coverage) approached three markets and received three quotes for our current coverage, and two quotes for alternative options summarized in Exhibit A. Based on price and coverage options, it is recommended that we select ACE American/Chubb insurance to provide workers compensation excess coverage. The one-year policy is effective November 10, 2021, to November 10, 2022, at a program cost of \$299,782; a 13% increase from last year.

Financial Summary and Source of Funds:

The Workers Compensation Excess Insurance premium is \$299,782 and is budgeted in the FY2022/23 operating budget.

Prepared by: Jack Grogan, Director of Risk Management

Project Manager: Jack Grogan, Director of Risk Management

Exhibit A

Workers Compensation Excess Insurance

Insurance Company	Limit	Deductible SIR	Annual Premium
ACE American/Chubb-Option 1	Statutory WC/\$1,000,000 EL	\$1,000,000	\$299,782
Midwest Employers-Option 1	Statutory WC/\$1,000,000	\$1,000,000	\$349,012
Safety National-Option 1	Statutory WC/\$1,000,000 EL	\$1,000,000	\$331,434
Safety National-Option 2	Statutory WC/\$1,000,000 EL	\$1,250,000	\$295,753
Safety National-Option 3	Statutory WC/\$1,000,000 EL	\$1,500,000	\$273,850

Memorandum

October 20, 2021

To: Performance Monitoring/Audit Committee
From: Jack Grogan, Director of Risk Management
Subject: Workers Compensation Excess Insurance

Background

Workers Compensation Excess Insurance provides insurance protection for claims generated by employee injuries when claim costs reach certain levels. Our excess insurance level kicks in at \$1 million, meaning CDTA pays claim costs up to \$1 million and the excess carrier pays all costs above that. The renewal of our Workers Compensation Excess coverage is for a period of one year; November 10, 2021, to November 10, 2022.

We use a broker, USI Insurance and Benefit Services, and they approached three markets and received three quotes for the same \$1 million SIR program we had last year. We also received two alternative quotes for higher SIR's of \$1,250,000 and \$1,500,000. The options are summarized in exhibit A and are not recommended.

Because of the volatile marketplace and overall losses in the excess market, this year the minimum quoted SIR was \$1 million. And the best price received for our current program was by ACE American/Chubb for \$299,782; a 13% increase from last year.

Recommendation

It is recommended that a one-year contract with ACE American/Chubb be awarded in the amount of \$299,782 beginning on November 10, 2021.

Copy: Chief Executive Officer
VP of Finance & Administration

Capital District Transportation Authority Agenda Action Proposal

Subject: Approval of Safety Management System (SMS) Plan

Committee: Performance Monitoring/Audit

Committee Meeting Date: October 20, 2021

Board Action Date: October 27, 2021

Background:

The FTA requires all public transportation agencies to adopt a Safety Management System (SMS) plan which must be approved by the board on an annual basis. The safety plan will enhance our safety efforts and fully meet FTA standards.

Purpose:

SMS is a formal process to communicate and manage safety throughout the organization.

Summary of Proposal:

The SMS takes a top down, data driven approach to mitigate risk and ensure corrective actions. It includes four main components:

- Safety Management Policy – Establishes management accountability and responsibility for safety.
- Safety Risk Management – Develops a process to identify safety hazards, assess risk and mitigate risks.
- Safety Assurance – This process ensures the implementation of our plan, and actions to measure the effectiveness of risk mitigation efforts and to report results.
- Safety Promotion and Communication – A key part of the safety effort is communication, cooperation, and teamwork. The objective is to drive the importance of safety throughout the organization using a variety of methods to deliver and reinforce messages, and to ensure that messages turn into action.

The FTA has reviewed our SMS plan and made recommendations which we have incorporated. Based on this review, staff recommends approval of the 2021 SMS plan in accordance with FTA requirements.

Financial Summary and Source of Funds:

No impact

Prepared by:

Rich Nasso, Manager of Safety & Training

Project Manager:

Rich Nasso, Manager of Safety & Training

Memorandum

October 20, 2021

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

From: Rich Nasso, Manager of Safety and Training

Subject: Approval of Safety Management Systems (SMS) Plan

Background:

The Federal Transit Administration (FTA) requires all public transportation agencies to adopt a Safety Management System (SMS) plan. The safety plan must be approved by the board on an annual basis. SMS is a formal process to communicate and manage safety throughout the organization. The contents of the plan enhance our safety efforts and fully meet the standards set by the FTA.

Plan Overview:

The SMS is a top down, data driven approach that seeks to mitigate risk and to ensure corrective actions. The plan includes Key Performance Targets that are segmented into four main components:

- Safety Management Policy – Establishes management accountability and responsibility for safety. Most of this work is intended to get everyone in the organization to understand that safety is a shared responsibility that requires attention, interaction, and collaboration of people across departments.
- Safety Risk Management – Develop a consistent process to identify safety hazards, and to assess and mitigate risks. This risk identification process is focused on making efforts proactive rather than reactive. This includes good data collection, consistent trend analysis and delegation of authority to address issues and to fix problems.
- Safety Assurance – This process ensures the implementation of our plan, along with actions to measure the effectiveness of risk mitigation efforts and to regularly report the results. This includes management of safety data, development of reporting procedures/expectations and an appropriate system of follow up actions to make the program better. It also includes an expectation that we are working with local and state officials to share information, to collaborate and to effectuate improvements in the regional safety network.

- Safety Promotion and Communication – A key part of the safety effort is communication, cooperation, and teamwork. The plan hinges on our ability to develop a safety culture within the organization and among our employees. Our objective is to drive the importance of safety throughout the company using a variety of methods to deliver and reinforce messages, and to ensure that messages turn into action. The creation of safety committees at each operating division is a big part of this work. This serves to involve employees in the safety program at all levels of the company.

Recommendation:

We recommend approval of the SMS plan in accordance with FTA requirements. A copy of the plan is **attached separately**.

Copy: Chief Executive Officer
VP of Finance & Administration
Director of Risk Management

Safety Management System (SMS) 2021

Richard Nasso, Manager of Safety & Training



1

Overview

1. SMS – What is it?
2. Four SMS Components
3. How are we doing? SMS - Initiatives
4. Future Steps



What is SMS

- SMS requires FTA recipients to develop safety plans to include process and procedures to implement Safety Management Systems (SMS).
- SMS is a formal top down, organizational-wide, data driven approach to managing risk, and assuring safety risk mitigation.
- Proactive approach to Safety



3

Four Components of SMS

Safety Management Policy – Establishes management accountability, and responsibility for Safety

Safety Risk Management – Develops a process to identify safety hazards, assess risk and mitigate risks

Safety Assurance – This process ensures the implementation of our plan, and actions to measure the effectiveness of risk mitigation efforts and to report results

Safety Promotion and Communication – A key part of our safety effort is communication, cooperation and teamwork. The objective is to drive the importance of safety throughout the organization using a variety of methods to deliver and reinforce messages, and to ensure that messages turn into action



How are we doing? SMS – Initiatives

- Developing buy-in.
- Building relationships across departments.
- Identifying obstacles for success.
- Brainstorming. (New ideas, feedback, remedies.)
- Safety is a shared responsibility



- Identify hazards. (What can create an accident or incident)
- Assess the risk. (Risk Assessment Matrix)

- Quarterly Safety Committee meetings.
- Shared information.
- Key performance indicators (KPI's) are monitored for both accident trends as well as rewarding great operator behavior.

- Building relationships with other departments and city/town officials. (When creating new routes. (BRT) Also used to make existing routes safer and easier to navigate.)



5

Risk Assessment Matrix

RISK ASSESSMENT MATRIX				
SEVERITY PROBABILITY	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	Serious	Medium
Probable (B)	High	High	Serious	Medium
Occasional (C)	High	Serious	Medium	Low
Remote (D)	Serious	Medium	Medium	Low
Improbable (E)	Medium	Medium	Medium	Low
Eliminated (F)	Eliminated			



Future Steps

- Safety boards
- Safety forums
- New maintenance PPE. (Fog free safety glasses, light weight hearing protection)
- By-weekly safety message on electronic message boards.
- Report KPI's (# of preventable and non-preventable)
- Safety poster promotions. (Defensive driving, customer service, proper PPE)
- "Smooth Operator" refresher classes.
- Safety supervisor sets up accident forgiveness and remedial training on first accidents with operators in their first year of service.
- Extended mentoring program. (extend to 60-day, 90-day, 120-day, and 240-day)
- Reduce accident from 5.0 per 100k miles to 4.5 per 100k miles



Safety is a shared responsibility.
Keep phones stored while the bus is in operation.
Always be looking for pedestrians and hazards.



7

Action/Questions?

- Recommend approval of SMS Plan



Memorandum

October 20, 2021

To: Performance Monitoring/Audit Committee
Carm Basile, Chief Executive Officer

From: Sarah Matrose, Internal Audit

Subject: Internal Audit Progress Report

Quarterly Progress Items:

- Document Retention Audit
 - Preliminary planning stages to develop an organizational wide progressive initiative to reduce paper and create efficiencies across all departments.
 - The audit will focus on delivering an updated Document Retention policy for the authority and will be pushed out in emphasis during the course of my internal audit work across the organization.
- Prevailing Wage Training
 - Reviewed a sample of invoices to validate the process changes made are establishing a culture of compliance with the New York State Labor Law.
- STAR Process Reviews
 - Collaboration with STAR on enhancing some of their current processes to reduce physical paper, redundancies, and maximize the tools available to lessen manual input and employee time required to perform intake and debit processes.
- Annual Risk Assessment
 - Developing an electronic survey style format to roll out in November to establish a risk-based plan that aligns the internal audit function's work with the organization's goals by establishing key risks and activities, as well as the organizational strategic objectives.

On-Going Items:

- Project Process
 - Continued analysis of the BRT project review to assist in developing a consistent project structure to enhance consistency, inclusion, and maximize efficiencies.
- Continued support and finalization of Standard Operating Procedures (SOP)
 - Liaison for departmental Policy and SOP formatting uniformity, tracking, and document repository.
- Personally Identifiable Information Wrap-Up
 - Working with internal departments to document processes that require access to PII to ensure proper controls exist to conclude the external assessment conducted.

Professional Development Items:

- Facilitated a Certified Internal Auditor Part I training class.

Monthly Management Report

September 2021



Memorandum

October 20, 2021

To: Performance Monitoring/Audit Committee

From: VP of Finance and Administration

Subject: Six-month Budget Update

CDTA is in a positive financial position through the first six-months of FY2022. Federal funds have help us to plug gaps in revenue lines and helped us with expenses that resulted from COVID. It is encouraging that operating revenues such as Mortgage Recording Tax, Customer Fares and RRS Parking have surpassed expectations all year as we move past this pandemic. We have fully utilized the CRRSSA Act funding and have roughly \$7M in Section 5307 budgeted for use. Almost all expenses are under budget for the year, in particular health care, other benefits, materials, and a variety of other services.

Wages are over budget now because of the mid-year contract agreement but are expected to finish on budget for the year. We anticipate finishing the year in a positive financial position with flexibility and options for balancing the FY2023 budget.

The following page provides an expanded executive summary, and highlights some of our individual budget lines through the first six-months of the fiscal year.

Copy: Chief Executive Officer
Director of Finance

Monthly Management Report - September 2021
Executive Summary - Six Month Highlights

	Actual	Budget	Current Month		Year to Date	
			(\$ Variance)	(%) Variance	(\$ Variance)	(%) Variance
REVENUE						
1 Mortgage Tax	\$ 1,561,661	\$ 937,500	\$ 624,161	66.58%	\$ 3,020,618	53.70%
2 Customer Fares	\$ 967,154	\$ 705,750	\$ 261,404	37.04%	\$ 1,668,267	39.40%
3 RRS & Facilities	\$ 155,293	\$ 76,076	\$ 79,217	104.13%	\$ 411,302	90.11%
4 STOA	\$ 3,459,000	\$ 3,459,000	\$ -	0.00%	\$ -	0.00%
EXPENSES						
5 Wages	\$ 4,231,782	\$ 4,387,113	\$ (155,331)	-3.54%	\$ 399,187	1.52%
6 Health Benefits	\$ 819,851	\$ 914,241	\$ (94,390)	-10.32%	\$ (364,065)	-6.64%
7 Workers' Compensation	\$ 597,474	\$ 237,394	\$ 360,080	151.68%	\$ 95,353	6.69%
8 Professional Services	\$ 349,088	\$ 349,145	\$ (57)	-0.02%	\$ (282,574)	-13.49%
9 Purchased Transportation	\$ 579,353	\$ 555,447	\$ 23,906	4.30%	\$ (98,959)	-2.97%
10 Parts, Tires, Oil	\$ 456,603	\$ 436,981	\$ 19,622	4.49%	\$ 89	0.00%
					YTD Revenue	11.02%
					YTD Expenses	-2.23%

Revenue Summary

- 1 We recorded our third highest month ever, with more than \$1.5 million. We are 53% over budget for the year.
- 2 Customer fares exceeded budget by 37% this month, and we are almost 40% over for the year.
- 3 We are 90% over budget YTD for RRS & Facilities. Like fares, keep in mind this budget line is much lower than last year (2020).
- 4 State Operating Assistance (STOA) is on budget with little cash flow issues.

Expense Summary

- 5 Wages are 3.5% under budget this month; and 1.5% over budget for the year. The YTD will improve as we go forward because of the budget adjustment in August.
 - 6 Health Benefits are 6.6% under budget due to less employees selecting coverage.
 - 7 Workers' Compensation incurred two large losses over \$100k, but most of one loss will be reimbursed from our Excess Carrier. With the reimbursement, this line should be well under budget next month.
 - 8 Professional Services are 13.5% under budget for the year, primarily due to less security and parking garage services.
 - 9 Purchased Transportation is 3% under budget for the year, but due to service and manpower constraints, we expect this line to increase over the next few months.
 - 10 The parts line is right on budget after six months with the help of the budget adjustment.
- Note:** We are in a satisfactory budget position six-months into our fiscal year.

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

	Sep-21	Sep-20
Assets		
Current Assets:		
Cash	\$14,430,142	\$21,499,560
Investments	\$32,107,149	\$24,753,803
Receivables:		
Mortgage Tax	\$1,561,660	\$1,380,804
Federal Grants	\$0	\$7,253,393
New York State Operating Assistance	\$447,480	\$6,776,967
Trade and Other	\$9,076,720	\$7,083,371
Advances to Capital District Transportation Committee	\$1,231,028	\$382,260
Materials, Parts and Supplies	\$5,274,828	\$4,170,043
Prepaid Expenses	\$628,548	\$483,839
Sub-Total Current Assets	\$64,757,555	\$73,764,041
Noncurrent Assets:		
Capital Assets, net	\$126,473,467	\$112,852,342
Deferred outflows of resources:		
Deferred outflows of resources related to OPEB	\$17,641,144	\$18,454,673
Deferred outflows of resources from pension	\$4,350,993	\$1,544,989
Sub-Total Deferred outflows of resources:	\$21,992,137	\$19,999,662
Total for Assets	\$213,223,159	\$206,616,045
Liabilities		
Current Liabilities:		
Accounts Payable	\$4,657,838	\$4,807,239
Accrued Expenses	\$5,754,689	\$5,780,402
Unearned Revenue	\$10,672,935	\$1,838,283
Line of Credit	\$0	\$0
Sub-Total Current Liabilities	\$21,085,462	\$12,425,924
Noncurrent Liabilities:		
Capital Lease Agreement	\$2,321,655	\$3,933,562
Estimated Provision for Existing Claims and Settlements	\$9,640,743	\$10,429,335
Other postemployment benefits	\$85,491,074	\$105,346,823
Net Pension Liability	\$5,982,206	\$1,616,083
Sub-Total Noncurrent Liabilities	\$103,435,678	\$121,325,803
Deferred inflows of resources:		
Deferred inflows of resources from pension	\$326,095	\$737,493
Deferred inflows of resources from OBEP	\$32,213,820	\$11,007,730
Sub-Total Deferred inflows of resources	\$32,539,915	\$11,745,223
Total for Liabilities	\$157,061,055	\$145,496,950
Net Position		
Net Investment in Capital Assets	\$108,241,228	\$108,241,228
Unrestricted	(\$52,079,123)	(\$47,122,133)
Total for Net Position	\$56,162,105	\$61,119,095
Total Liabilities and Net Position	\$213,223,159	\$206,616,045

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
CONSOLIDATED STATEMENT OF OPERATIONS
September-21**

	<u>To Date Actual</u>	<u>Annual Budget</u>	50%
REVENUE:			
AUTHORITY	\$8,695,766	\$11,355,000	77%
TRANSIT	\$47,989,571	\$91,399,593	53%
ACCESS	\$226,501	\$425,000	53%
CDTA FACILITIES	\$942,756	\$1,030,299	92%
TOTAL REVENUE	\$57,854,594	\$104,209,892	56%
EXPENSE:			
AUTHORITY	\$8,256,399	\$16,813,408	49%
TRANSIT	\$40,866,254	\$83,778,811	49%
ACCESS	\$694,096	\$1,308,812	53%
CDTA FACILITIES	\$789,972	\$2,308,860	34%
TOTAL EXPENSE	\$50,606,721	\$104,209,892	49%
 Revenue over (under) Expenses	 \$7,247,873		
Depreciation	<u>\$6,900,000</u>		
Excess of Revenue over (under) Expenses	\$347,873		
Transfer from Project Fund	\$0		
Transfer to Risk Mngt Fund	(\$500,000)		
Transfer from Risk Mngt Fund	\$0		
Transfer from Vehicle Replacement	\$0		
Transfer to Vehicle Replacement	\$0		
Transfer to Capital Projects Fund	(\$13,500,000)		
Transfer from Operating Fund	\$0		
Transfer to Operating Fund	(\$1,137,753)		
Transfer from Worker's Comp Fund	\$0		
Transfer to Worker's Comp Fund	<u>(\$2,553,854)</u>		
*Net Excess of Revenue over (under) Expenses	(\$17,343,734)		
*Contribution to required fleet replacement.			

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
September-21

BUDGET VARIANCE REPORT

	CONSOLIDATED								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Mortgage Tax	\$1,561,661	\$937,500	\$624,161	66.58%	\$8,645,618	\$5,625,000	\$3,020,618	53.70%	\$11,250,000
Customer Fares	\$967,154	\$705,750	\$261,404	37.04%	\$5,902,767	\$4,234,500	\$1,668,267	39.40%	\$8,469,000
Advertising Revenue	\$105,625	\$107,708	(\$2,083)	-1.93%	\$633,750	\$646,250	(\$12,500)	-1.93%	\$1,292,500
RRS & Facilities	\$155,293	\$76,076	\$79,218	104.13%	\$867,756	\$456,454	\$411,302	90.11%	\$912,908
Interest Income	\$58	\$1,667	(\$1,608)	-96.50%	\$415	\$10,000	(\$9,585)	-95.85%	\$20,000
Misc. Income	\$19,556	\$7,375	\$12,181	165.17%	\$708,562	\$44,250	\$664,312	1501.27%	\$88,500
Total Operating Revenue	\$2,809,348	\$1,836,076	\$973,272	53.01%	\$16,758,868	\$11,016,454	\$5,742,414	52.13%	\$22,032,908
Operating Assistance									
New York State Aid	\$3,459,000	\$3,459,000	\$0	0.00%	\$20,754,000	\$20,754,000	\$0	0.00%	\$41,508,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$958,500	\$958,500	\$0	0.00%	\$1,917,000
Federal Aid	\$2,981,106	\$2,981,106	\$0	0.00%	\$17,886,635	\$17,886,635	\$0	0.00%	\$35,773,269
Operating Grants	\$248,226	\$248,226	\$0	0.00%	\$1,489,358	\$1,489,358	\$0	0.00%	\$2,978,715
Total Operating Assistance	\$6,848,082	\$6,848,082	\$0	0.00%	\$41,088,492	\$41,088,492	\$0	0.00%	\$82,176,984
Total Revenue and Assistance	\$9,657,430	\$8,684,158	\$973,272	11.21%	\$57,847,360	\$52,104,946	\$5,742,414	11.02%	\$104,209,892
Expenses									
Salaries and Wages	\$4,231,782	\$4,387,113	(\$155,331)	-3.54%	\$26,721,865	\$26,322,678	\$399,187	1.52%	\$52,645,356
FICA	\$304,231	\$310,203	(\$5,972)	-1.93%	\$1,932,068	\$1,861,217	\$70,851	3.81%	\$3,722,434
Health Benefits	\$819,851	\$914,241	(\$94,390)	-10.32%	\$5,121,381	\$5,485,446	(\$364,065)	-6.64%	\$10,970,892
Workers Compensation	\$597,474	\$237,394	\$360,080	151.68%	\$1,519,716	\$1,424,363	\$95,353	6.69%	\$2,848,725
Other Benefits	\$342,439	\$370,828	(\$28,389)	-7.66%	\$2,006,064	\$2,224,966	(\$218,902)	-9.84%	\$4,449,931
Professional Services	\$349,088	\$349,145	(\$57)	-0.02%	\$1,812,299	\$2,094,873	(\$282,574)	-13.49%	\$4,189,745
Materials & Supplies	\$172,596	\$153,029	\$19,567	12.79%	\$780,547	\$918,173	(\$137,626)	-14.99%	\$1,836,346
Miscellaneous	\$57,360	\$61,404	(\$4,044)	-6.59%	\$307,904	\$368,427	(\$60,523)	-16.43%	\$736,853
Purchased Transportation	\$579,353	\$555,447	\$23,906	4.30%	\$3,233,720	\$3,332,680	(\$98,959)	-2.97%	\$6,665,359
Maintenance Services	\$267,416	\$259,605	\$7,811	3.01%	\$1,490,327	\$1,557,629	(\$67,302)	-4.32%	\$3,115,258
Liability - Claims	\$40,414	\$31,573	\$8,841	28.00%	\$166,230	\$189,438	(\$23,207)	-12.25%	\$378,875
Utilities	\$74,452	\$85,935	(\$11,483)	-13.36%	\$439,831	\$515,610	(\$75,779)	-14.70%	\$1,031,220
Fuel	\$390,056	\$450,939	(\$60,883)	-13.50%	\$2,355,935	\$2,705,635	(\$349,700)	-12.92%	\$5,411,270
Parts, Tires, Oil	\$456,603	\$436,981	\$19,622	4.49%	\$2,621,977	\$2,621,888	\$89	0.00%	\$5,243,775
General Insurance	\$72,381	\$80,321	(\$7,940)	-9.89%	\$434,231	\$481,927	(\$47,695)	-9.90%	\$963,853
Total EXPENSES	\$8,755,497	\$8,684,158	\$71,339	0.82%	\$50,944,094	\$52,104,946	(\$1,160,852)	-2.23%	\$104,209,892
Surplus/Deficit	\$901,933	\$0	\$901,933		\$6,903,266	\$0	\$6,903,266		\$0

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
September-21

BUDGET VARIANCE REPORT	NON-TRANSIT								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Mortgage Tax	\$1,561,661	\$937,500	\$624,161	66.58%	\$8,645,618	\$5,625,000	\$3,020,618	53.70%	\$11,250,000
Interest Income	\$58	\$1,667	(\$1,609)	-96.53%	\$412	\$10,000	(\$9,588)	-95.88%	\$20,000
Interest Inc-Invest/Change in Invest	(\$12,827)	\$0	(\$12,827)	0.00%	\$7,234	\$0	\$7,234	0.00%	\$0
Misc. Income - Authority	\$7,083	\$7,083	(\$0)	0.00%	\$42,501	\$42,500	\$1	0.00%	\$85,000
Operating Fund	\$0	\$0	\$0	0.00%	\$0	\$0	\$0	0.00%	\$0
Total Operating Revenue	\$1,555,975	\$946,250	\$609,725	64.44%	\$8,695,766	\$5,677,500	\$3,018,266	53.16%	\$11,355,000
Expenses									
Labor - Authority	\$606,481	\$608,991	(\$2,510)	-0.41%	\$3,796,086	\$3,653,945	\$142,141	3.89%	\$7,307,890
Fringe - Authority	\$354,372	\$374,970	(\$20,598)	-5.49%	\$2,265,157	\$2,249,821	\$15,336	0.68%	\$4,499,642
Materials & Supplies - Authority	\$19,639	\$15,820	\$3,819	24.14%	\$57,590	\$94,918	(\$37,328)	-39.33%	\$189,836
Professional Services - Authority	\$211,510	\$199,362	\$12,148	6.09%	\$1,085,070	\$1,196,173	(\$111,102)	-9.29%	\$2,392,345
Other Expenses - Authority	\$196,909	\$201,975	(\$5,065)	-2.51%	\$1,052,495	\$1,211,848	(\$159,353)	-13.15%	\$2,423,695
Total Expenses	\$1,388,911	\$1,401,117	(\$12,206)	-0.87%	\$8,256,399	\$8,406,704	(\$150,305)	-1.79%	\$16,813,408
Surplus/(Deficit)	\$167,064	(\$454,867)	(\$597,519)		\$439,367	(\$2,729,204)	\$3,168,571		(\$5,458,408)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
September-21

BUDGET VARIANCE REPORT

	TRANSIT								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Passenger Fares-Transit	\$781,141	\$526,583	\$254,558	48.34%	\$4,813,768	\$3,159,500	\$1,654,268	52.36%	\$6,319,000
Contracts - Transit	\$143,750	\$143,750	\$0	0.00%	\$862,500	\$862,500	\$0	0.00%	\$1,725,000
Advertising-Transit	\$93,125	\$97,926	(\$4,801)	-4.90%	\$558,750	\$587,555	(\$28,805)	-4.90%	\$1,175,109
Misc. Income - Transit	\$12,473	\$292	\$12,181	4176.34%	\$666,061	\$1,750	\$664,311	37960.64%	\$3,500
Total Operating Revenue	\$1,030,489	\$768,551	\$261,938	34.08%	\$6,901,079	\$4,611,305	\$2,289,775	49.66%	\$9,222,609
Operating Assistance									
State Aid - General	\$3,265,917	\$3,265,917	\$0	0.00%	\$19,595,500	\$19,595,500	\$0	0.00%	\$39,191,000
State Aid - PBT	\$159,750	\$159,750	\$0	0.00%	\$958,500	\$958,500	\$0	0.00%	\$1,917,000
State Aid - Northway Commuter S.	\$33,333	\$33,333	\$0	0.00%	\$200,000	\$200,000	\$0	0.00%	\$400,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$958,500	\$958,500	\$0	0.00%	\$1,917,000
Federal Aid - Transit	\$2,981,106	\$2,981,106	\$0	0.00%	\$17,886,635	\$17,886,635	\$0	0.00%	\$35,773,269
Other Grants - Federal	\$248,226	\$248,226	\$0	0.00%	\$1,489,358	\$1,489,358	\$0	0.00%	\$2,978,715
Total Operating Assistance	\$6,848,082	\$6,848,082	\$0	0.00%	\$41,088,492	\$41,088,492	\$0	0.00%	\$82,176,984
Total Revenue and Assistance	\$7,878,571	\$7,616,633	\$261,938	3.44%	\$47,989,571	\$45,699,797	\$2,289,775	5.01%	\$91,399,593
Expenses									
Labor - Maintenance	\$733,109	\$802,739	(\$69,630)	-8.67%	\$4,687,354	\$4,816,436	(\$129,082)	-2.68%	\$9,632,872
Labor - Transportation	\$2,605,178	\$2,648,917	(\$43,740)	-1.65%	\$16,220,114	\$15,893,503	\$326,611	2.05%	\$31,787,006
Labor - STAR	\$217,515	\$253,345	(\$35,829)	-14.14%	\$1,566,863	\$1,520,067	\$46,796	3.08%	\$3,040,134
Fringe	\$1,315,702	\$1,441,426	(\$125,724)	-8.72%	\$7,867,054	\$8,648,558	(\$781,503)	-9.04%	\$17,297,115
Materials & Supplies	\$1,013,898	\$1,005,580	\$8,317	0.83%	\$5,747,477	\$6,033,482	(\$286,004)	-4.74%	\$12,066,963
Professional Services	\$192,839	\$140,064	\$52,775	37.68%	\$1,031,927	\$840,381	\$191,546	22.79%	\$1,680,762
Other Expenses	\$5,773	\$4,379	\$1,394	31.83%	\$25,627	\$26,275	(\$648)	-2.47%	\$52,550
Purchased Transportation - STAR	\$454,699	\$390,636	\$64,063	16.40%	\$2,491,173	\$2,343,815	\$147,358	6.29%	\$4,687,630
Liability - Claims	\$40,414	\$31,573	\$8,841	28.00%	\$166,230	\$189,438	(\$23,207)	-12.25%	\$378,875
Liability - Insurance	\$54,872	\$77,579	(\$22,708)	-29.27%	\$295,402	\$465,477	(\$170,075)	-36.54%	\$930,953
Utilities - Transit	\$38,991	\$50,443	(\$11,452)	-22.70%	\$234,848	\$302,660	(\$67,812)	-22.41%	\$605,320
Mat & Supplies - NX	\$0	\$5,833	(\$5,833)	-100.00%	\$4,692	\$35,000	(\$30,308)	-86.59%	\$70,000
Purchased Transportation - NX	\$87,916	\$129,053	(\$41,137)	-31.88%	\$527,493	\$774,316	(\$246,822)	-31.88%	\$1,548,631
Total Expenses	\$6,760,905	\$6,981,568	(\$220,663)	-3.16%	\$40,866,254	\$41,889,406	(\$1,023,151)	-2.44%	\$83,778,811
Surplus/(Deficit)	\$1,117,666	\$635,065	\$482,601		\$7,123,317	\$3,810,391	\$3,312,926		\$7,620,782

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
September-21

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	\$42,263	\$35,417	\$6,846	19.33%	\$226,499	\$212,500	\$13,999	6.59%	\$425,000
Interest Income	\$1	\$0	\$1	0.00%	\$2	\$0	\$2	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	\$42,263	\$35,417	\$6,847	19.33%	\$226,501	\$212,500	\$14,001	6.59%	\$425,000
Total Revenue and Assistance	\$42,263	\$35,417	\$6,847	19.33%	\$226,501	\$212,500	\$14,001	6.59%	\$425,000
Expenses									
Labor - Access	\$55,054	\$56,810	(\$1,756)	-3.09%	\$361,270	\$340,862	\$20,408	5.99%	\$681,724
Fringe Benefits - Access	\$15,798	\$14,652	\$1,147	7.83%	\$94,984	\$87,910	\$7,075	8.05%	\$175,819
Purchased Transportation	\$36,739	\$33,333	\$3,405	10.22%	\$215,054	\$200,000	\$15,054	7.53%	\$400,000
Professional Services - Access	\$0	\$0	\$0	0.00%	\$9,000	\$0	\$9,000	0.00%	\$0
Rent and Utilities - Access	\$1,643	\$1,643	\$0	0.00%	\$11,712	\$9,861	\$1,851	18.77%	\$19,721
Other Expenses - Access	\$0	\$2,629	(\$2,629)	-100.00%	\$2,076	\$15,774	(\$13,698)	-86.84%	\$31,548
Total Expenses	\$109,234	\$109,068	\$167	0.15%	\$694,096	\$654,406	\$39,690	6.07%	\$1,308,812
Surplus/(Deficit)	(\$66,971)	(\$73,651)	\$6,680		(\$467,595)	(\$441,906)	(\$25,689)		(\$883,812)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
September-21

BUDGET VARIANCE REPORT

		CDTA FACILITIES								Annual Budget
		This Month				Year to Date				
		Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue										
	RRS Station & Garage	\$65,699	\$32,147	\$33,553	104.38%	\$368,995	\$192,879	\$176,116	91.31%	\$385,758
	RRS Parking Revenue	\$81,622	\$31,929	\$49,693	155.64%	\$450,052	\$191,575	\$258,477	134.92%	\$383,150
	RRS Advertising	\$12,500	\$9,783	\$2,717	27.78%	\$75,000	\$58,696	\$16,304	27.78%	\$117,391
	SSTS	\$1,941	\$2,467	(\$525)	-21.30%	\$12,606	\$14,800	(\$2,194)	-14.82%	\$29,600
	Greyhound	\$0	\$2,500	(\$2,500)	-100.00%	\$0	\$15,000	(\$15,000)	-100.00%	\$30,000
	85 Watervliet Avenue	\$5,801	\$6,667	(\$866)	-12.99%	\$34,804	\$40,000	(\$5,196)	-12.99%	\$80,000
	Interest Income	\$230	\$367	(\$137)	-37.37%	\$1,299	\$2,200	(\$901)	-40.94%	\$4,400
	Total Operating Revenue	\$167,793	\$85,858	\$81,935	95.43%	\$942,756	\$515,150	\$427,607	83.01%	\$1,030,299
Expenses										
	Labor	\$14,445	\$16,311	(\$1,865)	-11.44%	\$90,178	\$97,865	(\$7,687)	-7.85%	\$195,730
	Fringe-Benefits	\$2,396	\$1,617	\$779	48.16%	\$14,660	\$9,703	\$4,957	51.09%	\$19,405
	Professional Services	\$3,099	\$10,417	(\$7,318)	-70.25%	\$22,940	\$62,500	(\$39,560)	-63.30%	\$125,000
	Insurance	\$2,936	\$2,417	\$520	21.50%	\$17,618	\$14,500	\$3,118	21.50%	\$29,000
	Security	\$899	\$33,617	(\$32,718)	-97.33%	\$71,413	\$201,700	(\$130,287)	-64.59%	\$403,400
	Facilities Upkeep	\$16,247	\$24,833	(\$8,586)	-34.57%	\$87,204	\$149,000	(\$61,796)	-41.47%	\$298,000
	Facilities Repairs	\$2,927	\$8,474	(\$5,546)	-65.45%	\$59,641	\$50,842	\$8,799	17.31%	\$101,683
	Utilities	\$32,202	\$28,983	\$3,219	11.11%	\$175,967	\$173,900	\$2,067	1.19%	\$347,800
	Materials & Supplies	\$1,232	\$1,333	(\$101)	-7.58%	\$5,065	\$8,000	(\$2,935)	-36.68%	\$16,000
	Parking Garage	\$33,313	\$40,833	(\$7,520)	-18.42%	\$155,388	\$245,000	(\$89,612)	-36.58%	\$490,000
	Greyhound	\$0	\$667	(\$667)	-100.00%	\$0	\$4,000	(\$4,000)	-100.00%	\$8,000
	85 Watervliet Avenue	\$6,398	\$9,395	(\$2,997)	-31.90%	\$43,427	\$56,371	(\$12,944)	-22.96%	\$112,742
	SSTS	\$4,624	\$13,508	(\$8,885)	-65.77%	\$46,471	\$81,050	(\$34,579)	-42.66%	\$162,100
	Total Expenses	\$120,720	\$192,405	(\$71,685)	-37.26%	\$789,972	\$1,154,430	(\$364,458)	-31.57%	\$2,308,860
	Surplus/(Deficit)	\$47,073	(\$106,547)	\$153,620		\$152,784	(\$639,280)	\$792,064		(\$1,278,561)

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY MONTHLY
MANAGEMENT REPORT**

AGING OF ACCOUNTS RECEIVABLE

Sep-21		
	Amount	% of Total
Current	\$1,878,451	19.84%
31 - 60	\$31,353	0.33%
61 - 90	\$160,438	1.69%
91 - 120	\$7,571	0.08%
Over 120	\$7,392,516	78.06%
Total Accounts Receivable	\$9,470,329	100.00%

Aug-21		
	Amount	% of Total
Current	\$822,665	9.57%
31 - 60	\$325,745	3.79%
61 - 90	\$51,492	0.60%
91 - 120	\$216,976	2.52%
Over 120	\$7,183,606	83.53%
Total Accounts Receivable	\$8,600,484	100.00%

AGING OF ACCOUNTS PAYABLE

Sep-21		
	Amount	% of Total
Current	\$4,481,312	89.83%
31 - 60	\$320,806	6.43%
61 - 90	\$60,731	1.22%
90 & Over	\$126,003	2.53%
Total Accounts Payable	\$4,988,852	100.00%

Sep-21 Receivables over 120 days: \$7,392,516

Breakdown of outstanding receivables over 120 days.	
\$7,057,003	NYS DEPT. OF TRANSPORTATION
\$183,468	BIKE SHARE MOU CONTRACTS
\$112,500	CITY OF ALBANY
\$39,545	OTHER
<u>\$7,392,516</u>	

ADDITIONAL INFORMATION

MORTGAGE RECORDING TAX	Current Month				Fiscal Year to Date			
	Sep-21	Sep-20	Difference	%	2022	2021	Difference	%
Albany	\$594,040	\$415,416	\$178,624	43.00%	\$2,851,710	\$2,245,587	\$606,123	26.99%
Rensselaer	\$223,692	\$166,836	\$56,856	34.08%	\$1,397,303	\$859,465	\$537,838	62.58%
Saratoga	\$528,298	\$632,805	(\$104,507)	-16.51%	\$3,112,795	\$2,623,389	\$489,406	18.66%
Schenectady	\$215,631	\$165,747	\$49,884	30.10%	\$1,283,811	\$923,500	\$360,311	39.02%
Total	\$1,561,661	\$1,380,804	\$180,857	13.10%	\$8,645,618	\$6,651,940	\$1,993,678	29.97%

	Current Month	Year To Date
FY 2022	\$1,561,661	\$8,645,618
FY 2021	\$1,380,804	\$6,651,940

Mortgage tax is unpredictable. Average annual receipts over the past 20 years were \$11 million with an annual low of \$6.2 million and an annual high of \$14.8 million.

**Highlight Summary
September 30, 2021**

RESTRICTED INVESTMENTS

	<u>Fund Balances</u>	<u>Current Obligations</u>
Risk Management Account (Self-Insured)	\$3,573,965	\$1,700,711
Workers' Comp. Account (Self-Insured)	\$9,424,804	\$7,940,032
Operating Account	\$3,107,665	

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

	\$15,047,880	
Computer Aided Dispatch/Automatic Vehicle Locator (CAD/AVL) System Upgrade		\$931,231
		<hr/> \$931,231

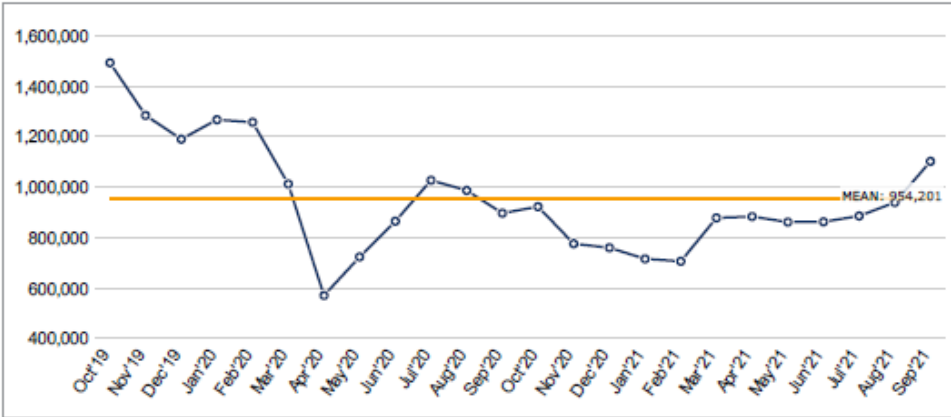
Current Vehicle Replacement Reserve Obligations

	\$952,835	
Paratransit Fleet Replacement (6)		\$61,817
		<hr/> \$61,817

All Investment Accounts are reviewed quarterly.	
Average annual returns:	
Risk Management	0.58%
Workers' Compensation	0.42%
Operating Fund	0.12%
Vehicle Replacement Fund	0.18%
Capital Project	0.17%

* 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.

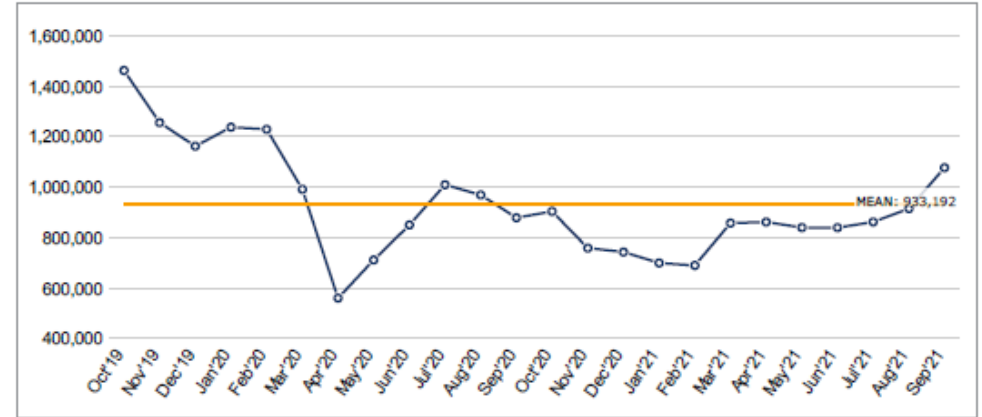
🎃 Total Riders



Previous: 897,983

Current: 1,103,927

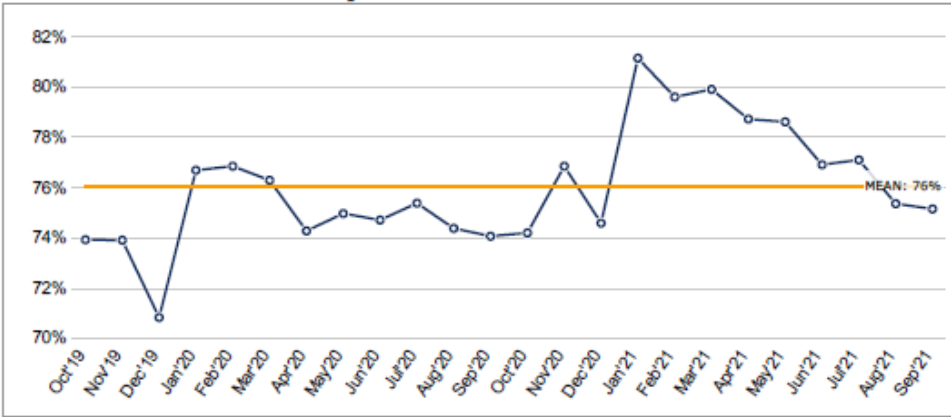
🎃 Fixed Riders



Previous: 879,927

Current: 1,078,731

🎃 System Wide OTP



Previous: 74.07%

Current: 75.15%

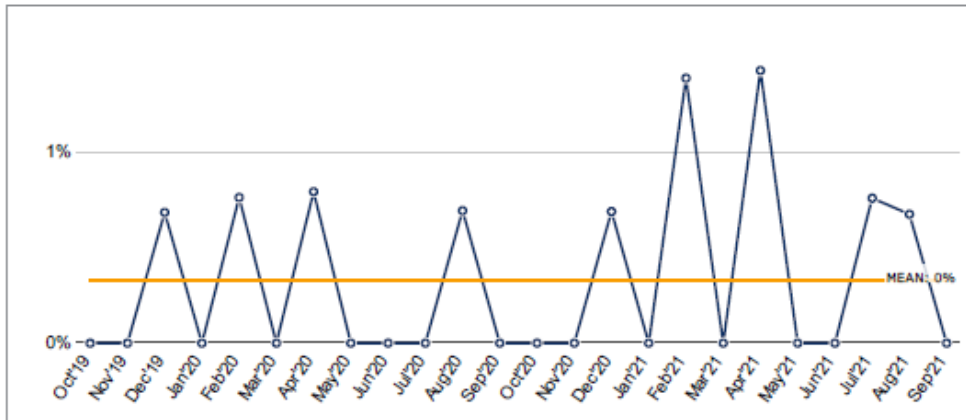
Monthly Performance Report

Period: Sep'21

Meeting: Oct'21

Reliability

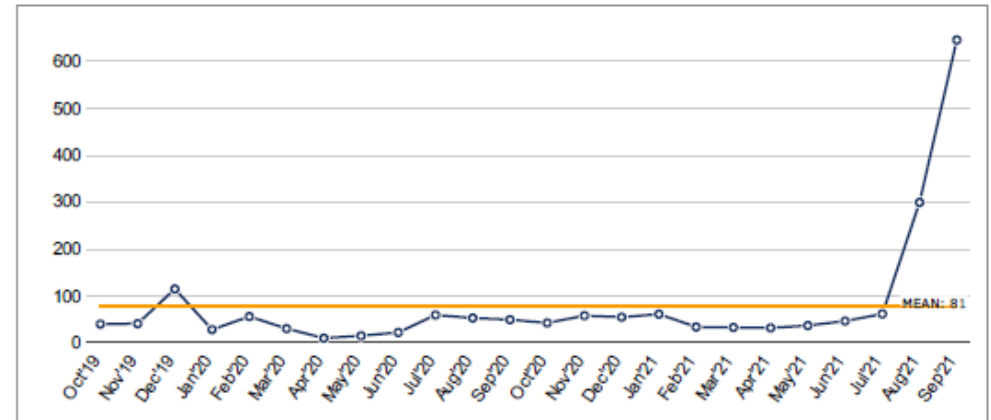
🎃 PMI Not On Time



Previous: 0.0%

Current: 0.0%

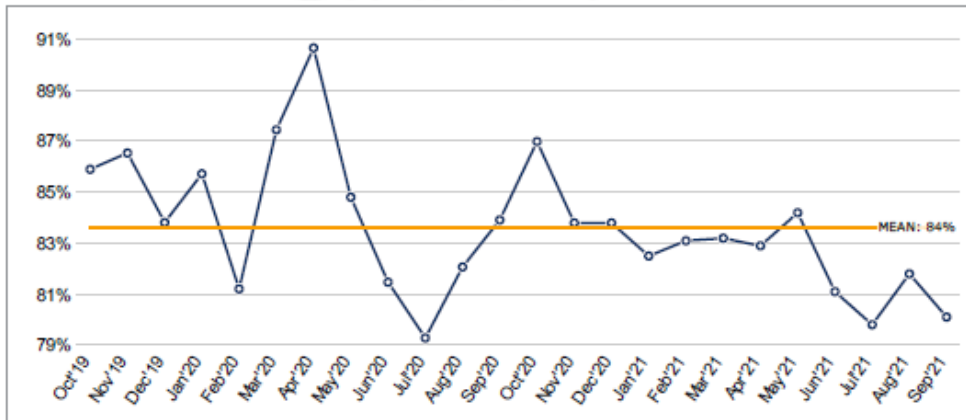
🎃 Missed Trips



Previous: 50

Current: 646

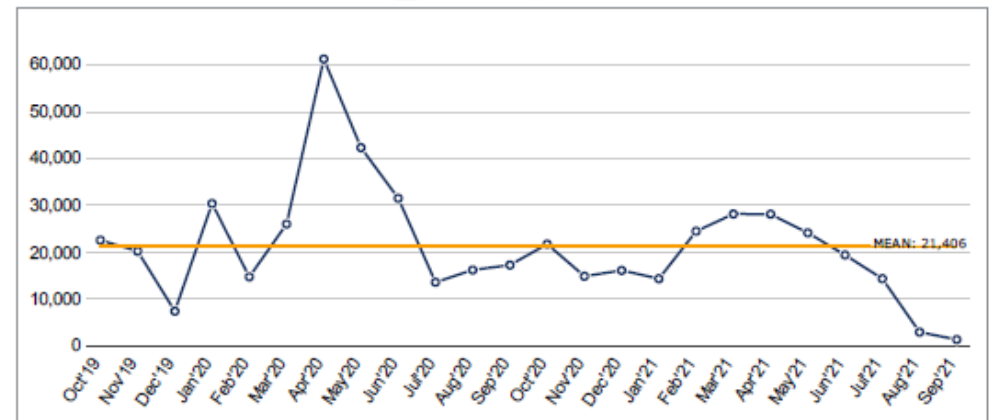
🎃 Scheduled Work



Previous: 83.9%

Current: 80.1%

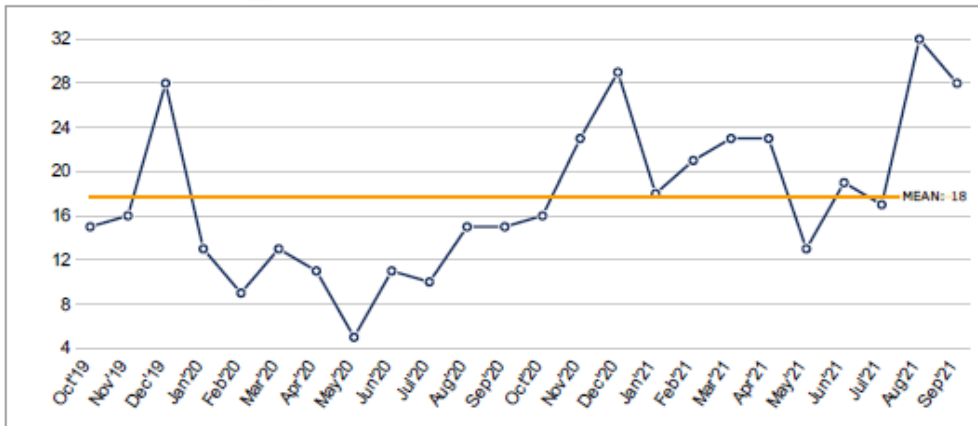
🎃 MDBSI



Previous: 17,287

Current: 1,414

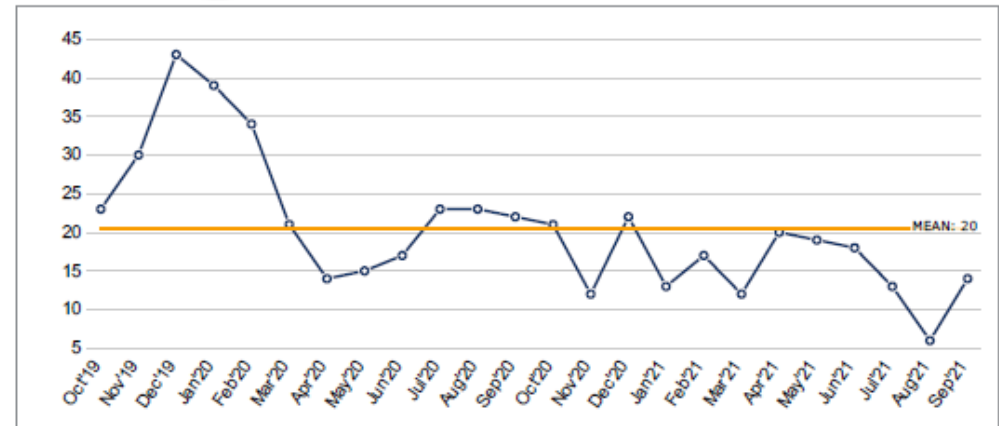
🎃 Preventable Accidents



Previous: 15

Current: 28

🎃 Non-Preventable Accidents



Previous: 22

Current: 14

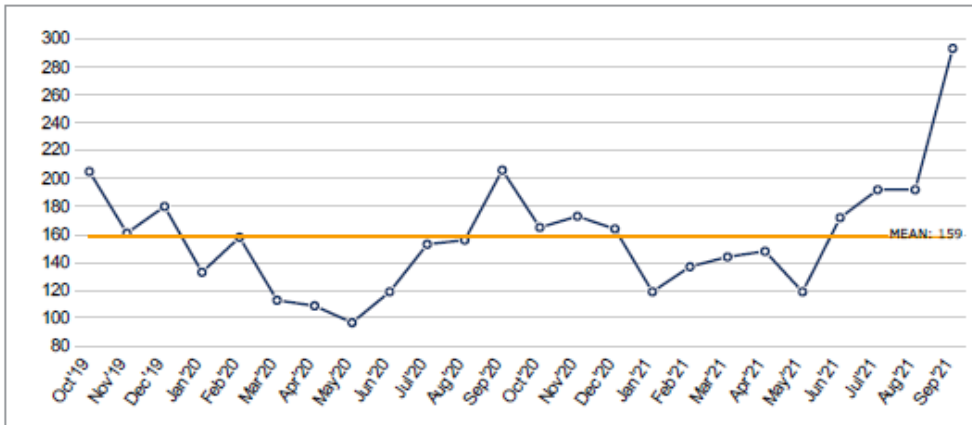
Monthly Performance Report

Period: Sep'21

Meeting: Oct'21

Customer Service

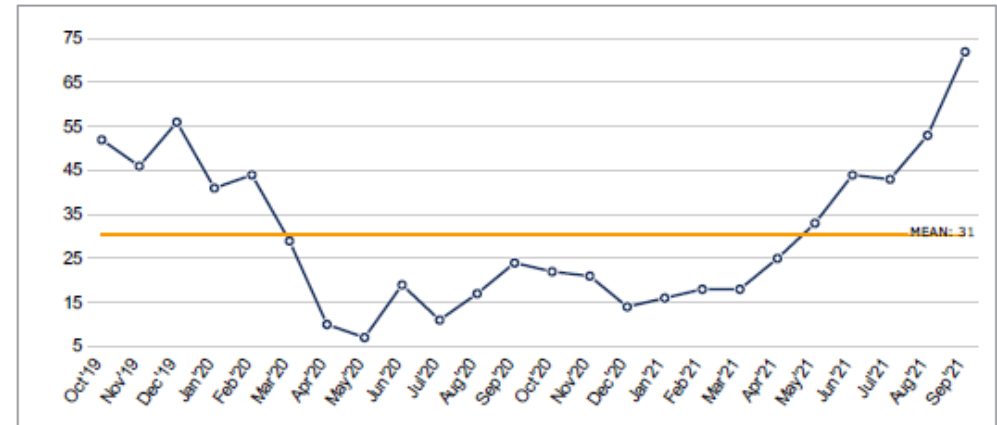
🎃 Fixed/Shuttle Complaints



Previous: 206

Current: 293

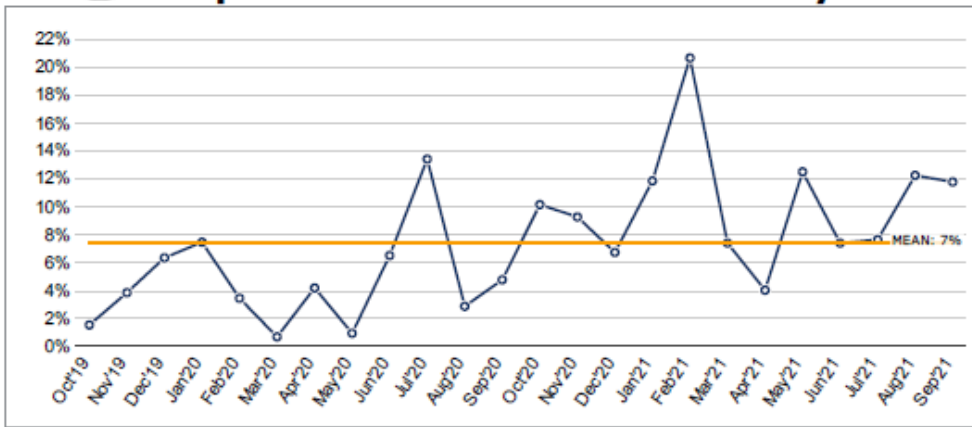
🎃 Other Complaints



Previous: 24

Current: 72

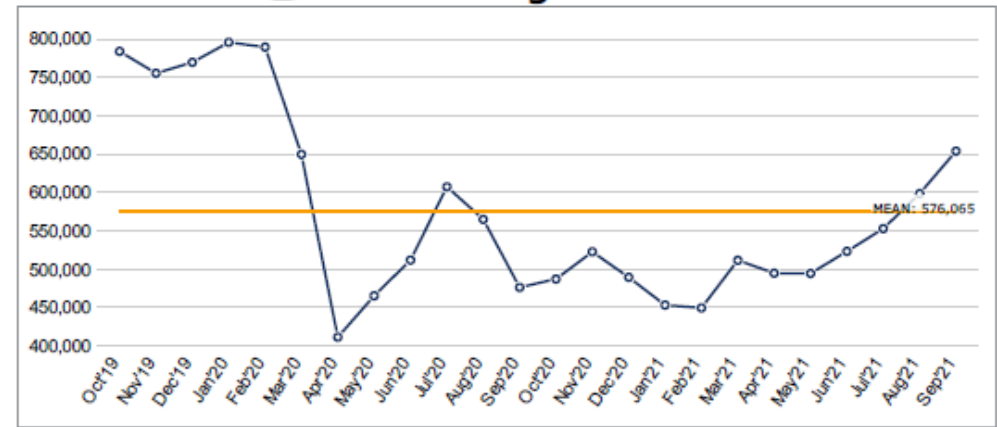
🎃 Complaints Not Addressed in Ten Days



Previous: 4.8%

Current: 11.8%

🎃 Website Page Views



Previous: 477,047

Current: 654,155

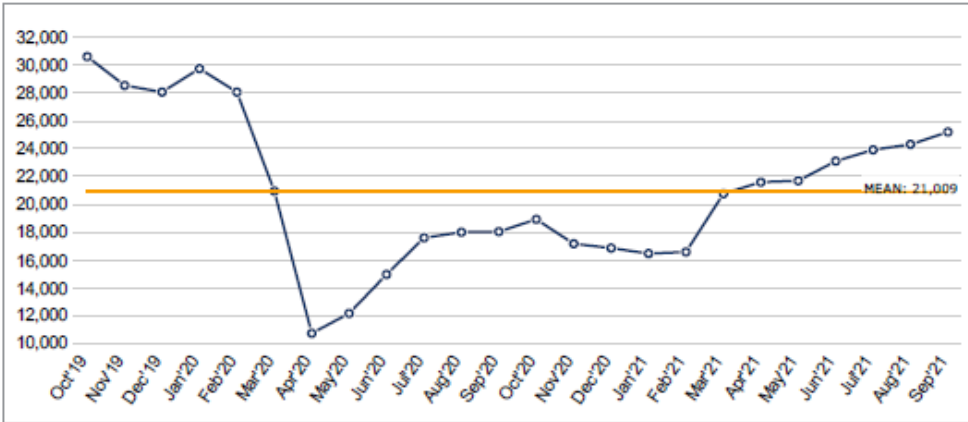
Monthly Performance Report

Period: Sep'21

Meeting: Oct'21

STAR Service

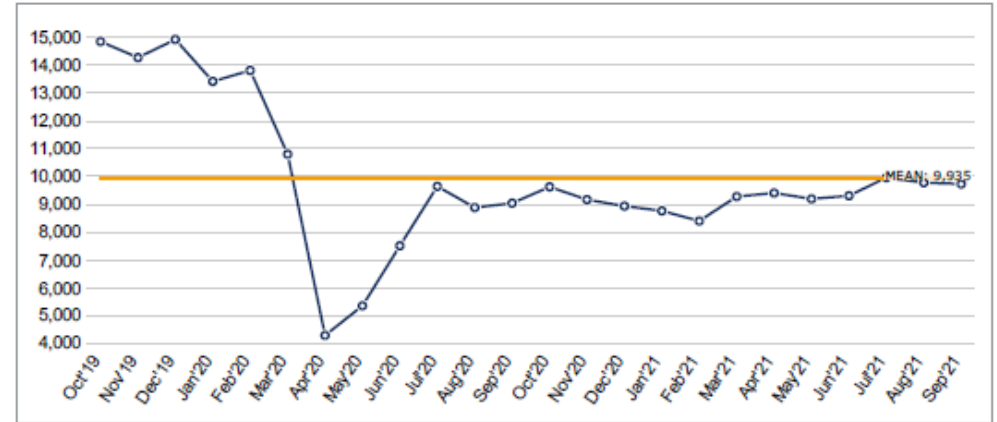
🎃 STAR Riders



Previous: 18,056

Current: 25,196

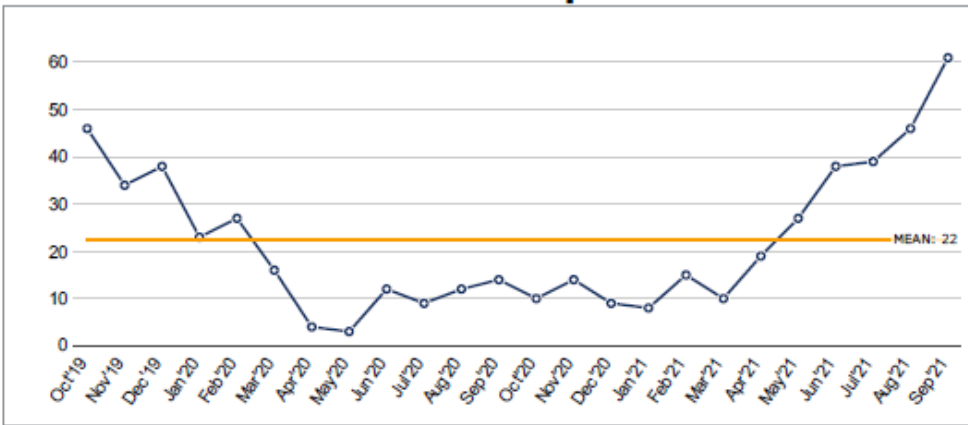
🎃 Reservation Calls



Previous: 9,047

Current: 9,735

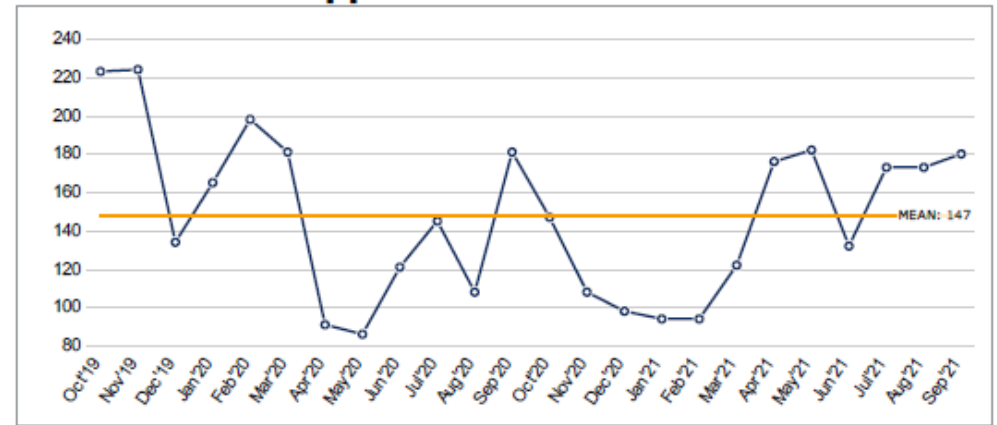
🎃 Customer Complaints



Previous: 14

Current: 61

🎃 Applications Received



Previous: 181

Current: 180

Monthly Performance Report

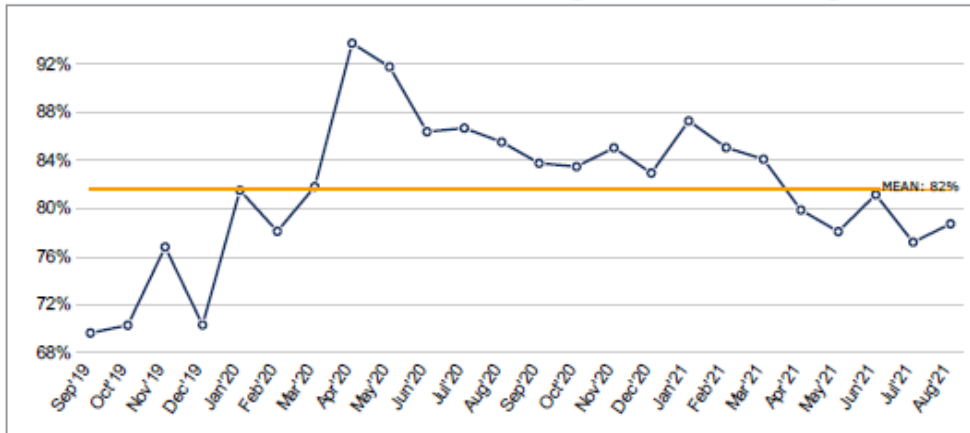
Period: Sep'21

Meeting: Oct'21

STAR Service

Page 6

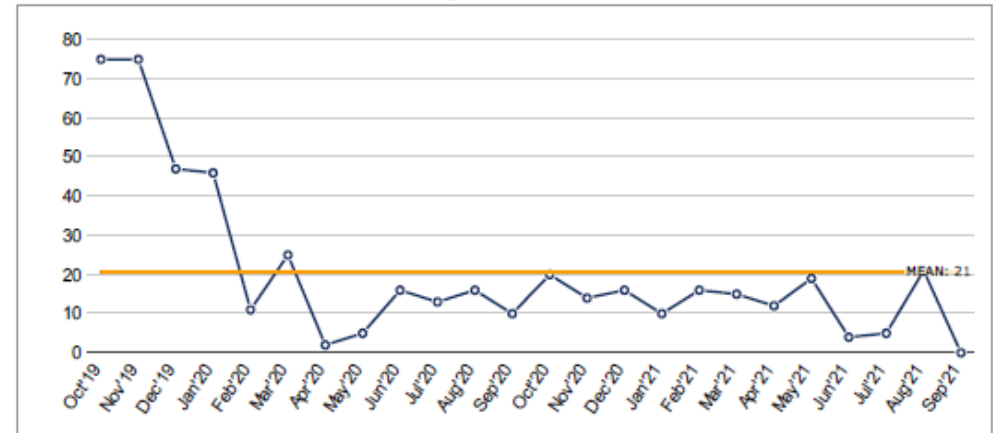
🎃 On-Time Performance (0-10 Minutes) Period: Aug'21



Previous: 85.5%

Current: 78.7%

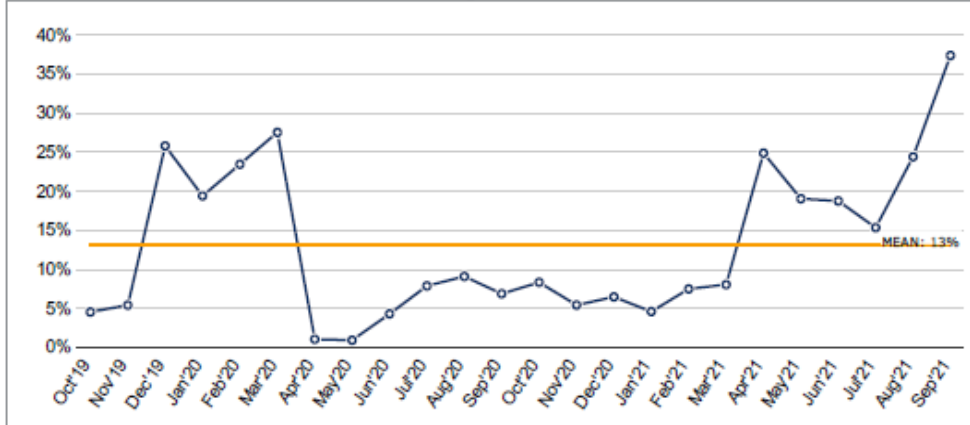
🎃 Trip Denials



Previous: 10

Current: 0

🎃 Reservation Calls in Queue Over Five Minutes



Previous: 6.9%

Current: 37.3%

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. This is calculated across all time points in all routes in the system except at the last time point of a route, which calculates On-Time as between 5 minutes late and 15 minutes early. Departures more than 30 minutes late or more than 15 minutes early are excluded along with School Trips, Shopping Trips, and NX routes.

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 is 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 not 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.