



CDTA COMMITTEE AGENDA
Performance Monitoring/Audit Committee
Wednesday, January 19, 2022 | 12:00 pm | Microsoft Teams Meeting

Committee Item	Responsibility
Call to Order	Denise Figueroa
Approve Minutes of Wednesday, December 15, 2021	Denise Figueroa
Consent Agenda Items	
• Approve Contract for 40' Fixed Route Buses	Stacy Sansky
• Approve Fixed Route Bus Purchase	Stacy Sansky
• Approve Contract for Paratransit Vehicles	Stacy Sansky
• Approve Contract for Audit Services	Stacy Sansky
• Approve Annual Procurement Report	Stacy Sansky
• Approve Surplus Sales	Stacy Sansky
Audit Committee	
• Quarterly Audit Report	Sarah Matrose
• Approve Annual Independence and Objectivity Statement	Sarah Matrose
Administrative Discussion Items	
• Monthly Management Report	Mike Collins
• Monthly Non-Financial Report	Chris Desany
Next Meeting: Wednesday, February 16, 2022, at noon via Microsoft Teams & 110 Watervliet Avenue	
Adjourn	Denise Figueroa

Capital District Transportation Authority

Performance Monitoring/Audit Committee

Meeting Minutes – December 15, 2021 at 12:00 pm; 110 Watervliet Avenue, Albany

In Attendance: Denise Figueroa, Joe Spairana, Georgie Nugent, Mark Schaeffer, Carm Basile, Amanda Avery, Mike Collins, Chris Desany, Lance Zarcone, Jaime Kazlo, Phil Parella, Jon Scherzer, Stacy Sansky, Sarah Matrose, Gary Guy, David Williams, Jeremy Smith, Thomas Guggisberg, Jack Grogan, Allie Schreffler, Ross Farrell, Vanessa Salamy

Meeting Purpose

Regular monthly meeting of the Performance Monitoring/Audit Committee. Denise Figueroa noted that a quorum was present. Minutes from the October 20, 2021 meeting were reviewed and approved.

Consent Agenda Items

Approve Contract for MaaS Software and Services

- We have discussed improving mobility options within our service network. Mobility as a Service (MaaS) is a program that can do just that. MaaS is digital platform that allows customers to plan, book and pay within a single application with flexibility to choose trips based on price, speed, and convenience.
- Moovit is a company that provides such a platform and works with Genfare; our revenue collection vendor – to design and integrate these services. To ensure continuity of operations with Genfare; staff recommends a sole source award to Moovit.
- A one-year contract with four, one-year extensions to Moovit of San Mateo, California for an amount not to exceed \$1,417,329 will be recommended to the board for approval.

Investment Committee

- The Committee met on December 15, 2021 and a summary report was provided to the board after year-end reports were complete.

Administrative Discussion Items

Monthly Management Report

- Mike Collins provided the Monthly Management Report. MRT continues to perform beyond expectations at 60% above projections. Customer revenue and RRS revenue are also exceeding budget projections by 50% and 100% respectively.
- Overall expenses are 2.6% under budget for the year. Almost all expenses are under budget for the year. Monthly wages are over budget for the first time in several months due to operator manpower challenges. We are in a positive financial position through eight months and anticipate a strong finish to the year.

Monthly Non-Financial (performance) Report

- Chris Desany provided the Non-Financial Report. Ridership continues to improve; Fixed route ridership is up 32% this month and 10% for the year. STAR ridership is up 44% for the month and 49% for the year. Fixed route on-time performance is at 77%; STAR on-time performance is at 71%. Missed trips continue to be high but less than last month. For the foreseeable future, we expect a higher-than-normal level of missed trips as we balance services and manpower. Preventable accidents are down to 11 this month; and non-preventable accidents are at 14. Complaints are beginning to trend down but remain high across the board due to service-related matters.

Next Meeting

Wednesday, January 19, 2021 at 12:00pm via Microsoft Teams and at 110 Watervliet Ave.

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract award to Gillig, LLC of Livermore, California for the purchase of 40-foot buses.

Committee: Performance Monitoring/Audit
Committee Meeting Date: January 19, 2022
Board Action Date: January 26, 2022

Background:

The current contract for 40-foot buses has expired. To ensure availability of vehicles for fleet replacement a new contract is required.

The 40-foot bus is the mainstay of our fixed route fleet, although we also have 60-foot articulated vehicles and a few 40-foot electric buses. Every five years we go through a competitive process to evaluate the bus marketplace to select the best and most affordable bus.

Purpose:

To contract with a manufacturer to provide 40' buses to insure the effective operation of fixed route service.

Summary of Proposal:

A Request for Proposals (RFP) was issued for a 5-year contract to buy forty-foot diesel buses. Our plan is to purchase between 12-20 buses per year based upon available funding. This is consistent with our fleet purchasing plan, which aims to balance fleet age and maintenance requirements, while providing predictable costs for purchases and annual maintenance expenses.

The RFP provided detailed specifications for vehicles and performance. Prices were requested for 40' diesel vehicles along with optional prices for tooling, training, and extended warranties. Review criteria were specified in five areas, and proposals were reviewed against those criteria; this included technical, warranty, delivery schedules, past performance, and price.

All three 40' bus manufacturers submitted proposals for this RFP. Based on our evaluation criteria, a technical review of each submittal was undertaken by a staff committee. The review included detailed inspection of demonstration buses by our maintenance staff and bus operators. Price proposals were opened separately after the technical reviews were completed. All three bus manufacturers participated in interviews to discuss their proposal and answer questions about labor and parts shortages as related to the pandemic.

All three proposers provided Best and Final Offers (BAFO). Gillig's price was \$491,407; New Flyer was \$499,400; and NOVA was \$550,930. As a result of the BAFO process, Gillig and New Flyer were extremely competitive, but Gillig provided the best overall proposal to meet our current and future needs.

Gillig has provided 40' buses to CDTA for the last 15 years and staff is satisfied with vehicle performance and after-market sales and support. The memo of support provides a detailed summary of the procurement process.

Staff recommends awarding a five-year contract for the purchase of up to 100 40' buses be awarded to Gillig, LLC of Hayward, CA. All purchases from this contract will be presented to the Board for approval.

Upon Board approval a contract will be executed immediately.

Financial Summary and Source of Funds:

The base bus price is \$491,407, plus selected options. Future year purchases will be tied to the Producer's Price Index (PPI). The total contract value has the potential to be about \$50 million depending on options and the PPI.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

January 19, 2022

To: Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations
Stacy Sansky, Director of Procurement

Subject: Contract Award for Diesel Buses to Gillig, LLC

Background:

CDTA issued a Request for Proposals (RFP) asking bus manufacturers to provide a forty-foot diesel vehicle that meets our specifications. The American Public Transportation Association (APTA) Standard Bus Procurement Guidelines was used as a blueprint for CDTA's scope of work.

CDTA received three proposals (Gillig, New Flyer, and Nova Bus). An evaluation team consisting of Operations and Safety/Training staff participated in the review process.

Staff reviewed and ranked all three proposals. All three bus manufacturers were invited to participate in interviews over Microsoft Teams. Interview areas covered a variety of topics including:

- Clarifications to submitted proposals
- Company Overview
- COVID protocols including how plant shutdowns are managed
- Staffing and parts shortages

After interviews were completed, staff requested Best and Final Offers (BAFOs) from all three manufacturers and checked references using a standardized format.

Justification:

As a result of the procurement process, staff determined that Gillig, LLC is best suited to provide CDTA's diesel buses for the new vehicle contract.

This conclusion was based on Gillig's ranking in the scoring criteria:

- **Cost:** The overall cost per Gillig bus is nearly \$65,000/bus less than their competitors when factoring in cost of each vehicle, life cycle costs, special tooling/training, and transmission warranty cost savings.
- **Technical:** Gillig ranked highest overall on technical requirements which includes over 400 specific areas of technical review. Gillig met or exceeded the technical requirements more often than their competitors. One competitor did not meet CDTA's requirements in several areas.

- **Warranty:** Gillig meets or exceeds warranty requirements by 2 to 1 as compared with the competitors.
- **References:** Gillig provided excellent references with feedback equal to our own experience.
- **Delivery:** Two of the manufacturers (including Gillig) were able to promise a nine-month delivery after receipt of a purchase order.
- **Reliability:** Our Mean Distance Between Failures (MDBF) average over 9,000 miles for mechanical-related defects (Gillig buses). This is an important performance metric as it measures our maintenance reliability and breakdowns on the road. The Gillig bus has performed well.

Summary:

Gillig provided the lowest overall price, including warranties and delivery expectations. The individual cost of a Gillig bus is \$491,407. New Flyer and NOVA buses were \$8,000 and \$71,500 more than Gillig. We have had a very good 14-year partnership with Gillig for reasons stated above. The Gillig bus continues to be a high performing vehicle with very good reliability. Gillig increased staffing levels and vendor sources to compensate for labor and materials shortages during COVID. Gillig provided the best overall proposal.

Recommendation:

We recommend awarding a five-year contract for up to 100 40' diesel buses to Gillig Corporation of Livermore, California.

Copy: Chief Executive Officer

SCORE SHEET-

Proposer	Technical - 40 points 10944 Points x 5 scorers=43,776 Maximum Score Highest Wins				
	Score	Max. Value	Rating	Max Points	Points
Gillig	28888	43776	0.66	40.00	26.40
New Flyer	28728	43776	0.66	40.00	26.25
Nova	28520	43776	0.65	40.00	26.06
	Warranty - 10 points 281 Points Maximum Score Highest Wins				
	Score	Max. Value	Rating	Max. Points	Points
Gillig	254	281	0.904	10.00	9.04
New Flyer	190	281	0.676	10.00	6.76
Nova	205	281	0.730	10.00	7.30
	Performance - 5 points 10 Points Maximum Score Highest Wins				
	Score	Max. Value	Rating	Max. Points	Points
Gillig	9.00	10.00	0.90	5.00	4.50
New Flyer	9.00	10.00	0.90	5.00	4.50
Nova	6.00	10.00	0.60	5.00	3.00
	References - 10 points 279 Points Maximum Score Highest Wins				
	Score	Max. Value	Rating	Max. Points	Points
Gillig	9	10	0.900	10.00	9.00
New Flyer	9	10	0.900	10.00	9.00
Nova	7	10	0.700	10.00	7.00

Score	Min. Value	Rating	Max. Points	Points
\$491,407	491407.00	1.000	30.00	30.00
\$508,919	491407.00	0.966	30.00	28.97
\$557,809	491407.00	0.881	30.00	26.43
Score	Min. Value	Rating	Max. Points	Points
300	270.00	0.90	5.00	4.50
300	270.00	0.90	5.00	4.50
480	270.00	0.56	5.00	2.81

	Total - 100 points Highest Wins	Ranking
	Points	
Gillig	74.44	1
New Flyer	70.98	2
Nova	65.60	3

Capital District Transportation Authority Agenda Action Proposal

Subject: Purchase of twenty-four 40-foot buses from Gillig, LLC of Livermore, California.

Committee: Performance Monitoring/Audit

Committee Meeting Date: January 19, 2022

Board Action Date: January 26, 2022

Background:

The current fleet replacement plan calls for annual vehicle purchases and disposal of vehicles that have reached the end of their useful life.

Purpose:

To ensure fleet availability for current and upcoming service needs.

Summary of Proposal:

A Request for Proposals (RFP) was issued for a 5-year contract to buy 40' diesel buses, which was approved through earlier Board action. Staff recommends the purchase of twenty-four vehicles upon receipt of an executed contract. This is consistent with our fleet purchasing plan and service needs, which aims to balance fleet age and maintenance requirements, while providing predictable costs for purchases and annual maintenance expenses.

Staff recommends the purchase of twenty-four buses from this contract for a cost of \$491,407 per vehicle. This cost includes extended warranties for engine, HVAC and transmission. Delivery is anticipated for late spring 2022.

Financial Summary and Source of Funds:

The total cost will not exceed \$12,128,928 and is broken down below. Future year purchases will be tied to the Producer's Price Index (PPI). This order will be funded from the FY2023 Capital Plan.

Description	Unit Cost	Quantity	Extended Cost
Base Bus	\$491,407	24	\$11,793,768
Delivery	\$6,356	24	\$152,544
Extended Warranties	\$7,609	24	\$182,616
TOTAL Year 1:	\$505,372	24	\$12,128,928

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

Date: January 19, 2022
To: Performance Monitoring/Audit Committee
From: Lance Zarcone, Vice President of Operations
Subject: Fixed Route Bus Acquisition

Background:

A five-year contract was presented to the Board to purchase accessible low-floor heavy-duty transit vehicles to the Gillig Corporation of Livermore, California. Upon Board approval, staff recommends the purchase of twenty-four (24) vehicles for fixed-route operations from this contract.

The vehicle model is a Gillig, powered by a L9 Cummins diesel engine, meeting Environmental Protection Agency (EPA) regulations. The bus is 40' long with thirty-eight seats and allows two wheelchair passengers when two bench seats are folded up.

These buses will have a UV- Air and Surface Purification system installed to reduce the exposure of airborne pathogens to customers, along with a full drivers' shield barrier adding additional protection for our operators.

The twenty-four buses will replace an equal number of vehicles currently used to run the fixed-route service that has reached the end of their useful life. Delivery is anticipated for July 2022.

Recommendation:

Staff recommends the purchase of twenty-four Gillig buses at a price of \$505,372 per vehicle, which includes delivery and extended warranties. The total amount is \$12.1 million.

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:

\$12,128,928 (Year 1, not to exceed) 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 # 3 or Advertised
Number of Proposals/Bids Received # 3

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
Was contract awarded to a DBE? Yes No
Number of DBE Subcontractors 0 (Bus Manufacturers must maintain an approved
DBE Goal Plan on file with FTA to be eligible to participate in FTA funded vehicle procurements)

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: Gillig, LLC

451 Discovery Drive
Livermore, California 94551

8. SOURCE OF FUNDS: FY2023 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,)

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

Stacy Sansky, Director of Procurement DATED: January 19, 2022

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract for paratransit vehicles to Coach & Equipment of Canandaigua, New York.

Committee: Performance Monitoring/Audit

Committee Meeting Date: January 19, 2022

Board Action Date: January 26, 2022

Background:

The current contract for paratransit vehicles has expired, and a new contract is required to continue our fleet replacement program.

Purpose:

These vehicles will replace paratransit buses that have reached the end of their useful life.

Summary of Proposal:

A Request for Proposals (RFP) was issued for purchasing up to six paratransit vehicles per year for a term of five years. The contract requested pricing for first year purchases with subsequent year pricing tied to the Producers Price Index (PPI).

Seventeen firms downloaded the RFP, and three proposals were received. One proposal was non-responsive and not considered. A review team consisting of Operations staff reviewed the two remaining proposals.

Based on the review process, it was clear that Coach & Equipment (the incumbent) was best suited for CDTA's needs and scored high enough in both technical and pricing that the other proposer was not in the competitive range. Staff recommends a five-year contract for the purchase of paratransit buses be awarded to Couch & Equipment of Canandaigua, New York.

Financial Summary and Source of Funds:

The first-year price is \$88,000 per vehicle. We will place an order for six buses (\$528,000) this spring.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

January 19, 2022

To: Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations
Stacy Sansky, Director of Procurement

Subject: Award Recommendation - Purchase of paratransit vehicles

Background:

CDTA issued a Request for Proposals (RFP) to provide paratransit vehicles that have reached the end of their useful life. Proposers must meet all FTA requirements for Buy America.

Justification:

Three proposals were received. An evaluation team of Maintenance and Transportation employees reviewed proposals. Coach & Equipment bus price was \$88,000; Mathews Bus was \$122,711; and the third proposal was non-responsive. It was determined that Coach & Equipment provided the best overall vehicle to meet CDTA's needs. The Coach & Equipment vehicle offers more durability, safety, and has the most comfortable ride. The floor plan design gives maximum flexibility for oversize wheelchairs and power chairs which are common today.

Coach & Equipment provided the best price, references, and the best technical ranking. Coach & Equipment is the incumbent provider of paratransit vehicles.

Recommendation:

Staff recommends a 5-year contract for the purchase of up to thirty paratransit vehicles be awarded to Coach & Equipment of Canandaigua, NY.

Copy: Chief Executive Officer

**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:

\$528,000 (Year 1, 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 # 17 or Advertised
Number of Proposals/Bids Received # 3

Attach Summary of Bids/Proposals

8. Disadvantaged Business Enterprise (DBE) involvement

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

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: Coach & Equipment Bus Sales, Inc.
20 Eastern Blvd
Canandaigua, NY 14424

8. SOURCE OF FUNDS: When vehicles are purchased, most likely they will be paid through our 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,)

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

Stacy Sansky, Director of Procurement DATED: January 19, 2022

CUMMULATIVE SCORECARD - CDTA 167-3000 Gas Powered Small Transit Buses for Use in Paratransit

Criteria	Matthews Bus Alliance-Orlando, FL	Coach & Equip- Canandaigua, NY	Factory Direct Bus Sales-Plainview, NY
Price Proposal -120 Points	98	114	
Technical 75 Points	58	68	
Delivery Schedule 45 Points	30	32	
Warranty 30 Points	22	18	
Past Performance 30 Points	15	24	
TOTAL:	223	256	

Proposal was non-responsive and not scored.

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract award for Audit Services to Lumsden & McCormick, LLP of Buffalo, NY.

Committee: Performance Monitoring/Audit

Committee Meeting Date: January 19, 2022

Board Action Date: January 26, 2022

Background:

The current contract for external audit services is expiring. Each year we engage a firm to prepare our financial statements; conduct federal and state single audits and prepare CDTC financial statements and audits as well.

Purpose:

We are required to have an independent audit completed annually. A new contract is necessary to maintain compliance with this requirement.

Summary of Proposal:

A Request for Proposal (RFP) was issued for a firm to provide audit services for CDTA and CDTC. The fees were inclusive for all requirements outlined in the RFP. Three firms submitted proposals. All three firms were qualified to perform the work, but Lumsden and McCormick (incumbent) provided the best overall proposal.

Lumsden and McCormick has performed excellent work for us. Their price proposal represents a 5% increase and staff recommends a three-year contract with two optional renewals be awarded to Lumsden & McCormick LLP of Buffalo, NY for audit services.

Upon Board approval, this contract will be executed immediately.

Financial Summary and Source of Funds:

The three-year total is not to exceed \$180,000 and the optional years, if selected, are \$2,000 more per year. This will be funded in the appropriate operating budget for each year fiscal year.

Year 1: \$58,000

Year 2: \$60,000

Year 3: \$62,000

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Philip Parella, Jr, Director of Finance

Memorandum

January 19, 2022

To: Performance Monitoring/Audit Committee
From: Philip Parella, Jr, Director of Finance
Subject: Contract Award for Audit Services

Background

CDTA is required to have an independent audit completed on an annual basis. The audit results are reported to New York State and can be accessed by the public and other state entities through the Public Authority Reporting Information System (PARIS). Our current agreement with Lumsden and McCormick expires in January 2022. In December 2021, a request for proposal was issued for external audit services.

Justification

We received three proposals: Lumsden & McCormick, the Bonadio Group, and EFRP. During interviews our team found that each firm was professionally qualified and had appropriate experience in this type of work. Each firm provided competitive pricing that was fair and reasonable. When all factors were considered, we determined Lumsden and McCormick was the best fit moving forward.

Lumsden & McCormick is the incumbent and has performed audit services for us for the past 15 years. They have been a very good partner and instrumental in providing sound accounting advice as we have grown over the past several years.

Lumsden's price in year one was \$58,000, which was \$4,000 higher than one firm but \$12,000 less than the other firm. While all firms were experienced, Lumsden's history of working well with CDTA and our Board of Directors outweighed the difference in pricing.

Staff also felt Lumsden's understanding of CDTC, whom they audit as part of this work, was important experience to consider as our role working with CDTC expands. We anticipate utilizing Lumsden's expertise and understanding during this process.

Recommendation:

We recommend awarding a three-year contract with two one-year renewal options to Lumsden & McCormick for a three-year total not to exceed \$180,000.

Copy: Chief Executive Officer
VP of Finance & Administration

CDTA FIN 17-4000 Audit Services Cumulative Scorecard

Criteria	EFPR Group Williamsville, NY	Lumsden McCormick Buffalo, NY	The Bonadio Group Albany, NY
Price Proposal 105 points	100	88	62
Overall Experience 180 points	135	180	160
D/MWBE 15 points	15	15	15
TOTAL 300 points	250	283	237

Memorandum

January 19, 2022

To: Members, Performance Monitoring/Audit Committee

From: Stacy Sansky, Director of Procurement

Subject: Calendar Year 2021 Procurement Report Summary

This is the annual report on procurement activities. This report reviews the procurement process for surplus sales, change orders, sole source contracts and our Minority/Women Business Enterprise (MWBE)/Service-Disabled Veteran Owned Business (SDVOB) programs.

Surplus Sale:

A surplus sale is a method for staff to dispose of equipment, vehicles and parts that have surpassed their useful life. Items are disposed through recycling, donation and sale through eBay and employee auction. Sales tax is collected for applicable transactions.

The 2021 proceeds from surplus sales were \$51,245. These funds have been returned to the operating budget. For comparison purposes, in 2020 the proceeds were \$21,656 and 2019 the surplus sale proceeds were \$48,717.

The Agenda Action Proposal is attached for the 2021 Surplus Sales.

Change Orders:

A change order is work that is added to or deleted from the original scope of a contract, which alters the original contract amount and/or completion date. Change orders that exceed 20% of the original contract value or \$100,000 (whichever is greater) require Board approval. There was one change order that required Board action. In January 2021 the Board approved a change order for enhanced lighting and other safety measures related to the employee parking lot construction at the Bokland site.

For informational purposes, there were several change orders that fell under the Board approval threshold for the past year. We currently have several large construction projects (Albany Garage Expansion, Bus Wash Replacement, Washington Western Bus Rapid Transit) in various stages of completion, and it is not unusual to have changes for projects of this magnitude.

Sole Source Contracts:

Sole source contracts are used when no competition is available or when there is an emergency procurement. All sole source contracts valued at \$50,000 or more that are not on New York State Contract, require Board approval. Sole source agreements are closely monitored and minimized whenever possible. During 2021 there were five sole source contracts executed under the Board approval threshold with a total value of \$145,173. All five sole source contracts were related to previously competitively procured contracts (ex. Annual purchase of training days for software, fareboxes, software licenses).

Minority/Women's Business Enterprise (MWBE):

The Minority/Women's Business Enterprise (MWBE) program is a state required initiative to level the playing field for qualified minority/women owned businesses in the state.

We set our own MWBE participation target to meet the state mandated goal of 30%. Our MWBE participation rate for the prior three calendar years was 35%, 32% and 37%.

In addition to current contracts with MWBE firms, the following contracts were issued that contained MWBE subcontracting during CY2021:

- Albany Garage Expansion (M&WBE)
- Bus Wash Replacement (WBE)
- Troy Division Staff Facility Rehabilitation (M&WBE)

Service-Disabled Veteran Owned Business (SDVOB):

The Service-Disabled Veteran Owned Business (SDVOB) program is a state required initiative with the aim of fostering business opportunities between state agencies and authorities and Service-Disabled Veterans.

We have an ambitious state mandated utilization of 6% for this program and with 924 firms currently certified as SDVOB doing business in New York (this is up from 853 at the beginning of 2019).

As the number of available firms continues to grow, CDTA will be able to increase utilization. Past year participation was 4.09%, but previous year participation was never more than 1%.

Contracts and purchases from SDVOB during CY2021:

- Facilities Equipment & Supplies
- Print & Copy Services
- Office Supplies
- Subcontracting on several construction contracts

Recommendation:

There are no recommended changes to these programs.

Copy: Chief Executive Officer
Vice President of Finance & Administration

Capital District Transportation Authority Agenda Action Proposal

Subject: Summary of vehicles, equipment and parts disposed in 2021.

Committee: Performance Monitoring/Audit

Committee Meeting Date: January 19, 2022

Board Action Date: January 26, 2022

Background:

Resolution 05-2005 was passed to allow staff to dispose of equipment, vehicles and parts that have surpassed their useful life and then report these disposals on an annual basis. CDTA disposes of items in the best way possible, through recycling, donation, and sale through eBay auction. CDTA collects sales tax for applicable transactions.

Purpose:

Surplus sales allow staff to remove items from physical inventory that are past its useful life, no longer needed, or not working properly and require replacement.

Summary of Proposal:

Vehicles were auctioned to the highest bidder on eBay. If no bid was received, the vehicle was sold for scrap metal value. A few cell phones and accessories were auctioned to employees. The remaining items had little or no value on the open market and were either recycled or disposed of in the most environmentally friendly way possible.

Financial Summary and Source of Funds:

A total of \$51,245 was returned to the operating budget as proceeds from the disposition of surplus materials in 2021.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Stacy Sansky, Director of Procurement

Memorandum

January 19, 2022

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

From: Sarah Matrose, Internal Audit

Subject: Internal Audit Progress Report

Quarterly Progress Items:

- Internal Audit Independence and Objectivity Statement (*Annual Requirement*)
 - Annual attestation that I will continue to perform my function with an organizational independence and objectively without bias.
- Document Retention Audit
 - Working with Finance 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 utilized during the course of internal audit work throughout the organization.
- Annual Risk Assessment
 - Participated in four training sessions with Smartsheet to determine the best way to develop, distribute, and collect an electronic risk assessment questionnaire.
 - The responses to the published questionnaire will help 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.
- Collaborating with Safety & Training on review of regulatory requirements audited by outside agencies:
 - Public Transportation Agency Safety Plan – Federal Transit Administration
 - System Safety Program Plan – Public Transportation Safety Board Requirement
 - Reviews of these plans ties into a companywide push to incorporate safety initiatives into the audit plan on an ongoing basis.

On-Going Items:

- Continued support and finalization of Standard Operating Procedures (SOP)
 - Liaison for departmental Policy and SOP formatting uniformity, tracking, and document repository.

Professional Development Items:

- Facilitated a Certified Internal Auditor Part II training class.

Memorandum

January 19, 2022

To: Audit Committee Members

From: Sarah Matrose, Internal Audit

Subject: Annual Independence and Objectivity Statement

Background:

The *International Standards for the Professional Practice of Internal Auditing* Standard 1100 – Independence and Objectivity requires the internal activity to remain independent, and internal auditors must be objective in performing their work by maintaining an unbiased and independent approach to audits, including reporting any conflict that may arise.

1110 - Organizational Independence

The chief audit executive must report to a level within the organization that allows the internal audit activity to fulfill its responsibilities. The chief audit executive must confirm to the board, at least annually, the organizational independence of the internal audit activity.

1110.A1 - The internal audit activity must be free from interference in determining the scope of internal auditing, performing work, and communicating results.

1111 – Direct Interaction with the Board

The chief audit executive must communicate and interact directly with the board.

1120 - Individual Objectivity (Standard)

Internal auditors must have an impartial, unbiased attitude and avoid any conflict of interest.

1130 - Impairment to Independence or Objectivity (Standard)

If independence or objectivity is impaired in fact or appearance, the details of the impairment must be disclosed to appropriate parties. The nature of the disclosure will depend upon the impairment.

Attestation:

The CDTA Internal Audit Department complies with Standard 1100 in that it remains independent, and audits are completed free from interference and with objectivity.

Copy: Chief Executive Officer

Monthly Management Report

December 2021



Monthly Management Report - December 2021
Executive Summary

			Current Month		Year to Date	
REVENUE	Actual	Budget	(\$) Variance	(%) Variance	(\$) Variance	(%) Variance
1 Mortgage Tax	\$ 1,630,684	\$ 937,500	\$ 693,184	73.94%	\$ 4,839,612	57.36%
2 Customer Fares	\$ 1,423,500	\$ 705,750	\$ 717,750	101.70%	\$ 3,477,095	54.74%
3 RRS & Facilities	\$ 202,803	\$ 76,076	\$ 126,727	166.58%	\$ 771,070	112.62%
EXPENSES						
EXPENSES	Actual	Budget	(\$) Variance	(%) Variance	(\$) Variance	(%) Variance
4 Wages	\$ 4,707,763	\$ 4,387,113	\$ 320,650	7.31%	\$ 724,583	1.84%
5 Workers' Compensation	\$ 397,397	\$ 237,394	\$ 160,003	67.40%	\$ 114,879	5.38%
6 Purchased Transportation	\$ 623,099	\$ 555,447	\$ 67,652	12.18%	\$ 62,684	1.25%
7 Maintenance Services	\$ 392,673	\$ 259,605	\$ 133,068	51.26%	\$ (27,582)	-1.18%
					YTD Revenue	12.71%
					YTD Expenses	-1.43%

Revenue Summary

- MRT continues to exceed budget expectations; December was the 2nd highest month on record. We are \$4.8 million over budget.
- Customer Fares continues to be over budget. A positive adjustment was made to the accruals for UA contracts, which impacted our revenue line even more.
- Customer traffic continues to improve at the RRS. About 80% of the revenue increase is from parking proceeds.

Expense Summary

- The monthly wage line is over budget because of a few factors. We paid out unused personal time to the workforce (a contractual item); Overtime is up due to headcount issues; and we gave an additional holiday to operators/technicians over Christmas and New Year's to provide much needed rest.
- Workers' Compensation is over budget this month due to one large settlement. We are 5% over budget for the year.
- Purchased Transportation is over budget by 12% because we are outsourcing more trips due to headcount issues in STAR. As we expected, this line will continue to increase over the next few months.
- Maintenance Services is over budget because of a timing issue with one large contract.

Note: We are in a satisfactory budget position.

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

	Dec-21	Dec-20
Assets		
Current Assets:		
Cash	\$11,285,353	\$4,384,225
Investments	\$31,705,581	\$28,163,311
Receivables:		
Mortgage Tax	\$1,630,683	\$1,593,521
Federal Grants	\$0	\$10,880,090
New York State Operating Assistance	\$318,564	\$10,479,727
Trade and Other	\$11,545,615	\$8,035,098
Advances to Capital District Transportation Committee	\$1,098,361	\$793,413
Materials, Parts and Supplies	\$5,278,829	\$3,944,252
Prepaid Expenses	\$1,500,343	\$1,248,799
Sub-Total Current Assets	\$64,363,330	\$69,522,435
Noncurrent Assets:		
Capital Assets, net	\$123,023,467	\$109,402,342
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	\$209,378,934	\$198,924,439
Liabilities		
Current Liabilities:		
Accounts Payable	\$3,701,099	\$6,576,170
Accrued Expenses	\$6,503,308	\$4,562,701
Unearned Revenue	\$6,704,777	\$1,608,484
Line of Credit	\$0	\$0
Sub-Total Current Liabilities	\$16,909,184	\$12,747,355
Noncurrent Liabilities:		
Capital Lease Agreement	\$1,507,550	\$3,134,504
Estimated Provision for Existing Claims and Settlements	\$9,303,251	\$10,838,129
Other postemployment benefits	\$85,491,074	\$105,346,823
Net Pension Liability	\$5,982,208	\$1,616,083
Sub-Total Noncurrent Liabilities	\$102,284,081	\$120,935,539
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	\$151,733,180	\$145,428,117
Net Position		
Net Investment in Capital Assets	\$108,241,228	\$108,241,228
Unrestricted	(\$50,595,474)	(\$54,744,906)
Total for Net Position	\$57,645,754	\$53,496,322
Total Liabilities and Net Position	\$209,378,934	\$198,924,439

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

	<u>To Date Actual</u>	<u>Annual Budget</u>	75%
REVENUE:			
AUTHORITY	\$13,263,625	\$11,355,000	117%
TRANSIT	\$72,809,886	\$91,399,593	80%
ACCESS	\$370,463	\$425,000	87%
CDTA FACILITIES	\$1,568,251	\$1,030,299	152%
TOTAL REVENUE	\$88,012,225	\$104,209,892	84%
EXPENSE:			
AUTHORITY	\$12,551,136	\$16,813,408	75%
TRANSIT	\$61,431,155	\$83,778,811	73%
ACCESS	\$1,040,442	\$1,308,812	79%
CDTA FACILITIES	\$1,258,671	\$2,308,860	55%
TOTAL EXPENSE	\$76,281,403	\$104,209,892	73%
 Revenue over (under) Expenses	 \$11,730,822		
Depreciation	\$10,350,000		
Excess of Revenue over (under) Expenses	\$1,380,822		
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	(\$3,213,281)		
 *Net Excess of Revenue over (under) Expenses	 (\$16,970,212)		
*Contribution to required fleet replacement.			

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
December-21**

BUDGET VARIANCE REPORT

	CONSOLIDATED								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Mortgage Tax	\$1,630,684	\$937,500	\$693,184	73.94%	\$13,277,112	\$8,437,500	\$4,839,612	57.36%	\$11,250,000
Customer Fares	\$1,423,500	\$705,750	\$717,750	101.70%	\$9,828,845	\$6,351,750	\$3,477,095	54.74%	\$8,469,000
Advertising Revenue	\$132,708	\$107,708	\$25,000	23.21%	\$1,152,465	\$969,375	\$183,090	18.89%	\$1,292,500
RRS & Facilities	\$202,803	\$76,076	\$126,728	166.58%	\$1,455,751	\$684,681	\$771,070	112.62%	\$912,908
Interest Income	\$40	\$1,667	(\$1,627)	-97.62%	\$553	\$15,000	(\$14,447)	-96.31%	\$20,000
Misc. Income	\$8,048	\$7,375	\$673	9.12%	\$742,550	\$66,375	\$676,175	1018.72%	\$88,500
Total Operating Revenue	\$3,397,783	\$1,836,076	\$1,561,708	85.06%	\$26,457,277	\$16,524,681	\$9,932,596	60.11%	\$22,032,908
Operating Assistance									
New York State Aid	\$3,459,000	\$3,459,000	\$0	0.00%	\$31,131,000	\$31,131,000	\$0	0.00%	\$41,508,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$1,437,750	\$1,437,750	\$0	0.00%	\$1,917,000
Federal Aid	\$2,981,106	\$2,981,106	\$0	0.00%	\$26,829,952	\$26,829,952	\$0	0.00%	\$35,773,269
Operating Grants	\$248,226	\$248,226	\$0	0.00%	\$2,234,036	\$2,234,036	\$0	0.00%	\$2,978,715
Total Operating Assistance	\$6,848,082	\$6,848,082	\$0	0.00%	\$61,632,738	\$61,632,738	\$0	0.00%	\$82,176,984
Total Revenue and Assistance	\$10,245,865	\$8,684,158	\$1,561,708	17.98%	\$88,090,015	\$78,157,419	\$9,932,596	12.71%	\$104,209,892
Expenses									
Salaries and Wages	\$4,707,763	\$4,387,113	\$320,650	7.31%	\$40,208,600	\$39,484,017	\$724,583	1.84%	\$52,645,356
FICA	\$345,075	\$310,203	\$34,872	11.24%	\$2,904,684	\$2,791,826	\$112,859	4.04%	\$3,722,434
Health Benefits	\$935,037	\$914,241	\$20,796	2.27%	\$7,765,311	\$8,228,169	(\$462,857)	-5.63%	\$10,970,892
Workers Compensation	\$397,397	\$237,394	\$160,004	67.40%	\$2,251,422	\$2,136,544	\$114,879	5.38%	\$2,848,725
Other Benefits	\$378,616	\$370,828	\$7,789	2.10%	\$3,075,513	\$3,337,448	(\$261,935)	-7.85%	\$4,449,931
Professional Services	\$395,090	\$349,145	\$45,945	13.16%	\$2,706,744	\$3,142,309	(\$435,565)	-13.86%	\$4,189,745
Materials & Supplies	\$151,486	\$153,029	(\$1,543)	-1.01%	\$1,174,299	\$1,377,260	(\$202,960)	-14.74%	\$1,836,346
Miscellaneous	\$56,812	\$61,404	(\$4,592)	-7.48%	\$495,319	\$552,640	(\$57,320)	-10.37%	\$736,853
Purchased Transportation	\$623,099	\$555,447	\$67,652	12.18%	\$5,061,703	\$4,999,019	\$62,684	1.25%	\$6,665,359
Maintenance Services	\$392,673	\$259,605	\$133,069	51.26%	\$2,308,861	\$2,336,444	(\$27,582)	-1.18%	\$3,115,258
Liability - Claims	\$40,431	\$31,573	\$8,858	28.06%	\$282,587	\$284,156	(\$1,570)	-0.55%	\$378,875
Utilities	\$96,403	\$85,935	\$10,468	12.18%	\$691,810	\$773,415	(\$81,605)	-10.55%	\$1,031,220
Fuel	\$398,660	\$450,939	(\$52,279)	-11.59%	\$3,544,110	\$4,058,453	(\$514,343)	-12.67%	\$5,411,270
Parts, Tires, Oil	\$411,997	\$436,981	(\$24,984)	-5.72%	\$3,913,026	\$3,932,831	(\$19,805)	-0.50%	\$5,243,775
General Insurance	\$74,912	\$80,321	(\$5,409)	-6.73%	\$655,030	\$722,890	(\$67,860)	-9.39%	\$963,853
Total EXPENSES	\$9,405,452	\$8,684,158	\$721,295	8.31%	\$77,039,019	\$78,157,419	(\$1,118,400)	-1.43%	\$104,209,892
Surplus/Deficit	\$840,413	\$0	\$840,413		\$11,050,996	\$0	\$11,050,995		\$0

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
December-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	\$1,630,684	\$937,500	\$693,184	73.94%	\$13,277,112	\$8,437,500	\$4,839,612	57.36%	\$11,250,000
Interest Income	\$39	\$1,667	(\$1,627)	-97.65%	\$550	\$15,000	(\$14,450)	-96.33%	\$20,000
Interest Inc-Invest/Change in Invest	(\$48,591)	\$0	(\$48,591)	0.00%	(\$77,789)	\$0	(\$77,789)	0.00%	\$0
Misc. Income - Authority	\$7,083	\$7,083	(\$0)	0.00%	\$63,751	\$63,750	\$1	0.00%	\$85,000
Operating Fund	\$0	\$0	\$0	0.00%	\$0	\$0	\$0	0.00%	\$0
Total Operating Revenue	\$1,589,216	\$946,250	\$642,966	67.95%	\$13,263,625	\$8,516,250	\$4,747,375	55.74%	\$11,355,000
Expenses									
Labor - Authority	\$672,354	\$608,991	\$63,363	10.40%	\$5,654,840	\$5,480,918	\$173,922	3.17%	\$7,307,890
Fringe - Authority	\$400,952	\$374,970	\$25,982	6.93%	\$3,392,965	\$3,374,732	\$18,234	0.54%	\$4,499,642
Materials & Supplies - Authority	\$4,982	\$15,820	(\$10,838)	-68.51%	\$78,598	\$142,377	(\$63,779)	-44.80%	\$189,836
Professional Services - Authority	\$240,084	\$199,362	\$40,722	20.43%	\$1,640,019	\$1,794,259	(\$154,240)	-8.60%	\$2,392,345
Other Expenses - Authority	\$341,288	\$201,975	\$139,313	68.98%	\$1,784,714	\$1,817,771	(\$33,057)	-1.82%	\$2,423,695
Total Expenses	\$1,659,660	\$1,401,117	\$258,543	18.45%	\$12,551,136	\$12,610,056	(\$58,920)	-0.47%	\$16,813,408
Surplus/(Deficit)	(\$70,445)	(\$454,867)	\$384,423		\$712,489	(\$4,093,806)	\$4,806,295		(\$5,458,408)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
December-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	\$709,608	\$526,583	\$183,025	34.76%	\$7,214,135	\$4,739,250	\$2,474,885	52.22%	\$6,319,000
Contracts - Transit	\$643,750	\$143,750	\$500,000	347.83%	\$2,244,250	\$1,293,750	\$950,500	73.47%	\$1,725,000
Advertising-Transit	\$120,208	\$97,926	\$22,283	22.75%	\$1,039,965	\$881,332	\$158,633	18.00%	\$1,175,109
Misc. Income - Transit	\$964	\$292	\$673	230.62%	\$678,799	\$2,625	\$676,174	25759.01%	\$3,500
Total Operating Revenue	\$1,474,531	\$768,551	\$705,980	91.86%	\$11,177,148	\$6,916,957	\$4,260,192	61.59%	\$9,222,609
Operating Assistance									
State Aid - General	\$3,265,917	\$3,265,917	\$0	0.00%	\$29,393,250	\$29,393,250	\$0	0.00%	\$39,191,000
State Aid - PBT	\$159,750	\$159,750	\$0	0.00%	\$1,437,750	\$1,437,750	\$0	0.00%	\$1,917,000
State Aid - Northway Commuter S.	\$33,333	\$33,333	\$0	0.00%	\$300,000	\$300,000	\$0	0.00%	\$400,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$1,437,750	\$1,437,750	\$0	0.00%	\$1,917,000
Federal Aid - Transit	\$2,981,106	\$2,981,106	\$0	0.00%	\$26,829,952	\$26,829,952	\$0	0.00%	\$35,773,269
Other Grants - Federal	\$248,226	\$248,226	\$0	0.00%	\$2,234,036	\$2,234,036	\$0	0.00%	\$2,978,715
Total Operating Assistance	\$6,848,082	\$6,848,082	\$0	0.00%	\$61,632,738	\$61,632,738	\$0	0.00%	\$82,176,984
Total Revenue and Assistance	\$8,322,613	\$7,616,633	\$705,981	9.27%	\$72,809,886	\$68,549,695	\$4,260,192	6.21%	\$91,399,593
Expenses									
Labor - Maintenance	\$818,523	\$802,739	\$15,784	1.97%	\$7,056,500	\$7,224,654	(\$168,154)	-2.33%	\$9,632,872
Labor - Transportation	\$2,918,455	\$2,648,917	\$269,538	10.18%	\$24,633,778	\$23,840,255	\$793,524	3.33%	\$31,787,006
Labor - STAR	\$222,837	\$253,345	(\$30,508)	-12.04%	\$2,198,360	\$2,280,101	(\$81,740)	-3.58%	\$3,040,134
Fringe	\$1,459,923	\$1,441,426	\$18,496	1.28%	\$11,677,494	\$12,972,836	(\$1,295,342)	-9.99%	\$17,297,115
Materials & Supplies	\$949,169	\$1,005,580	(\$56,411)	-5.61%	\$8,613,167	\$9,050,222	(\$437,055)	-4.83%	\$12,066,963
Professional Services	\$150,612	\$140,064	\$10,548	7.53%	\$1,332,963	\$1,260,572	\$72,392	5.74%	\$1,680,762
Other Expenses	\$4,298	\$4,379	(\$81)	-1.85%	\$37,738	\$39,413	(\$1,675)	-4.25%	\$52,550
Purchased Transportation - STAR	\$481,115	\$390,636	\$90,479	23.16%	\$3,934,323	\$3,515,723	\$418,600	11.91%	\$4,687,630
Liability - Claims	\$40,431	\$31,573	\$8,858	28.06%	\$282,587	\$284,156	(\$1,570)	-0.55%	\$378,875
Liability - Insurance	\$68,123	\$77,579	(\$9,457)	-12.19%	\$481,928	\$698,215	(\$216,287)	-30.98%	\$930,953
Utilities - Transit	\$60,217	\$50,443	\$9,774	19.38%	\$384,060	\$453,990	(\$69,930)	-15.40%	\$605,320
Mat & Supplies - NX	\$2,325	\$5,833	(\$3,508)	-60.14%	\$7,017	\$52,500	(\$45,483)	-86.63%	\$70,000
Purchased Transportation - NX	\$87,916	\$129,053	(\$41,137)	-31.88%	\$791,240	\$1,161,473	(\$370,234)	-31.88%	\$1,548,631
Total Expenses	\$7,263,944	\$6,981,568	\$282,376	4.04%	\$61,431,155	\$62,834,108	(\$1,402,954)	-2.23%	\$83,778,811
Surplus/(Deficit)	\$1,058,669	\$635,065	\$423,604		\$11,378,732	\$5,715,586	\$5,663,146		\$7,620,782

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
December-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	\$70,142	\$35,417	\$6,846	19.33%	\$370,460	\$318,750	\$51,710	16.22%	\$425,000
Interest Income	\$0	\$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
Total Operating Revenue	\$70,142	\$35,417	\$6,847	19.33%	\$370,463	\$318,750	\$51,713	16.22%	\$425,000
Total Revenue and Assistance	\$70,142	\$35,417	\$6,847	19.33%	\$370,463	\$318,750	\$51,713	16.22%	\$425,000
Expenses									
Labor - Access	\$59,621	\$56,810	\$2,811	4.95%	\$530,792	\$511,293	\$19,499	3.81%	\$681,724
Fringe Benefits - Access	\$21,422	\$14,652	\$6,770	46.21%	\$145,792	\$131,864	\$13,928	10.56%	\$175,819
Purchased Transportation	\$54,068	\$33,333	\$20,735	62.20%	\$336,141	\$300,000	\$36,141	12.05%	\$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%	\$16,642	\$14,791	\$1,851	12.52%	\$19,721
Other Expenses - Access	\$0	\$2,629	(\$2,629)	-100.00%	\$2,076	\$23,661	(\$21,585)	-91.23%	\$31,548
Total Expenses	\$136,754	\$109,068	\$27,687	25.38%	\$1,040,442	\$981,609	\$58,833	5.99%	\$1,308,812
Surplus/(Deficit)	(\$66,613)	(\$73,651)	(\$20,840)		(\$669,979)	(\$662,859)	(\$7,120)		(\$883,812)

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
MONTHLY MANAGEMENT REPORT
December-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	\$63,859	\$32,147	\$31,713	98.65%	\$557,117	\$289,319	\$267,798	92.56%	\$385,758
RRS Parking Revenue	\$124,060	\$31,929	\$92,131	288.55%	\$817,350	\$287,363	\$529,988	184.43%	\$383,150
RRS Advertising	\$12,500	\$9,783	\$2,717	27.78%	\$112,500	\$88,043	\$24,457	27.78%	\$117,391
SSTS	\$8,541	\$2,467	\$6,075	246.26%	\$25,629	\$22,200	\$3,429	15.45%	\$29,600
Greyhound	\$272	\$2,500	(\$2,228)	-89.12%	\$1,383	\$22,500	(\$21,117)	-93.85%	\$30,000
85 Watervliet Avenue	\$5,801	\$6,667	(\$866)	-12.99%	\$52,206	\$60,000	(\$7,794)	-12.99%	\$80,000
Interest Income	\$270	\$367	(\$97)	-26.37%	\$2,066	\$3,300	(\$1,234)	-37.40%	\$4,400
Total Operating Revenue	\$215,303	\$85,858	\$129,445	150.77%	\$1,568,251	\$772,724	\$795,527	102.95%	\$1,030,299
Expenses									
Labor	\$15,609	\$16,311	(\$702)	-4.30%	\$133,966	\$146,798	(\$12,831)	-8.74%	\$195,730
Fringe-Benefits	\$3,650	\$1,617	\$2,033	125.72%	\$23,063	\$14,554	\$8,509	58.47%	\$19,405
Professional Services	\$4,524	\$10,417	(\$5,893)	-56.57%	\$36,105	\$93,750	(\$57,645)	-61.49%	\$125,000
Insurance	\$2,936	\$2,417	\$520	21.50%	\$26,426	\$21,750	\$4,676	21.50%	\$29,000
Security	\$48,399	\$33,617	\$14,782	43.97%	\$151,459	\$302,550	(\$151,091)	-49.94%	\$403,400
Facilities Upkeep	\$25,885	\$24,833	\$1,051	4.23%	\$157,278	\$223,500	(\$66,222)	-29.63%	\$298,000
Facilities Repairs	\$12,262	\$8,474	\$3,788	44.71%	\$96,391	\$76,262	\$20,128	26.39%	\$101,683
Utilities	\$29,921	\$28,983	\$938	3.24%	\$259,457	\$260,850	(\$1,393)	-0.53%	\$347,800
Materials & Supplies	\$901	\$1,333	(\$432)	-32.42%	\$7,582	\$12,000	(\$4,418)	-36.82%	\$16,000
Parking Garage	\$2,426	\$40,833	(\$38,407)	-94.06%	\$220,097	\$367,500	(\$147,403)	-40.11%	\$490,000
Greyhound	\$364	\$667	(\$303)	-45.45%	\$364	\$6,000	(\$5,636)	-93.94%	\$8,000
85 Watervliet Avenue	\$6,354	\$9,395	(\$3,041)	-32.37%	\$59,819	\$84,557	(\$24,738)	-29.26%	\$112,742
SSTS	\$21,684	\$13,508	\$8,176	60.53%	\$86,663	\$121,575	(\$34,912)	-28.72%	\$162,100
Total Expenses	\$174,915	\$192,405	(\$17,490)	-9.09%	\$1,258,671	\$1,731,645	(\$472,974)	-27.31%	\$2,308,860
Surplus/(Deficit)	\$40,389	(\$106,547)	\$146,935		\$309,580	(\$958,921)	\$1,268,501		(\$1,278,561)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY MONTHLY MANAGEMENT REPORT

AGING OF ACCOUNTS RECEIVABLE

Dec-21		
	Amount	% of Total
Current	\$1,032,730	8.94%
31 - 60	\$1,323,753	11.47%
61 - 90	\$376,720	3.26%
91 - 120	\$1,314,119	11.38%
Over 120	\$7,498,293	64.94%
Total Accounts Receivable	\$11,545,615	100.00%

Nov-21		
	Amount	% of Total
Current	\$526,031	5.42%
31 - 60	\$280,109	2.89%
61 - 90	\$1,343,470	13.85%
91 - 120	\$5,834	0.06%
Over 120	\$7,542,125	77.77%
Total Accounts Receivable	\$9,697,569	100.00%

AGING OF ACCOUNTS PAYABLE

Dec-21		
	Amount	% of Total
Current	\$2,350,460	79.82%
31 - 60	\$432,284	14.68%
61 - 90	\$64,159	2.18%
90 & Over	\$97,614	3.32%
Total Accounts Payable	\$2,944,517	100.00%

Dec-21 Receivables over 120 days: \$7,498,293

Breakdown of outstanding receivables over 120 days.	
\$7,202,039	NYS DEPT. OF TRANSPORTATION
\$112,500	CITY OF ALBANY
\$100,000	BIKE SHARE MOU CONTRACTS
\$83,754	OTHER
\$7,498,293	

ADDITIONAL INFORMATION

MORTGAGE RECORDING TAX	Current Month				Fiscal Year to Date			
	Dec-21	Dec-20	Difference	%	2022	2021	Difference	%
Albany	\$603,527	\$456,784	\$146,743	32.13%	\$4,402,655	\$3,533,739	\$868,915	24.59%
Rensselaer	\$200,000	\$190,768	\$9,232	4.84%	\$2,133,243	\$1,453,293	\$679,950	46.79%
Saratoga	\$603,485	\$574,281	\$29,204	5.09%	\$4,625,247	\$4,205,769	\$419,478	9.97%
Schenectady	\$223,672	\$246,688	(\$23,016)	-9.33%	\$2,115,968	\$1,483,935	\$632,033	42.59%
Total	\$1,630,684	\$1,468,521	\$162,163	11.04%	\$13,277,112	\$10,676,737	\$2,600,376	24.36%

	<u>Current Month</u>	<u>Year To Date</u>
FY 2022	\$1,630,684	\$13,277,112
FY 2021	\$1,468,521	\$10,676,737

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
December 31, 2021**

RESTRICTED INVESTMENTS

	<u>Fund Balances</u>	<u>Current Obligations</u>
Risk Management Account (Self-Insured)	\$3,572,136	\$1,782,461
Workers' Comp. Account (Self-Insured)	\$9,083,742	\$7,520,790
Operating Account	\$3,100,450	

Current Operating Reserve Obligations

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

Current Capital Reserve Obligations

Computer Aided Dispatch/Automatic Vehicle Locator (CAD/AVL) System Upgrade	\$14,999,872	
		<hr/>
		\$931,231
		<hr/>
		\$931,231

Current Vehicle Replacement Reserve Obligations

Paratransit Fleet Replacement (6)	\$949,381	
		<hr/>
		\$61,817
		<hr/>
		\$61,817

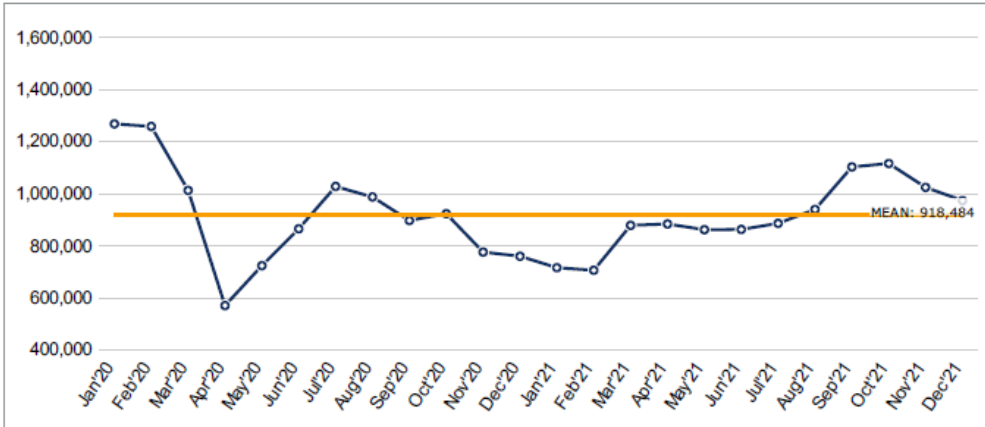
All Investment Accounts are reviewed quarterly.

Average annual returns:

Risk Management	0.33%
Workers' Compensation	0.27%
Operating Fund	0.22%
Vehicle Replacement Fund	0.29%
Capital Project	0.21%

* 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.

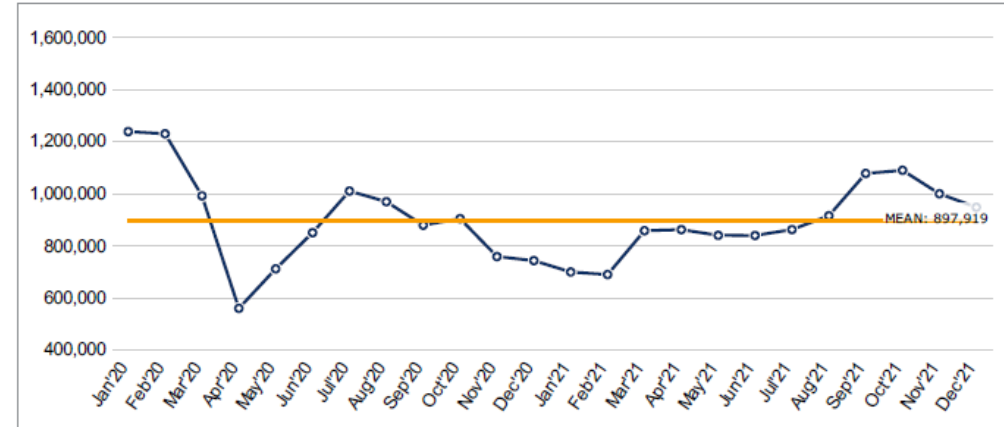
Total Riders



Previous: 760,750

Current: 974,599

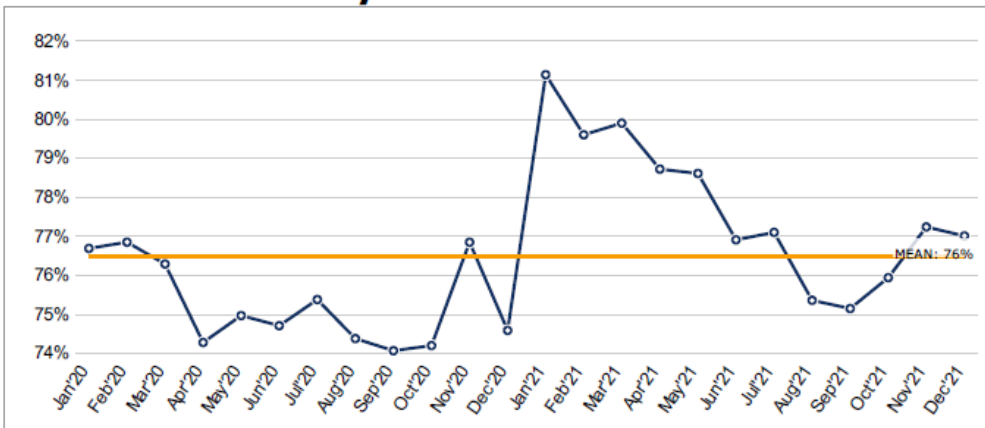
Fixed Riders



Previous: 743,876

Current: 948,967

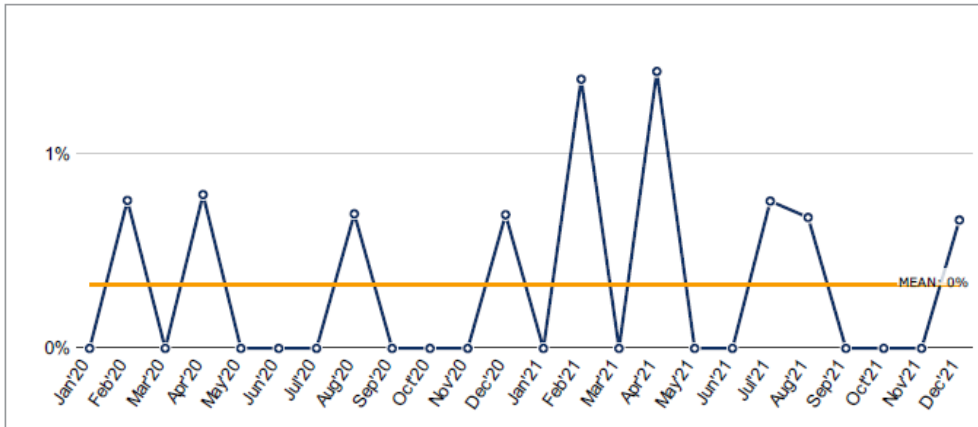
System Wide OTP



Previous: 74.59%

Current: 77.01%

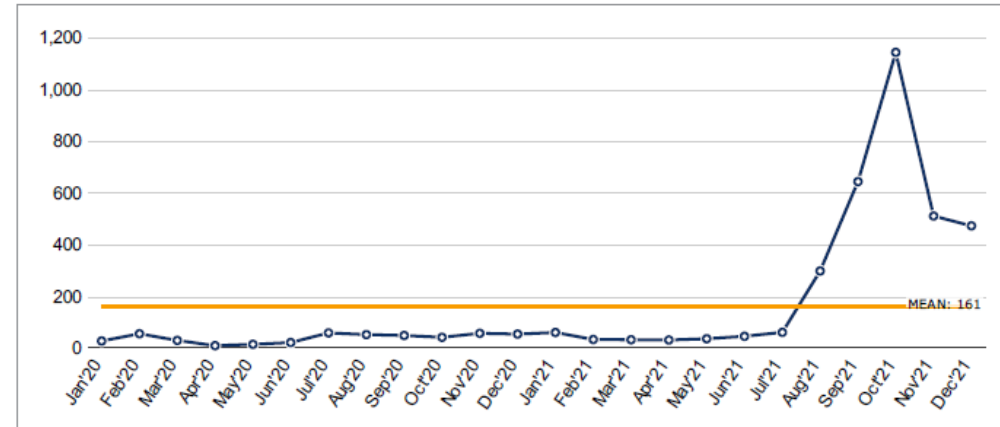
PMI Not On Time



Previous: 0.7%

Current: 0.7%

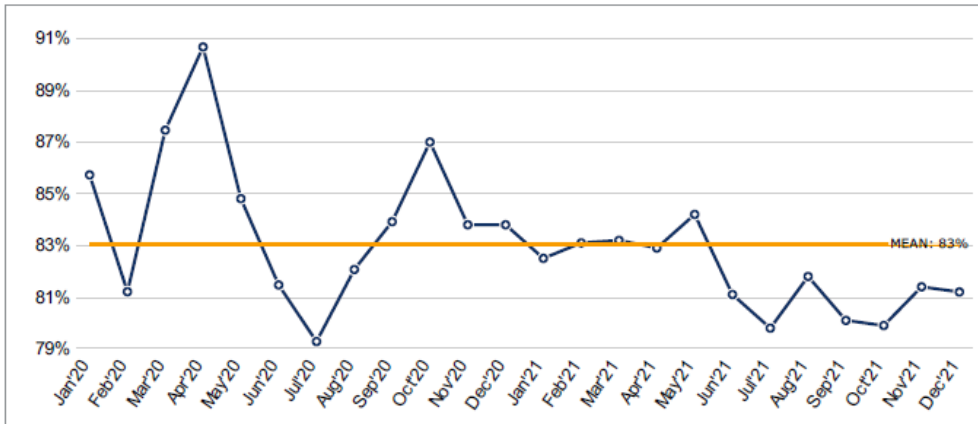
Missed Trips



Previous: 55

Current: 474

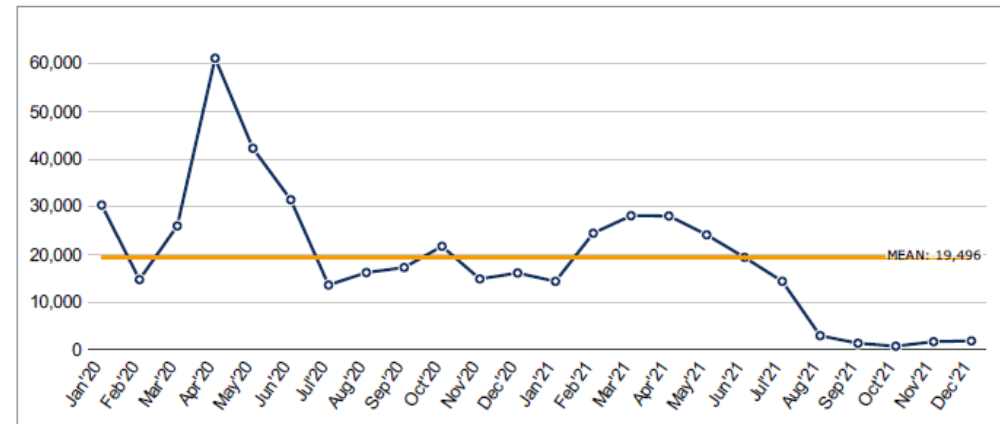
Scheduled Work



Previous: 83.8%

Current: 81.2%

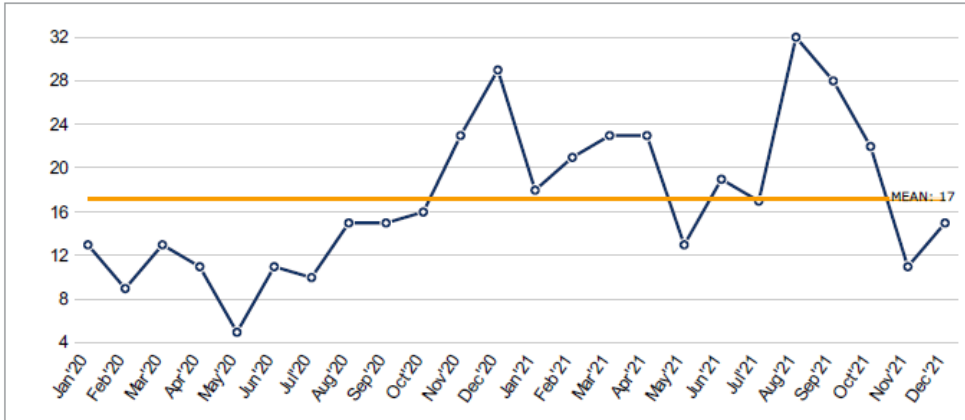
MDBSI



Previous: 16,142

Current: 1,908

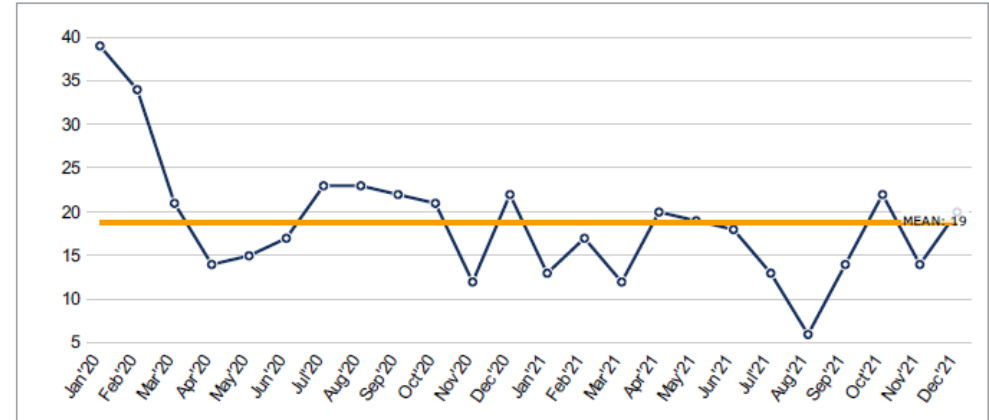
Preventable Accidents



Previous: 29

Current: 15

Non-Preventable Accidents



Previous: 22

Current: 20

Monthly Performance Report

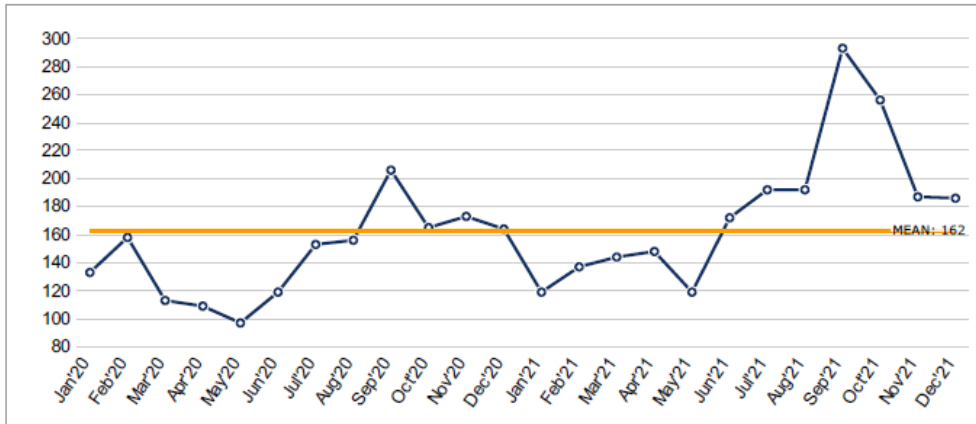
Period: Dec'21

Meeting: Jan'22

Customer Service

Page 4

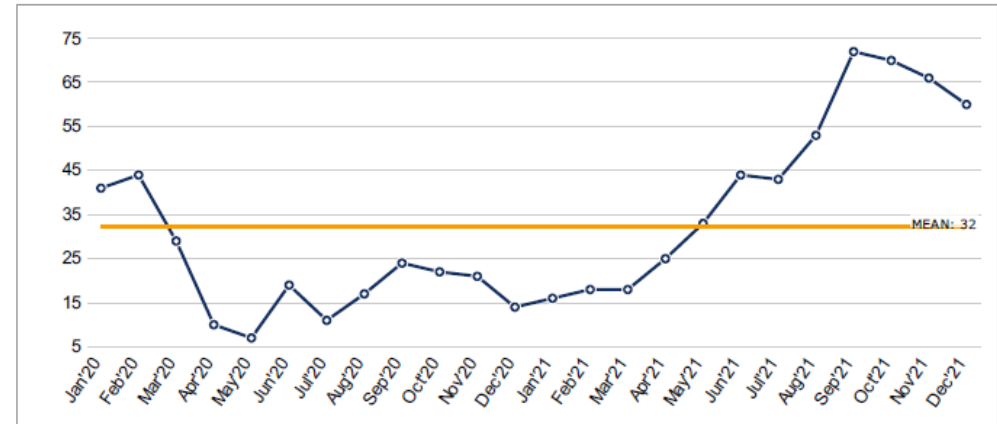
Fixed/Shuttle Complaints



Previous: 164

Current: 186

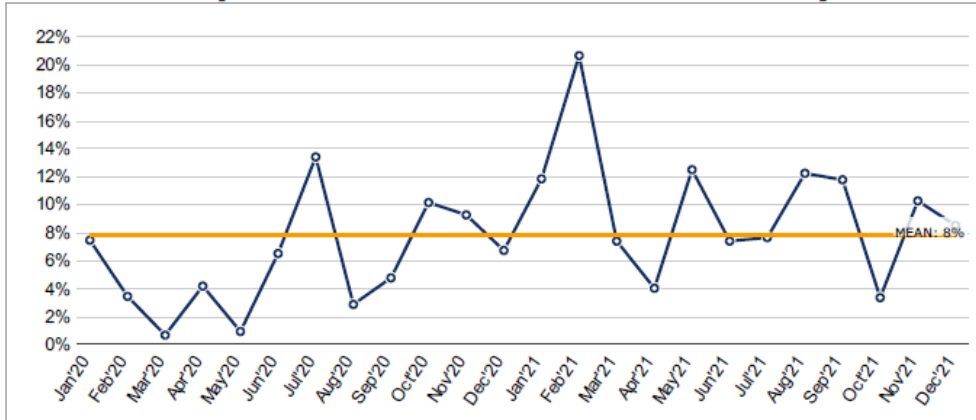
Other Complaints



Previous: 14

Current: 60

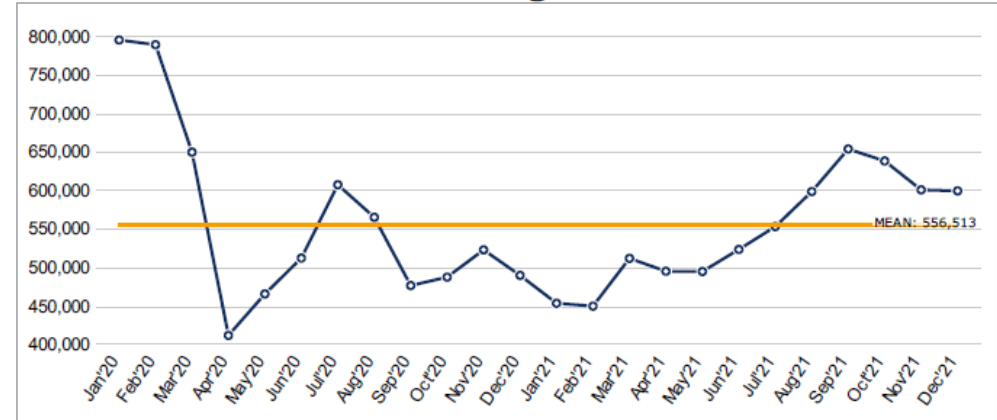
Complaints Not Addressed in Ten Days



Previous: 6.7%

Current: 8.5%

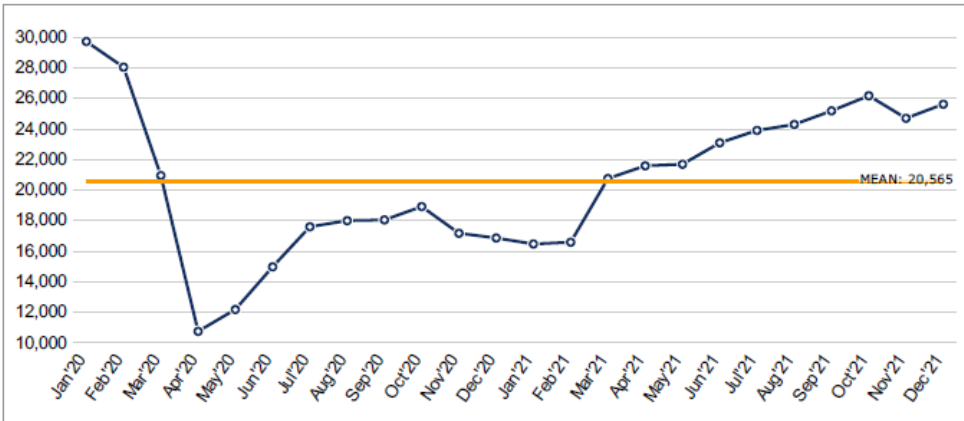
Website Page Views



Previous: 490,200

Current: 599,837

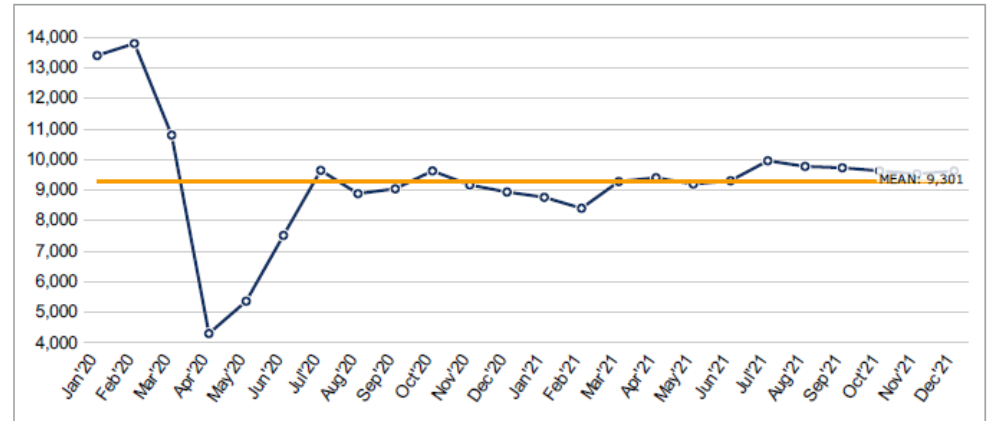
STAR Riders



Previous: 16,874

Current: 25,632

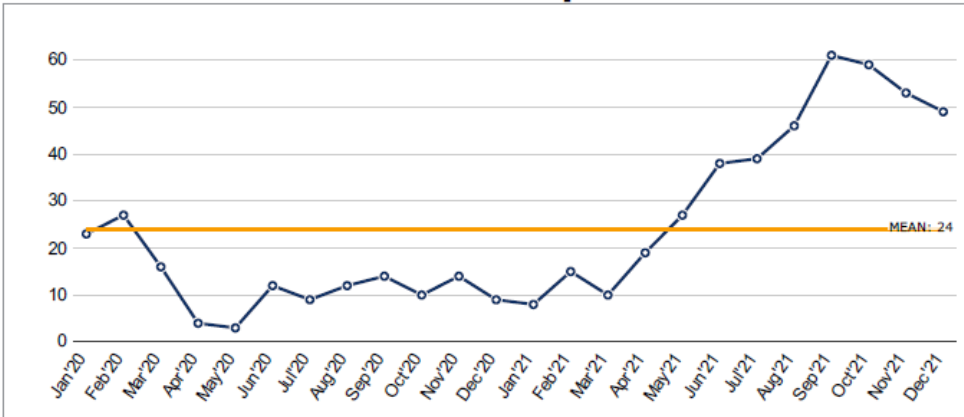
Reservation Calls



Previous: 8,942

Current: 9,633

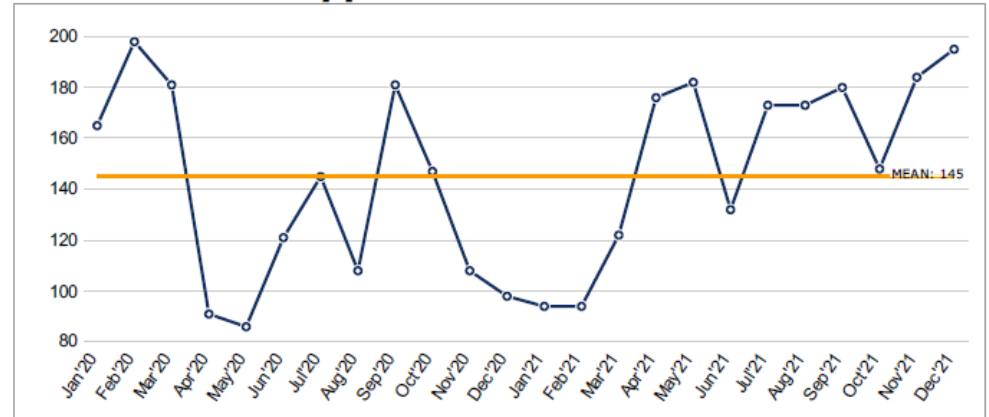
Customer Complaints



Previous: 9

Current: 49

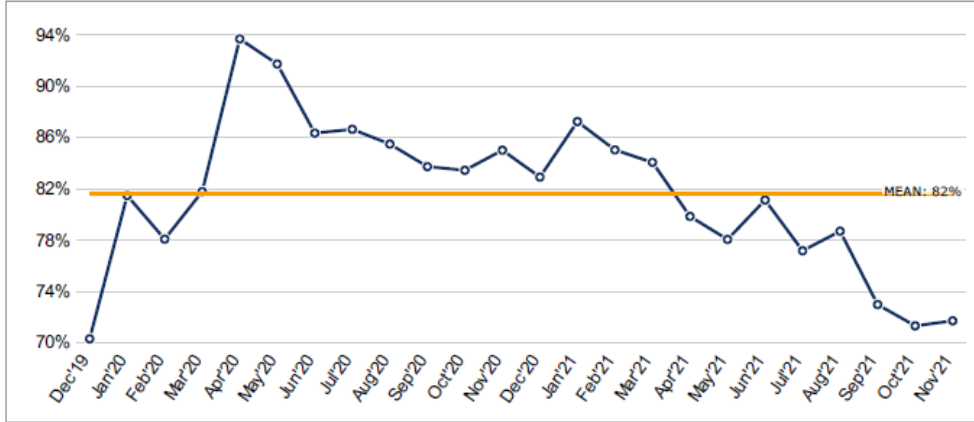
Applications Received



Previous: 98

Current: 195

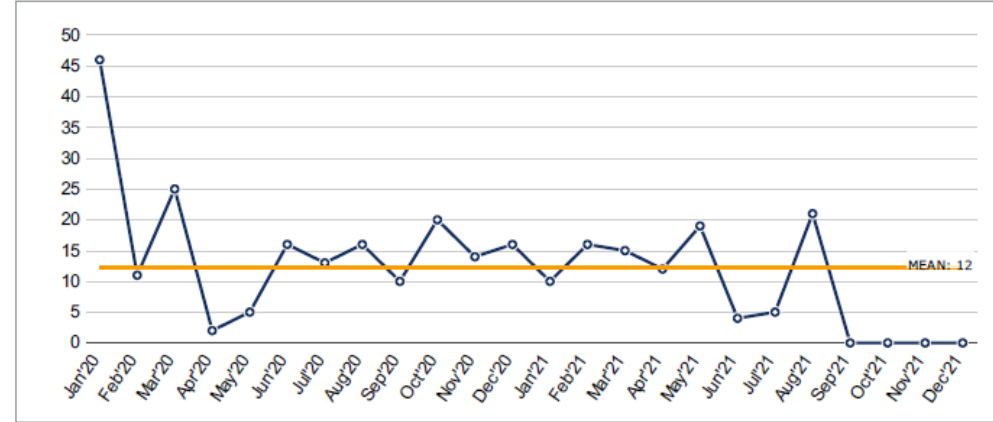
On-Time Performance (0-10 Minutes) Period: Nov'21



Previous: 85.0%

Current: 71.7%

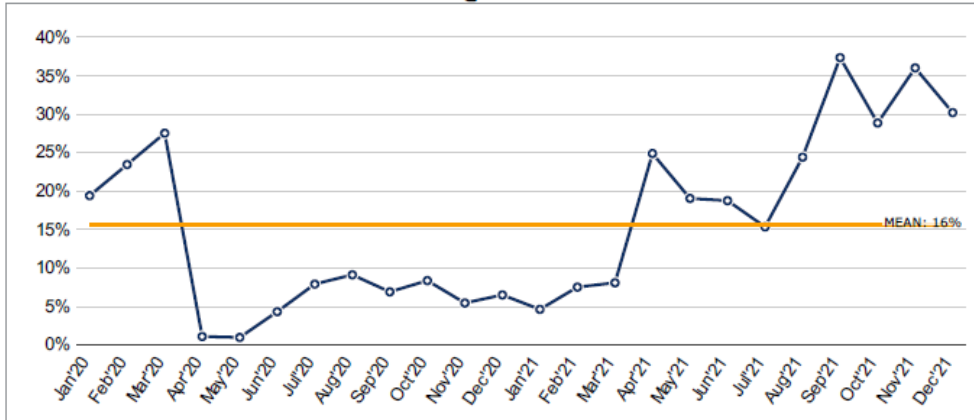
Trip Denials



Previous: 16

Current: 0

Reservation Calls in Queue Over Five Minutes



Previous: 6.5%

Current: 30.2%

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 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.