



CDTA COMMITTEE AGENDA
Performance Monitoring/Audit Committee
Wednesday, September 21, 2022 | 12:00 pm | 110 Watervliet Ave &
Via Microsoft Teams

Committee Item	Responsibility
Call to Order	Denise Figueroa
Approve Minutes of Thursday, August 25, 2022	Denise Figueroa
Consent Agenda Items	
• Approve Contract for Quality Assurance Services	Stacy Sansky
• Approve Contract for Shelter Glass	Stacy Sansky
• Approve Contract for Maintenance Uniforms	Stacy Sansky
Investment Committee	
• Update on Committee Activity/Reports	Denise Figueroa
Audit Committee	
• Quarterly Audit Report	Sarah Matrose
Administrative Discussion Items	
• TRC Maintenance Audit	Lance Zarcone
• Attendance Bonus Update	Mike Collins
• Risk Management and Workers' Compensation Report	Amanda Avery
• Monthly Management Report	Mike Collins
• Monthly Non-Financial Report	Chris Desany
 Next Meeting: Wednesday, October 19, 2022 at 12 pm via Microsoft Teams & 110 Watervliet Ave	
 Adjourn	Denise Figueroa

Capital District Transportation Authority

Performance Monitoring/Audit Committee

Meeting Minutes – August 25, 2022 at 11:40 am; 110 Watervliet Avenue, Albany

In Attendance: Denise Figueroa, Jayme Lahut, Dave Stackrow, Joe Spairana, Pat Lance, Jackie Falotico, Georgie Nugent, Dan Lynch, Mike Criscione, Carm Basile, Amanda Avery, Mike Collins, Chris Desany, Jaime Kazlo, Trish Cooper, Jon Scherzer, Stacy Sansky, David Williams, Jeremy Smith, Thomas Guggisberg, Ross Farrell, Vanessa Fox, Gary Guy, Jack Grogan, Calvin Young, Nick Chenard

Meeting Purpose

Regular monthly meeting of the Performance Monitoring/Audit Committee. Denise Figueroa noted that a quorum was present. Minutes from the June 22, 2022 meeting were reviewed and approved.

Consent Agenda Items

Approve Contract for Purchase of Batteries

- Our contract for bus batteries is about to expire, and a new contract is required. An IFB was issued for the purchase of two types of batteries. Three bids were received, and staff recommends a two-year contract to the low bidder, our incumbent, Napa Auto Parts.
- A two-year contract to Napa Auto Parts of Latham for \$229,000 will be recommended to the board for approval.

Approve Contract for Traffic Signal Priority Equipment

- Traffic Signal Priority (TSP) provides special treatment to transit vehicles to move through signalized intersections faster than automobile traffic. A contract is required for new TSP equipment on the BRT Purple Line, and for upgrades on the BRT Blue Line. The upgraded system allows for better monitoring, reporting and analytics. A sole source contract is required due to the proprietary nature of the technology; we already have the base system in place.
- A three-year contract with two one-year renewals to Global Traffic Technologies of St. Paul, MN for an amount not to exceed \$733,297 will be recommended to the board for approval.

Approve Contract for Traffic Management Services

- This action item is related to the last one, but it pertains specifically to the “video detection” part of our traffic management system. This upgrade provides detection for vehicle and passenger counts, and cloud-based data analytics. Our vendor GTT, has entered into an exclusive strategic partnership with Miovision for this equipment. The system is fully integrated with our TSP platform, and therefore excludes other vendor participation. Staff reviewed pricing and found it fair and reasonable.
- A three-year sole source contract with two, one-year extensions to Miovision Technologies Inc, of Kitchener, Ontario for an amount not to exceed \$1,151,664 will be recommended to the board for approval.

Approve Contract for Gateway Mobility Hub

- After many discussions about building a mobility hub in Schenectady, we are ready to award a construction contract to begin work. An IFB was issued, and four bids were received. Staff reviewed bids and recommends awarding a contract to the low bidder, Carver Construction.

- A contract to Carver Construction Inc, of Coeymans for an amount not to exceed \$4,011,330 will be recommended to the board for approval.

Administrative Discussion Items

- Mike Collins gave the Monthly Management Report. MRT is 37% over budget for the year; Customer fares are 15% over budget and RRS is 36% over budget. Wages are 4.5% under budget for the year due to manpower challenges and Montgomery service not starting until this week; Workers' Compensation is under budget by 54% due to less severe claims. We are in a good financial position and will make a budget adjustment in September to adjust for changes in state operating assistance.
- Chris Desany provided the non-Financial Report. Fixed route ridership is up 14% for the month, and 20% for the year; STAR ridership is up 11% for the month and 18% for the year; Fixed route on-time performance is 74% and STAR on-time performance is 78%. Missed trips continue to be high due to manpower; we expect this to continue for some time.

Next Meeting

Wednesday, September 21, 2022 at 12:00 pm via Microsoft Teams and at 110 Watervliet Ave.

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract for Quality Assurance Services to Tech Valley Security

Committee: Performance Monitoring/Audit

Committee Meeting Date: September 21, 2022

Board Action Date: September 28, 2022

Background:

The current contract for Quality Assurance Services is expiring and a new contract is required.

Purpose:

Employ an independent firm to perform service observations that include employee observations and monitoring.

Summary of Proposal:

A Request for Proposals (RFP) was issued for a firm to conduct on-board observations, ADA compliance checks and quality assurance calls. The RFP outlined the requirements for this work as well as frequency and reporting needs.

Nineteen firms downloaded the RFP and five submitted proposals. Staff reviewed all proposals and interviewed the top three firms. Staff concluded that the proposal submitted by Tech Valley Security best suits CDTA's needs. Tech Valley Security is the incumbent provider of these services, and CDTA has been satisfied with the quality of their work.

Staff recommends a three-year contract with two optional renewal years for Quality Assurance Services to Tech Valley Security of East Greenbush, New York. Upon Board approval, a contract will be executed immediately.

Financial Summary and Source of Funds:

The estimated value of the five-year contract is \$404,513, which represents a 15% increase over the last contract. This is funded in the annual operating budget.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee
From: Lance Zarcone, Vice President of Operations
Subject: Quality Assurance Services

Background:

A Request for Proposals (RFP) was issued to engage in quality assurance services for three years, with options for two annual renewals. Independent investigation services generally fall into the following categories:

- On-board observations are conducted to provide route information, passenger count, ADA adherence, safe driver operation, bus cleanliness, etc.
- General service observations are conducted for schedule adherence at time points within our transit system.
- Call center monitoring activities. Several metrics are measured including call length, calls per agent & calls answered.
- Monthly summary reports are provided that include performance summaries and recommendations.

Justification:

Five proposals were received, and the selection committee recommends Tech Valley Security of East Greenbush. Tech Valley provided the best proposal and has been the incumbent provider for the past 15 years.

Recommendation:

I recommend a contract to Tech Valley Security for three years, with options for two annual renewals.

Copy: Chief Executive Officer
Director of Procurement
Director of Maintenance

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:**

\$404,513 (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 # 19 or Advertised
Number of Proposals/Bids Received # 5

Attach Summary of Bids/Proposals

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

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

8. **LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR:** Tech Valley Security
96 Thompson Hill Road
East Greenbush, NY 12144

8. **SOURCE OF FUNDS:** Funded in the next five operating budgets starting in FY2023.

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 21, 2022

Cummulative Scorecard for CDTA TRANS 20-8000

	Customer Point of View-Atlanta, GA	Tech Valley Security-Rensselaer, NY	Alliance Risk Group-Clifton Park, NY	Tripi Detective Agency-Albany, NY	TruView BSI, LLC-Hicksville, NY
Experience with this type of Assignment/Similar Work (90 points)	84	88	67	59	81
Price Proposal (90 points)	66	85	43	42	71
Qualifications of Key Personnel Conducting Investigations (75 points)	64	64	52	51	64
References (30 points)	19	27	15	15	21
D/MWBE and/or SDVOB Participation (15 points)	15	0	6	0	15
TOTAL 300 points	248	264	183	167	252

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract for shelter glass to Provincial Contractor Services.

Committee: Performance Monitoring/Audit

Committee Meeting Date: September 21, 2022

Board Action Date: September 28, 2022

Background:

The current shelter glass contract is set to expire.

Purpose:

To provide glass for damaged shelters to maintain safe and clean waiting areas for customers.

Summary of Proposal:

An Invitation for Bids (IFB) was issued for glass replacement for our shelters. The IFB provided specific details, estimated quantities, glass quality and storage requirements. Nine vendors downloaded the IFB and a single bid was received. Staff polled the bid list to find out why other bids were not submitted. Several firms were bid clearinghouses, and others stated they did not have capacity to perform work at the scale required. Staff is satisfied that the specifications were not exclusionary and that a contract should be awarded.

Staff recommends a contract to Provincial Contractor Services, LLC (the incumbent) of Castleton, NY for the provision of shelter glass for three years with two optional renewals. Upon Board approval a contract will be executed immediately. Annual costs will vary based upon need but will not exceed \$58,000 per year.

Financial Summary and Source of Funds:

Annual Cost (NTE): \$58,000

Five Year Total: \$290,000

This is funded in the annual operating budget.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Jeremy Smith, Director of Facilities

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee

From: Christopher Desany, Vice President of Planning & Infrastructure

Subject: Recommendation for Shelter Glass Repair/replacement

Background

CDTA seeks to ensure that our customers have safe, convenient and clean places to wait for buses, and that we are projecting a professional image. From time-to-time vandalism, accidents and weather events cause damage to our shelter glass. It is important to have a contractor available for repairing and replacing this glass in the shelters throughout our system.

CDTA issued an Invitation for Bid to install six different styles of glass (including tempered, Lexan, and plexiglass) that may be in our shelters. The pricing also included the storefront sash (framing system) and cost for glazing gaskets. We received one response from PCS (the incumbent). CDTA has been very satisfied with PCS's performance in the past.

There is no guarantee or requirement for the minimum number of glass units to install. The contract amount is based on unit prices for a specific thickness and style of glass to be replaced.

Recommendation

I recommend awarding a three-year contract with two optional one-year extensions for the shelter glass repair and replacement to PCS of Castleton, NY in an amount not to exceed \$58,000 annually. The actual cost will be based on the unit prices provided in the bid, and the total amount work assigned in that year.

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:**
\$290,015 (five yr) 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 # 9 and Advertised
Number of Proposals/Bids Received # 1

Attach Summary of Bids/Proposals

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

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

8. **LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR:** Provincial Contractor Services LLC
1572 Columbia Turnpike
Castleton, NY 12033

8. **SOURCE OF FUNDS:** Funded in the operating budgets starting with FY2023.

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 21, 2022



Bid Summary



Contract Name: Bus Shelter Glass Replacement

Contract No: CDTA FAC 206-2000

Date/Time of Opening:

September 8, 2022 1PM

Bidder Contact Information	Base Bid/Lump Sum Price	Bid Alternate- If Applicable	Subcontractors If known/as applicable (Names only)	DBE/MWBE/SDVOB Status
Name: Provenical Contractor Service Address: 2431 Old Coach Rd Castleton, NY 12033 Contact: Mark Teliska Email: mteliska@pcs-ny.com Phone: 518.365.4775	Install 1/4" glass \$21.12/sf Install 3/16" glass 21.12/sf Material cost 1/4" glass 14.52/sf Material cost 3/16" glass \$13.96/sf Material cost for 1/4" lexan glass \$13.88/sf Material cost for 1/4" plexiglass \$9.30/sf Material Cost for storefront sash \$17/sf Material Cost for Glazing Gasket \$2.60/sf	Alternate 1: Alternate 2:	1 2 3 4 5	DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __
Name: Address: Contact: Email: Phone:	\$ _____ Total w/selected Alternates: \$	Alternate 1: Alternate 2:	1 2 3 4 5	DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __
Name: Address: Contact: Email: Phone:	\$ _____ Total w/selected Alternates: \$	Alternate 1: Alternate 2:	1 2 3 4 5	DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __
Name: Address: Contact: Email: Phone:	\$ _____ Total w/selected Alternates: \$	Alternate 1: Alternate 2:	1 2 3 4 5	DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __
Name: Address: Contact: Email: Phone:	\$ _____ Total w/selected Alternates: \$	Alternate 1: Alternate 2:	1 2 3 4 5	DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __ DBE __ MBE __ WBE __ SDVOB __
I, Carm Basile Chief Executive Officer of The Capital District Transportation Authority hereby certify that the above is a true, complete and accurate record of the bids received on the date and time listed above for this project.		Signature: _____		

Capital District Transportation Authority Agenda Action Proposal

Subject: Contract to lease of maintenance uniforms from Ulster Uniform Service.

Committee: Performance Monitoring/Audit

Committee Meeting Date: September 21, 2022

Board Action Date: September 28, 2022

Background:

The current contract for maintenance uniforms is set to expire and a new one is needed.

Purpose:

To provide clean uniforms that meet safety and environmental requirements for maintenance employees.

Summary of Proposal:

A Request for Proposals (RFP) was issued to lease uniforms for maintenance employees. Three proposals were received, but one was deemed not responsible, and one not responsive. A new RFP was issued with more detailed instructions for submittal requirements. As a result of the new RFP, a single proposal was received from the incumbent provider, Ulster Uniform Service. Staff is satisfied with this proposal. Uniform rental companies are limited to a few vendors in this area and two of them have performed unfavorably under previous contracts with us. This procurement was advertised in local and state-wide publications as well as minority-focused publications and the CDTA website.

Staff recommends a contract be awarded to Ulster Uniform Service of Kingston, New York for the lease of maintenance uniforms for a term of three years with two optional renewal years for \$55,100 per year. This represents a 14% price increase over the previous contract. Upon Board approval a contract will be executed immediately.

Financial Summary and Source of Funds:

Contract minimum value is \$275,530 over five years. Actual costs may increase or decrease based on number of maintenance employees. This is funded in our operating budget.

Prepared by:

Stacy Sansky, Director of Procurement

Project Manager:

Lance Zarcone, Vice President of Operations

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee

From: Lance Zarcone, Vice President of Operations

Subject: Approve Contract for Maintenance Uniforms

Overview

Uniforms for all maintenance employees are rented instead of purchased. Since uniforms are subject to harsh conditions, using a laundered service is much better than cleaning these uniforms at home. Employees are provided five complete uniform sets per week and a locker is provided for each employee to store clean uniforms. Additionally, entry floor mats for all CDTA locations are provided by this company. As with uniforms, they are cleaned and maintained by the vendor.

Many companies have moved away from providing a uniform laundering service, and as a result, few vendors remain. Many smaller vendors have been purchased by larger vendors further limiting options.

Historically, uniform contracts have required significant management oversight because vendors have been difficult to work with. In 2018, CDTA was not able to implement a new contract with an awarded vendor and ultimately terminated the process. Ulster Uniform Service stepped in and quickly got a new program up and running. Ulster has provided satisfactory service over the course of this contract.

Recommendation

I recommend a three-year contract with two, one-year extensions be awarded to Ulster Uniform Service of Kingston, New York for maintenance uniforms for an amount not to exceed \$275,530.

Copy: Chief Executive Officer
Director of Maintenance
Director of Procurement

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

1. TYPE OF CONTRACT (check one):

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

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:

\$275,530 (over five years) 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)
 Sealed Bid/Invitation for Bids (IFB) (Over \$100,000)
 Professional Services (Over \$25,000)
 Small Purchases (\$25,000 up to \$100,000)
 Request for Proposals (RFP)
 Sole or Single Source (Non-Competitive)

6. SELECTION CRITERION USED:

Number of Proposals/Bids Solicited # 12 and Advertised
Number of Proposals/Bids Received # 1

Attach Summary of Bids/Proposals

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

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

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: Ulster Uniform Service, Inc.
541 Broadway
Kingston, NY 12401

8. SOURCE OF FUNDS: The next five Operating Budgets starting in FY2023

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 21, 2022

Memorandum

September 21, 2022

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
 - Worked with Finance to develop an organizational wide progressive initiative to reduce paper long term storage and create efficiencies across all departments.
 - Creation of a Document Retention Schedule and Policy to create standard record keeping processes and reduce redundancies.
 - Development of an electronic record keeping program
 - Over 100 bankers' boxes earmarked for electronic storage instead of physical storage from the 2nd floor renovation project.
- Safety Management Systems (SMS) Audit
 - The Bipartisan Infrastructure Law created new requirements of transit agencies, with one area being additional requirements within the agencies Public Transportation Agency Safety Plans (PTASP).
 - Internal Audit has been working with Safety & Training to ensure compliance and these new regulations and an audit program has been created to continuously improve the initiatives set forth in the plan to create a culture aware of the importance of safety company wide.
- STAR Paratransit Operations 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.
 - Extensive work with the STAR department on enhancing the application review process as well as the appeals process.
- Annual Risk Assessment & Audit Plan Update
 - Designed a risk-based annual audit 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.

Professional Development Items:

- Inducted as the President of the Albany chapter of the Institute of Internal Auditors (IIA)
- Attended the Future of the IPPF (International Professional Practices Framework) webinar
- Participated in the Audit Leadership Roundtable of the APTA Audit Committee of Audit Professionals



**Capital District Transportation Authority
Internal Audit Work Plan (2022-2023)**

04/01/22 – 03/31/23			
TRADITIONAL AUDIT SERVICES			
Finance & Administration Audits			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Human Resources	Return to Work (Leaves of Absence)	150	Q3
Procurement	Buy America	100	Q4
Risk Management Audits			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Safety	Public Transportation Agency Safety Plan	60	Q2
Information Technology Audits			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Information Technology	Data Privacy and Integrity	350	Q3
Information Technology	Cybersecurity Review	150	Q4
All Business Units			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Company Wide	Bipartisan Infrastructure Law	100	Q2-Q3
Company Wide	EEO Program	100	Q2
OTHER TRADITIONAL AUDIT SERVICES			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Company Wide	Internal Controls / Risk Universe	200	Ongoing
Company Wide	Risk Assessment / Annual Planning	60	Q3
Company Wide	Audit Follow-Up	80	Ongoing
PROACTIVE ADVISORY SERVICES			
Department	Auditable Unit	Budgeted Hours	Expected Completion
Committees	PM/A, SOP, CSR, Board	80	Monthly
Company Wide	Management Requests	300	As Needed
TOTAL BUDGETED AUDIT HOURS		1540	

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee

From: David Williams, Director of Maintenance

Subject: Annual Fleet Inspection

Background

We recently conducted our annual audit of the fleet, facilities, and review of our compliance with safety regulations and record keeping. The Transit Resource Center, based in Oviedo, Florida, performs the audit. The audit team comprises industry experts skilled in maintenance systems, standards, and vehicle technology. Because of our long-standing relationship (17 audits), the team is familiar with our operation, staff, and capabilities. We work with them to improve the audit process, reporting, and employee expectations. We are one of the few transit systems that engage in an annual self-assessment of our maintenance operation. Because of the longevity and integrity of the program, our employees have embraced it and look at it in a competitive yet friendly way.

TRC staff inspects 70 buses or approximately 30% of our fleet. TRC randomly selects buses to ensure that all vehicle types are represented from each operating division. Bus inspections are completed per State and Federal standards, recording all defects. A small number of vehicles are selected for a records review. TRC auditors take note of the condition of our maintenance shops, cleanliness, adherence to safety standards, and record management.

The inspection process occurs over two weeks with buses selected by TRC and assigned to their staff for a predetermined time. Inspections occur on our properties, and there is minimal disruption to our operation during the audit period. TRC also inspects our buses used for NX service; these are performed on the contractor's property (Upstate Transit).

Reporting Period

Their report covers findings from the audit conducted May 9-20, 2022. Due to Covid, no audits were completed in 2020 and 2021. The previous audit was conducted in October 11, 2019.

Methodology

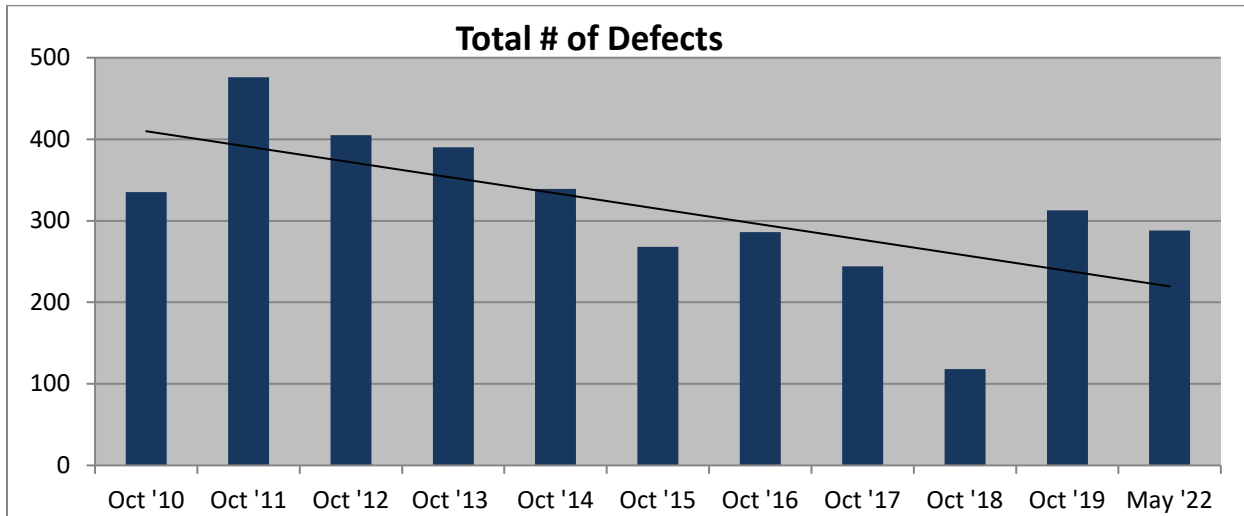
The TRC auditors use an industry-accepted process to sample and inspect buses. They perform a full inspection of each vehicle to ascertain its condition and availability for service. They categorize defects as A-type or B-type. This designation denotes the severity of defects and their impact on service reliability.

- **A Defect** – An "A" defect requires immediate attention and repair. Once identified, it would keep a bus from returning to service if not corrected. "A" defects include inadequate brakes and tire tread, non-functioning turn signals, and major oil or fuel leaks.

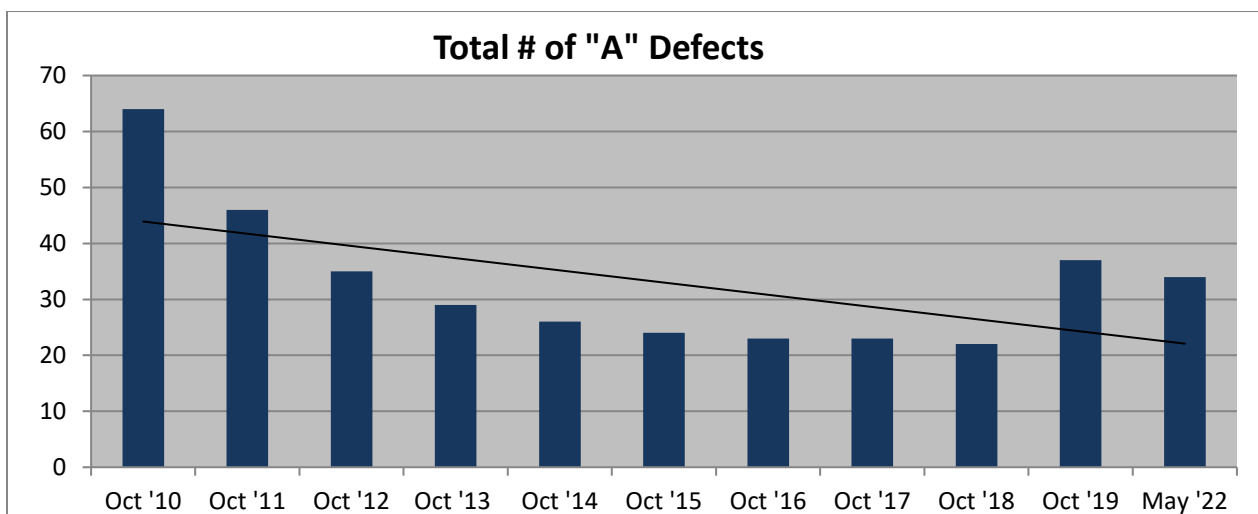
- B Defect** – A "B" defect requires attention before the vehicle's next service inspection (it would not necessarily require a bus to be held from service). A "B" defect includes loose grab rails, exterior damage, leaky windows, and minor oil leaks.

Summary of Findings

During this audit, 70 buses were inspected, and 288 defects were observed. This is an average of 4.1 defects per bus. In the 2019 audit, there were 313 defects or 4.5 defects per bus. 34 "A" defects were observed, slightly down from the 37 "A" defects found in the last audit. Schenectady saw the highest average of "A" defects of the three locations,



Most recorded defects are in the "B" category (254). "B" defects are exterior, interior, and engine compartment issues. Most of these are cosmetic, with a good number observed on older Gillig buses.



TRC staff reviews our Preventive Maintenance Inspection (PMI) program for timely performance and attention to detail. TRC randomly examined records of 15 buses to determine if preventive maintenance inspections (PMIs) were completed at the scheduled 6,000-mile interval. The Federal Transit Administration maintenance standards call for a PMI performance expectation of 80%, and the audit revealed that 100% of PMIs were completed on time.

The audit includes inspections of garages, emphasizing cleanliness, order, and adherence to established safety standards. Albany and Troy's facilities benefited from many upgrades to accommodate the new BRT lines. Both facilities saw building expansions, new lifts for articulated buses, and forepersons offices. Albany relocated its employee parking to expand the facility and reduce passenger cars. The Schenectady facility was reported to be well-kept, the eye station was clean, and there were no trip hazards. All three locations have replaced outdated wash racks. The Safety Data Sheets (SDS) was upgraded several years ago. However, technicians would benefit from training to navigate the system better.

This year's TRC audit report indicates a decrease in total defects compared to 2019. Although we see a reduction in "A" and "B" defects, there were a slight increase in ADA and body-related defects in this year's audit. As a result, we will shift our training strategy to emphasize wheelchair securement and ramps and continue to work with our body shop to correct body-related defects. However, we did see a significant decrease in the Engine compartment and Interior defects.

Conclusions and Action Items

- **Enhance Quality Assurance program.** Quality assurance (QA) is designed to ensure that quality is built into the repair process. We will continue to have foreman and trainers perform QA checks to ensure a quality control inspector reviews all repairs. We will also discuss corrective action with the technician to help reduce road calls and other unscheduled work.
- **Internal audits of our fleet.** We will randomly select a small percentage of our fleet and have the Technical Trainers mirror the annual audit that TRC performs.
- **Training.** Training staff will conduct refresher PMI training emphasizing Accessibility Features/ADA and the electronic SDS system.
- **Exterior condition campaign.** Conduct fleet-wide assessment and adjust body shop personnel across shifts to handle the increased workload.

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee

From: Mike Collins, Vice President of Finance & Administration

Subject: Update on the Attendance Bonus Pilot Program

Summary

We introduced a pilot program to incentivize and reward employees for good attendance. The purpose of this program was to help recruit and retain employees and to improve attendance.

Starting May 15, 2022, we implemented a weekly attendance bonus program for all full-time (non-management) employees. An employee receives \$100 if they complete *all* scheduled work during the week. All full-time members of the ATU, in all departments, regardless of seniority are eligible for this incentive.

The program is straight forward. If an employee comes to work every day during the week, without any attendance deviations, the employee receives an extra \$100 in their paycheck for that week. The program resets each week, so employees would be eligible the next week.

Program Performance

Before the program began, we had an overall absentee rate of 10.5%. After four months, the absentee rate fell to about 10%. Although there was some improvement, it wasn't much. About 70% of our employees in any given week qualify for the attendance bonus, but we are having a difficult time improving upon this rate. We have spent close to \$800,000 on bonuses.

Conclusion

We don't know how many employees would have left employment if it wasn't for this incentive program. The pilot will run another couple of months, probably through the end of the year. We hope to see improvement, but if not, we will look to reconfigure the program.

Copy: Chief Executive Officer
Director of Human Resources

Memorandum

September 21, 2022

To: Performance Monitoring/Audit Committee

From: General Counsel

Subject: Risk Management and Workers Compensation Self-Insurance Accounts,
as of 7/1/22

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

1. Risk Management:

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

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

- **Projected Losses** (incurred but unpaid): \$1,918,711
(increase of \$54,300 (+2.9%) for the quarter)
- **Self-Insured Retention** (one) \$2,000,000
- **Market Value of Account:** \$3,512,144
(decrease of \$8,435 (-.24%) for the quarter)

2. Workers Compensation:

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

- **Projected Claims:** \$7,476,847
(increase of \$86,325 (+1.17%) for the quarter)
- **Market Value of Account:** \$9,387,944
(increase of \$362,237 (+4.01%) for the quarter)

3. Liability/Auto Claims:

As of 7/1/22, we had 41 pending liability claims, 32 of which were in suit. A number of inactive cases have been closed out. The majority of the active claims are in various stages of discovery, while a few have been referred to outside counsel and are nearing trial or other final disposition. As of 7/1/22, CDTA had 17 liability claims with reserves of \$10,000 or more, including 11 liability claims with reserves of \$25,000 or more. It is always our intention to carry adequate funds to cover the aggregate value of anticipated losses.

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

Copy: Chairperson, Performance Monitoring Committee
Chief Executive Officer
Vice President of Finance & Administration

Monthly Management Report

August 2022

The logo for CDTA (California Department of Transportation) is located in the bottom right corner. It features the letters 'CDTA' in a bold, white, sans-serif font. The letters are stylized with horizontal lines passing through them, giving it a sense of motion and speed. The background of the slide is a dark blue gradient with a faint, abstract pattern of lines and shapes, suggesting a complex network or infrastructure.

Monthly Management Report - August 2022

Executive Summary

			Current Month		Year to Date	
REVENUE	Actual	Budget	(\$ Variance)	(%) Variance	(\$ Variance)	(%) Variance
1 Mortgage Tax	\$ 1,271,839	\$ 1,045,833	\$ 226,006	21.61%	\$ 1,762,171	33.70%
2 Customer Fares	\$ 1,408,031	\$ 1,214,083	\$ 193,948	15.97%	\$ 901,292	14.85%
3 RRS & Facilities	\$ 208,978	\$ 159,409	\$ 49,569	31.10%	\$ 275,493	34.56%
EXPENSES						
EXPENSES	Actual	Budget	(\$ Variance)	(%) Variance	(\$ Variance)	(%) Variance
4 Wages	\$ 4,719,963	\$ 4,670,521	\$ 49,442	1.06%	\$ (806,925)	-3.46%
5 Health Benefits	\$ 837,263	\$ 1,004,239	\$ (166,976)	-16.63%	\$ (712,258)	-14.19%
6 Workers' Compensation	\$ 190,675	\$ 248,893	\$ (58,218)	-23.39%	\$ (591,033)	-47.49%
7 Utilities	\$ 130,500	\$ 85,935	\$ 44,565	51.86%	\$ 118,640	27.61%
					YTD Revenue	6.45%
					YTD Expenses	-6.05%

Revenue Summary

- 1 MRT remains strong despite higher interest rates. Is over budget 34% for the year.
- 2 Customer Fares continue to improve; revenue is 16% over budget for the month and 15% for the year.
- 3 RRS continues to exceed budget projections and is over budget by 35% for the year.

Expense Summary

- 4 Wages are just over budget this month, but 3.5% under budget for the year.
- 5 Health Benefits are under budget by 14% for the year due to less headcounts.
- 6 Workers' Compensation is under budget by 47% YTD because of fewer scheduled loss of use awards due to a backlog of hearings at the WC Board.
- 7 Utilities is over budget by 27% for the year, with the expectation that energy pricing will get worse. National Grid has increased prices by more than 40% this year.

Note We are in a satisfactory budget position.

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

	Aug-22	Aug-21
Assets		
Current Assets:		
Cash	\$33,184,997	\$15,629,574
Investments	\$23,753,791	\$32,235,876
Receivables:		
Mortgage Tax	\$1,271,836	\$1,472,865
Federal Grants	\$0	\$0
New York State Operating Assistance	\$0	\$0
Trade and Other	\$5,742,053	\$9,420,923
Advances to Capital District Transportation Committee	\$1,237,721	\$1,135,116
Materials, Parts and Supplies	\$5,359,893	\$5,171,978
Prepaid Expenses	\$722,855	\$754,369
Sub-Total Current Assets	\$71,273,146	\$65,820,702
Noncurrent Assets:		
Capital Assets, net	\$127,765,341	\$120,558,838
Deferred outflows of resources:		
Deferred outflows of resources related to OPEB	\$14,832,009	\$17,641,144
Deferred outflows of resources from pension	\$5,680,235	\$4,350,993
Sub-Total Deferred outflows of resources:	\$20,512,244	\$21,992,137
Total for Assets	\$219,550,732	\$208,371,678
Liabilities		
Current Liabilities:		
Accounts Payable	\$14,353,097	\$4,428,626
Accrued Expenses	\$5,860,571	\$6,098,721
Unearned Revenue	\$17,445,978	\$13,673,966
Line of Credit	\$0	\$0
Sub-Total Current Liabilities	\$37,659,646	\$24,201,313
Noncurrent Liabilities:		
Capital Lease Agreement	\$1,137,185	\$2,321,655
Estimated Provision for Existing Claims and Settlements	\$10,220,756	\$9,783,821
Other postemployment benefits	\$83,355,200	\$85,491,074
Net Pension Liability	\$23,844	\$5,982,206
Sub-Total Noncurrent Liabilities	\$94,736,985	\$103,578,756
Deferred inflows of resources:		
Deferred inflows of resources from pension	\$7,188,915	\$326,095
Deferred inflows of resources from OBEP	\$33,307,240	\$32,213,820
Sub-Total Deferred inflows of resources	\$40,496,155	\$32,539,915
Total for Liabilities	\$172,892,786	\$160,319,984
Net Position		
Net Investment in Capital Assets	\$108,241,228	\$108,241,228
Unrestricted	(\$61,583,284)	(\$60,189,536)
Total for Net Position	\$46,657,944	\$48,051,692
Total Liabilities and Net Position	\$219,550,731	\$208,371,677

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
CONSOLIDATED STATEMENT OF OPERATIONS
August-22**

	<u>To Date Actual</u>	<u>Annual Budget</u>	42%
REVENUE:			
AUTHORITY	\$7,052,205	\$12,660,000	56%
TRANSIT	\$42,335,738	\$99,233,918	43%
ACCESS	\$170,329	\$425,000	40%
CDTA FACILITIES	\$1,135,038	\$2,030,299	56%
TOTAL REVENUE	\$50,693,310	\$114,349,217	44%
EXPENSE:			
AUTHORITY	\$7,644,772	\$17,814,081	43%
TRANSIT	\$35,866,905	\$92,956,204	39%
ACCESS	\$504,111	\$1,270,072	40%
CDTA FACILITIES	\$842,733	\$2,308,860	36%
TOTAL EXPENSE	\$44,858,520	\$114,349,218	39%
 Revenue over (under) Expenses	 \$5,834,791		
Depreciation	<u>\$5,500,000</u>		
Excess of Revenue over (under) Expenses	\$334,791		
Transfer from Capital Project Fund	\$0		
Transfer to Risk Mngt Fund	\$0		
Transfer from Risk Mngt Fund	\$250,015		
Transfer from Vehicle Replacement	\$0		
Transfer to Vehicle Replacement	\$0		
Transfer to Capital Projects Fund	\$0		
Transfer from Operating Fund	\$0		
Transfer to Operating Fund	\$0		
Transfer from Worker's Comp Fund	\$0		
Transfer to Worker's Comp Fund	<u>(\$1,081,148)</u>		
 *Net Excess of Revenue over (under) Expenses	 (\$496,342)		
*Contribution to required fleet replacement.			

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

August-22

BUDGET VARIANCE REPORT

	CONSOLIDATED								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Mortgage Tax	\$1,271,839	\$1,045,833	\$226,005	21.61%	\$6,991,337	\$5,229,167	\$1,762,171	33.70%	\$12,550,000
Customer Fares	\$1,408,031	\$1,214,083	\$193,948	15.97%	\$6,971,708	\$6,070,416	\$901,292	14.85%	\$14,568,999
Advertising Revenue	\$135,417	\$116,042	\$19,375	16.70%	\$677,083	\$580,208	\$96,875	16.70%	\$1,392,500
RRS & Facilities	\$208,978	\$159,409	\$49,569	31.10%	\$1,072,538	\$797,045	\$275,493	34.56%	\$1,912,908
Interest Income	\$138	\$1,667	(\$1,529)	-91.71%	\$3,594	\$8,333	(\$4,739)	-56.87%	\$20,000
Misc. Income	\$21,656	\$11,542	\$10,114	87.63%	\$97,525	\$57,708	\$39,816	69.00%	\$138,500
Total Operating Revenue	\$3,046,058	\$2,548,576	\$497,482	19.52%	\$15,813,785	\$12,742,878	\$3,070,907	24.10%	\$30,582,907
Operating Assistance									
New York State Aid	\$4,094,800	\$4,094,800	\$0	0.00%	\$20,473,999	\$20,474,000	\$0	0.00%	\$49,137,600
County Aid	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,001
Federal Aid	\$2,575,494	\$2,575,494	\$0	0.00%	\$12,877,468	\$12,877,468	\$0	0.00%	\$30,905,923
Operating Grants	\$150,482	\$150,482	\$0	0.00%	\$752,411	\$752,411	\$0	0.00%	\$1,805,786
Total Operating Assistance	\$6,980,526	\$6,980,526	\$0	0.00%	\$34,902,628	\$34,902,629	\$0	0.00%	\$83,766,310
Total Revenue and Assistance	\$10,026,584	\$9,529,101	\$497,482	5.22%	\$50,716,413	\$47,645,507	\$3,070,907	6.45%	\$114,349,217
Expenses									
Salaries and Wages	\$4,719,963	\$4,670,521	\$49,442	1.06%	\$22,545,681	\$23,352,606	(\$806,925)	-3.46%	\$56,046,254
FICA	\$343,025	\$330,229	\$12,796	3.87%	\$1,634,348	\$1,651,146	(\$16,798)	-1.02%	\$3,962,750
Health Benefits	\$837,263	\$1,004,239	(\$166,977)	-16.63%	\$4,308,938	\$5,021,196	(\$712,258)	-14.19%	\$12,050,871
Workers Compensation	\$190,675	\$248,893	(\$58,218)	-23.39%	\$653,432	\$1,244,466	(\$591,033)	-47.49%	\$2,986,718
Other Benefits	\$345,378	\$405,457	(\$60,079)	-14.82%	\$1,816,915	\$2,027,286	(\$210,371)	-10.38%	\$4,865,487
Professional Services	\$273,674	\$392,479	(\$118,805)	-30.27%	\$1,491,910	\$1,962,394	(\$470,484)	-23.98%	\$4,709,745
Materials & Supplies	\$131,182	\$166,169	(\$34,986)	-21.05%	\$841,791	\$830,843	\$10,948	1.32%	\$1,994,023
Miscellaneous	\$69,235	\$65,571	\$3,664	5.59%	\$343,749	\$327,855	\$15,893	4.85%	\$786,853
Purchased Transportation	\$766,005	\$778,591	(\$12,586)	-1.62%	\$3,795,674	\$3,892,956	(\$97,282)	-2.50%	\$9,343,094
Maintenance Services	\$224,523	\$280,438	(\$55,916)	-19.94%	\$1,447,636	\$1,402,191	\$45,445	3.24%	\$3,365,258
Liability - Claims	\$48,355	\$31,573	\$16,782	53.15%	\$233,208	\$157,865	\$75,343	47.73%	\$378,875
Utilities	\$130,500	\$85,935	\$44,565	51.86%	\$548,315	\$429,675	\$118,640	27.61%	\$1,031,220
Fuel	\$411,096	\$487,271	(\$76,175)	-15.63%	\$2,154,643	\$2,436,354	(\$281,711)	-11.56%	\$5,847,249
Parts, Tires, Oil	\$546,435	\$497,398	\$49,038	9.86%	\$2,550,176	\$2,486,990	\$63,187	2.54%	\$5,968,775
General Insurance	\$80,819	\$84,337	(\$3,518)	-4.17%	\$398,659	\$421,686	(\$23,027)	-5.46%	\$1,012,046
Total EXPENSES	\$9,118,128	\$9,529,101	(\$410,973)	-4.31%	\$44,765,074	\$47,645,507	(\$2,880,433)	-6.05%	\$114,349,217
Surplus/Deficit	\$908,455	(\$0)	\$908,455		\$5,951,339	(\$1)	\$5,951,340		(\$0)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
August-22

BUDGET VARIANCE REPORT	NON-TRANSIT								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Mortgage Tax	\$1,271,839	\$1,045,833	\$226,006	21.61%	\$6,991,337	\$5,229,167	\$1,762,170	33.70%	\$12,550,000
Interest Income	\$116	\$1,667	(\$1,551)	-93.04%	\$3,554	\$8,333	(\$4,779)	-57.35%	\$20,000
Interest Inc-Invest/Change in Invest	\$1,041	\$0	\$1,041	0.00%	\$21,897	\$0	\$21,897	0.00%	\$0
Misc. Income - Authority	\$7,083	\$7,500	(\$417)	-5.56%	\$35,417	\$37,500	(\$2,083)	-5.55%	\$90,000
Operating Fund	\$0	\$0	\$0	0.00%	\$0	\$0	\$0	0.00%	\$0
Total Operating Revenue	\$1,280,080	\$1,055,000	\$225,080	21.33%	\$7,052,205	\$5,275,000	\$1,777,205	33.69%	\$12,660,000
Expenses									
Labor - Authority	\$696,773	\$608,991	\$87,782	14.41%	\$3,396,485	\$3,044,954	\$351,531	11.54%	\$7,307,890
Fringe - Authority	\$371,626	\$390,026	(\$18,400)	-4.72%	\$2,011,391	\$1,950,131	\$61,260	3.14%	\$4,680,315
Materials & Supplies - Authority	\$6,382	\$15,820	(\$9,438)	-59.66%	\$39,082	\$79,098	(\$40,017)	-50.59%	\$189,836
Professional Services - Authority	\$191,102	\$242,695	(\$51,594)	-21.26%	\$952,511	\$1,213,477	(\$260,966)	-21.51%	\$2,912,345
Other Expenses - Authority	\$189,312	\$226,975	(\$37,662)	-16.59%	\$1,245,303	\$1,134,873	\$110,430	9.73%	\$2,723,695
Total Expenses	\$1,455,195	\$1,484,507	(\$29,312)	-1.97%	\$7,644,772	\$7,422,534	\$222,238	2.99%	\$17,814,081
Surplus/(Deficit)	(\$175,115)	(\$429,507)	\$254,391		(\$592,567)	(\$2,147,534)	\$1,554,967		(\$5,154,081)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
August-22

BUDGET VARIANCE REPORT

	TRANSIT								Annual Budget
	This Month				Year to Date				
	Actual	Budget	Variance	% Variance	Actual	Budget	Variance	% Variance	
Operating Revenue									
Passenger Fares-Transit	\$902,614	\$676,583	\$226,031	33.41%	\$4,454,335	\$3,382,916	\$1,071,419	31.67%	\$8,118,999
Contracts - Transit	\$460,417	\$502,083	(\$41,667)	-8.30%	\$2,302,083	\$2,510,417	(\$208,333)	-8.30%	\$6,025,000
Advertising-Transit	\$122,917	\$106,259	\$16,658	15.68%	\$614,583	\$531,295	\$83,288	15.68%	\$1,275,109
Misc. Income - Transit	\$14,572	\$4,042	\$10,531	260.55%	\$62,108	\$20,208	\$41,900	207.34%	\$48,500
Total Operating Revenue	\$1,500,520	\$1,288,967	\$211,552	16.41%	\$7,433,110	\$6,444,837	\$988,274	15.33%	\$15,467,608
Operating Assistance									
State Aid - General	\$3,901,717	\$3,901,717	\$0	0.00%	\$19,508,582	\$19,508,583	\$1	0.00%	\$46,820,600
State Aid - PBT	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,000
State Aid - Northway Commuter S.	\$33,333	\$33,333	\$0	0.00%	\$166,667	\$166,667	\$0	0.00%	\$400,000
County Aid	\$159,750	\$159,750	\$0	0.00%	\$798,750	\$798,750	\$0	0.00%	\$1,917,001
Federal Aid - Transit	\$2,575,494	\$2,575,494	\$0	0.00%	\$12,877,468	\$12,877,468	\$0	0.00%	\$30,905,923
Other Grants - Federal	\$150,482	\$150,482	\$0	0.00%	\$752,411	\$752,411	\$0	0.00%	\$1,805,786
Total Operating Assistance	\$6,980,526	\$6,980,526	\$0	0.00%	\$34,902,628	\$34,902,629	\$1	0.00%	\$83,766,310
Total Revenue and Assistance	\$8,481,046	\$8,269,493	\$211,552	2.56%	\$42,335,738	\$41,347,466	\$988,275	2.39%	\$99,233,918
Expenses									
Labor - Maintenance	\$827,504	\$802,739	\$24,765	3.09%	\$3,921,065	\$4,013,697	(\$92,632)	-2.31%	\$9,632,872
Labor - Transportation	\$2,881,762	\$2,932,325	(\$50,564)	-1.72%	\$13,769,327	\$14,661,627	(\$892,300)	-6.09%	\$35,187,904
Labor - STAR	\$229,747	\$253,345	(\$23,597)	-9.31%	\$1,077,814	\$1,266,723	(\$188,909)	-14.91%	\$3,040,134
Fringe	\$1,330,800	\$1,585,752	(\$254,952)	-16.08%	\$6,406,602	\$7,928,761	(\$1,522,159)	-19.20%	\$19,029,026
Materials & Supplies	\$1,078,842	\$1,115,468	(\$36,626)	-3.28%	\$5,510,574	\$5,577,341	(\$66,767)	-1.20%	\$13,385,619
Professional Services	\$70,682	\$140,064	(\$69,381)	-49.54%	\$665,851	\$700,318	(\$34,467)	-4.92%	\$1,680,762
Other Expenses	\$3,642	\$4,379	(\$738)	-16.84%	\$19,535	\$21,896	(\$2,361)	-10.78%	\$52,550
Purchased Transportation - STAR	\$663,805	\$515,636	\$148,169	28.74%	\$3,141,282	\$2,578,179	\$563,103	21.84%	\$6,187,630
Liability - Claims	\$48,355	\$31,573	\$16,782	53.15%	\$233,208	\$157,865	\$75,343	47.73%	\$378,875
Liability - Insurance	\$65,323	\$81,596	(\$16,273)	-19.94%	\$266,709	\$407,978	(\$141,269)	-34.63%	\$979,146
Utilities - Transit	\$66,791	\$50,443	\$16,348	32.41%	\$313,243	\$252,217	\$61,027	24.20%	\$605,320
Mat & Supplies - NX	\$0	\$5,833	(\$5,833)	-100.00%	\$1,714	\$29,167	(\$27,453)	-94.12%	\$70,000
Purchased Transportation - NX	\$102,200	\$129,053	(\$26,852)	-20.81%	\$539,983	\$645,263	(\$105,280)	-16.32%	\$1,548,631
Purchased Transportation - Montgomery	\$0	\$98,145	(\$98,145)	-100.00%	\$0	\$490,723	(\$490,723)	-100.00%	\$1,177,735
Total Expenses	\$7,369,453	\$7,648,206	(\$278,753)	-3.64%	\$35,866,905	\$38,241,029	(\$2,374,124)	-6.21%	\$92,956,204
Surplus/(Deficit)	\$1,111,593	\$621,288	\$490,305		\$6,468,834	\$3,106,437	\$3,362,399		\$6,277,714

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
August-22

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	\$45,000	\$35,417	\$9,583	27.06%	\$170,289	\$177,083	(\$6,794)	-3.84%	\$425,000
Interest Income	\$23	\$0	\$23	0.00%	\$40	\$0	\$40	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	\$45,023	\$35,417	\$9,606	27.12%	\$170,329	\$177,083	(\$6,754)	-3.81%	\$425,000
Total Revenue and Assistance	\$45,023	\$35,417	\$9,606	27.12%	\$170,329	\$177,083	(\$6,754)	-3.81%	\$425,000
Expenses									
Labor - Access	\$68,300	\$56,810	\$11,490	20.23%	\$302,684	\$284,052	\$18,633	6.56%	\$681,724
Fringe Benefits - Access	\$14,976	\$11,423	\$3,553	31.10%	\$76,592	\$57,116	\$19,475	34.10%	\$137,079
Purchased Transportation	\$30,000	\$33,333	(\$3,333)	-10.00%	\$114,410	\$166,667	(\$52,257)	-31.35%	\$400,000
Professional Services - Access	\$0	\$0	\$0	0.00%	\$0	\$0	\$0	0.00%	\$0
Rent and Utilities - Access	\$1,643	\$1,643	\$0	0.00%	\$8,425	\$8,217	\$208	2.53%	\$19,721
Other Expenses - Access	\$0	\$2,629	(\$2,629)	-100.00%	\$2,000	\$13,145	(\$11,145)	-84.79%	\$31,548
Total Expenses	\$114,920	\$105,839	\$9,081	8.58%	\$504,111	\$529,197	(\$25,086)	-4.74%	\$1,270,072
Surplus/(Deficit)	(\$69,897)	(\$70,423)	\$526		(\$333,781)	(\$352,113)	\$18,332		(\$845,072)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
August-22

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	\$66,373	\$40,480	\$25,893	63.97%	\$353,559	\$202,399	\$151,160	74.68%	\$485,758
RRS Parking Revenue	\$132,323	\$106,929	\$25,394	23.75%	\$673,429	\$534,646	\$138,783	25.96%	\$1,283,150
RRS Advertising	\$12,500	\$9,783	\$2,717	27.78%	\$62,500	\$48,913	\$13,587	27.78%	\$117,391
SSTS	\$2,484	\$2,467	\$17	0.70%	\$12,862	\$12,333	\$529	4.29%	\$29,600
Greyhound	\$794	\$2,500	(\$1,707)	-68.26%	\$1,391	\$12,500	(\$11,109)	-88.87%	\$30,000
85 Watervliet Avenue	\$5,801	\$6,667	(\$866)	-12.99%	\$29,004	\$33,333	(\$4,330)	-12.99%	\$80,000
Interest Income	\$1,204	\$367	\$837	228.33%	\$2,293	\$1,833	\$460	25.09%	\$4,400
Total Operating Revenue	\$221,478	\$169,192	\$52,287	30.90%	\$1,135,038	\$845,958	\$289,080	34.17%	\$2,030,299
Expenses									
Labor	\$15,876	\$16,311	(\$435)	-2.67%	\$78,307	\$81,554	(\$3,248)	-3.98%	\$195,730
Fringe-Benefits	\$2,499	\$1,617	\$882	54.55%	\$12,493	\$8,085	\$4,408	54.52%	\$19,405
Professional Services	\$5,004	\$10,417	(\$5,413)	-51.96%	\$25,972	\$52,083	(\$26,111)	-50.13%	\$125,000
Insurance	\$8,036	\$2,417	\$5,620	232.54%	\$35,692	\$12,083	\$23,609	195.38%	\$29,000
Security	\$23,058	\$33,617	(\$10,559)	-31.41%	\$70,806	\$168,083	(\$97,277)	-57.87%	\$403,400
Facilities Upkeep	\$11,867	\$24,833	(\$12,966)	-52.21%	\$54,419	\$124,167	(\$69,747)	-56.17%	\$298,000
Facilities Repairs	\$7,020	\$8,474	(\$1,454)	-17.16%	\$65,660	\$42,368	\$23,292	54.97%	\$101,683
Utilities	\$55,682	\$28,983	\$26,698	92.12%	\$202,983	\$144,917	\$58,067	40.07%	\$347,800
Materials & Supplies	\$255	\$1,333	(\$1,078)	-80.86%	\$4,458	\$6,667	(\$2,209)	-33.14%	\$16,000
Parking Garage	\$55,214	\$40,833	\$14,380	35.22%	\$190,083	\$204,167	(\$14,083)	-6.90%	\$490,000
Greyhound	\$0	\$667	(\$667)	-100.00%	\$0	\$3,333	(\$3,333)	-100.00%	\$8,000
85 Watervliet Avenue	\$19,464	\$9,395	\$10,068	107.17%	\$47,197	\$46,976	\$221	0.47%	\$112,742
SSTS	\$8,146	\$13,508	(\$5,363)	-39.70%	\$54,663	\$67,542	(\$12,878)	-19.07%	\$162,100
Total Expenses	\$212,120	\$192,405	\$19,715	10.25%	\$842,733	\$962,025	(\$119,292)	-12.40%	\$2,308,860
Surplus/(Deficit)	\$9,358	(\$23,213)	\$32,571		\$292,305	(\$116,067)	\$408,372		(\$278,561)

CAPITAL DISTRICT TRANSPORTATION AUTHORITY MONTHLY MANAGEMENT REPORT

AGING OF ACCOUNTS RECEIVABLE

Aug-22		
	Amount	% of Total
Current	\$1,165,929	19.92%
31 - 60	\$330,277	5.64%
61 - 90	\$286,443	4.89%
91 - 120	\$143,243	2.45%
Over 120	\$3,927,803	67.10%
Total Accounts Receivable	\$5,853,695	100.00%

Jul-22		
	Amount	% of Total
Current	\$491,863	8.58%
31 - 60	\$539,915	9.42%
61 - 90	\$276,677	4.83%
91 - 120	\$227,522	3.97%
Over 120	\$4,198,111	73.21%
Total Accounts Receivable	\$5,734,089	100.00%

AGING OF ACCOUNTS PAYABLE

Aug-22		
	Amount	% of Total
Current	\$2,769,555	20.48%
31 - 60	\$4,050,392	29.95%
61 - 90	\$6,621,176	48.97%
90 & Over	\$80,478	0.60%
Total Accounts Payable	\$13,521,601	100.00%

Aug-22 Receivables over 120 days: \$3,927,803

Breakdown of outstanding receivables over 120 days.	
\$2,953,244	NYS DEPT. OF TRANSPORTATION
\$1,000,000	FEDERAL TRASIT ADMIN
\$87,500	CITY OF ALBANY
\$75,000	BIKE SHARE MOU CONTRACTS
\$73,191	UNIVERSITY AT ALBANY
(\$261,133)	OTHER
<u>\$3,927,803</u>	

ADDITIONAL INFORMATION

MORTGAGE RECORDING TAX	Current Month				Fiscal Year to Date			
	Aug-22	Aug-21	Difference	%	2023	2022	Difference	%
Albany	\$425,030	\$425,301	(\$271)	-0.06%	\$2,545,530	\$2,257,670	\$287,860	12.75%
Rensselaer	\$168,623	\$169,062	(\$439)	-0.26%	\$1,064,169	\$1,173,611	(\$109,442)	-9.33%
Saratoga	\$504,776	\$407,861	\$96,915	23.76%	\$2,492,155	\$2,584,497	(\$92,342)	-3.57%
Schenectady	\$173,410	\$149,618	\$23,792	15.90%	\$889,484	\$1,068,179	(\$178,696)	-16.73%
Total	\$1,271,839	\$1,151,841	\$119,997	10.42%	\$6,991,337	\$7,083,957	(\$92,620)	-1.31%

	<u>Current Month</u>	<u>Year To Date</u>
FY 2023	\$1,271,839	\$6,991,337
FY 2022	\$1,151,841	\$7,083,957

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 \$17. million.

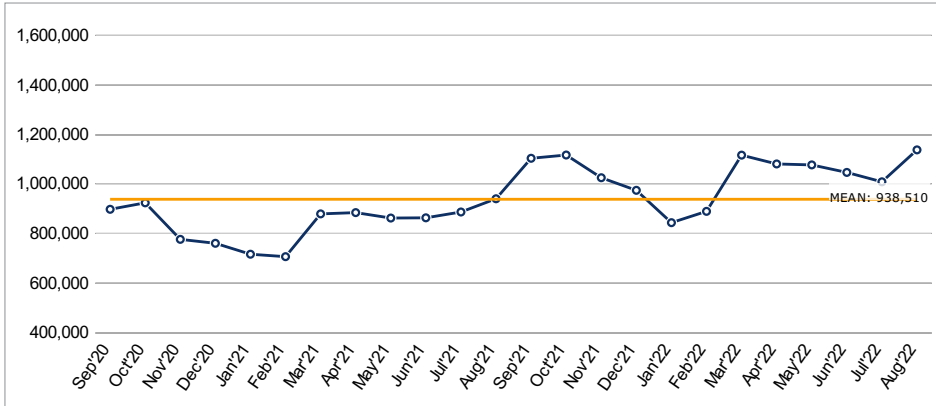
**Highlight Summary
August 30, 2022**

<u>RESTRICTED INVESTMENTS</u>	<u>Fund Balances</u>	<u>Current Obligations</u>
Risk Management Account (Self-Insured)	\$3,264,171	\$2,027,311
Workers' Comp. Account (Self-Insured)	\$9,117,070	\$8,193,445
Operating Account	\$3,124,843	
<u>Current Operating Reserve Obligations</u>		
Multi-Modal (GRH & Vanpool)		\$23,116
Washington/Western BRT Design/Engineering		\$115,154
Gateway		\$182,460
Bus Shelter Program		\$9,979
		\$330,708
<u>Current Capital Reserve Obligations</u>	\$7,314,299	
Computer Aided Dispatch/Automatic Vehicle Locator (CAD/AVL) System Upgrade		\$931,231
		\$931,231
<u>Current Vehicle Replacement Reserve Obligations</u>	\$933,409	
Paratransit Fleet Replacement (6)		\$61,817
		\$61,817

All Investment Accounts are reviewed quarterly.	
Average annual returns:	
Risk Management	0.45%
Workers' Compensation	1.13%
Operating Fund	0.71%
Vehicle Replacement Fund	0.29%
Capital Project	0.33%

* 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.

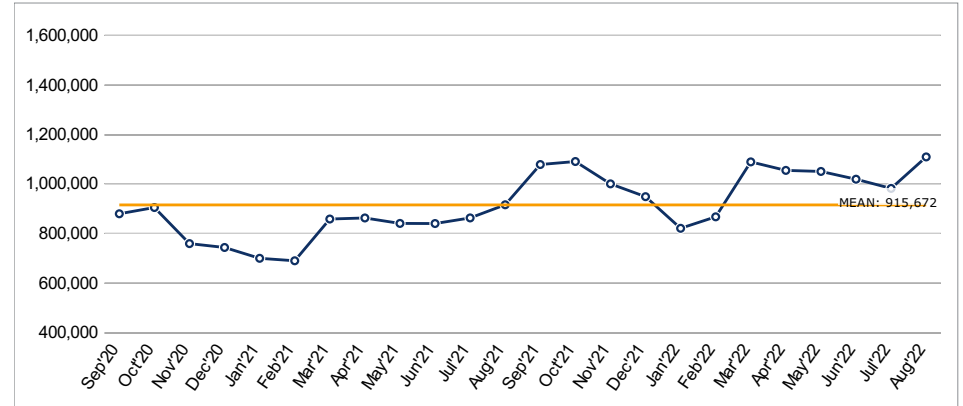
Total Riders



Previous: 940,538

Current: 1,137,833

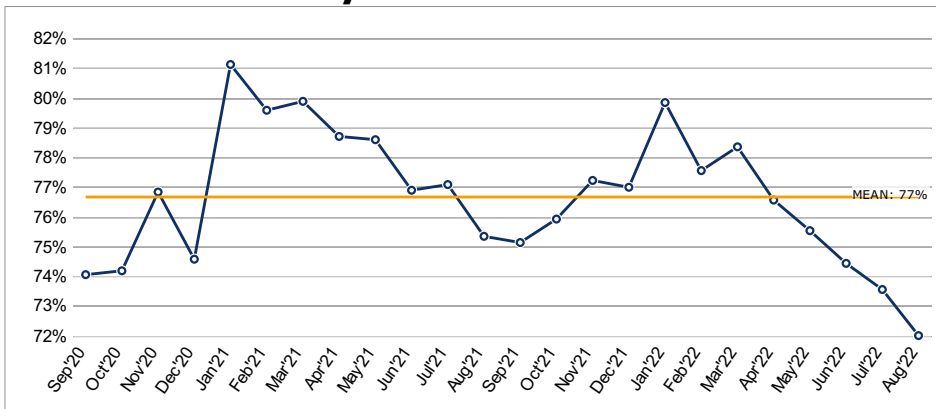
Fixed Riders



Previous: 916,232

Current: 1,109,420

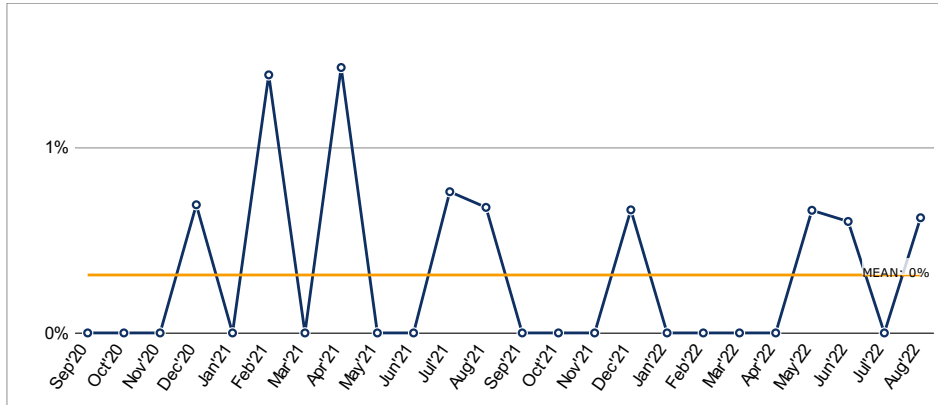
System Wide OTP



Previous: 75.36%

Current: 72.02%

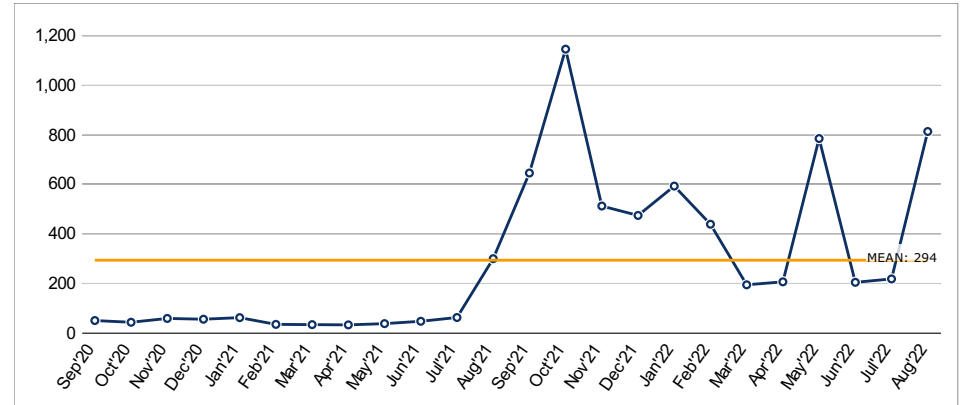
PMI Not On Time



Previous: 0.7%

Current: 0.6%

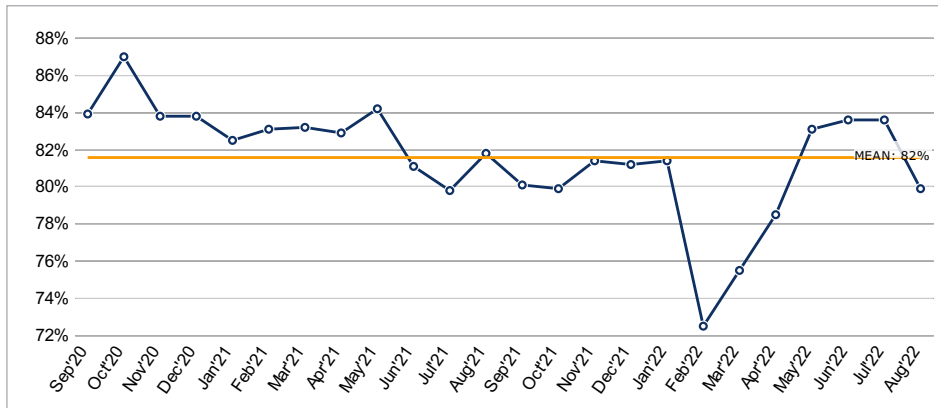
Missed Trips



Previous: 300

Current: 813

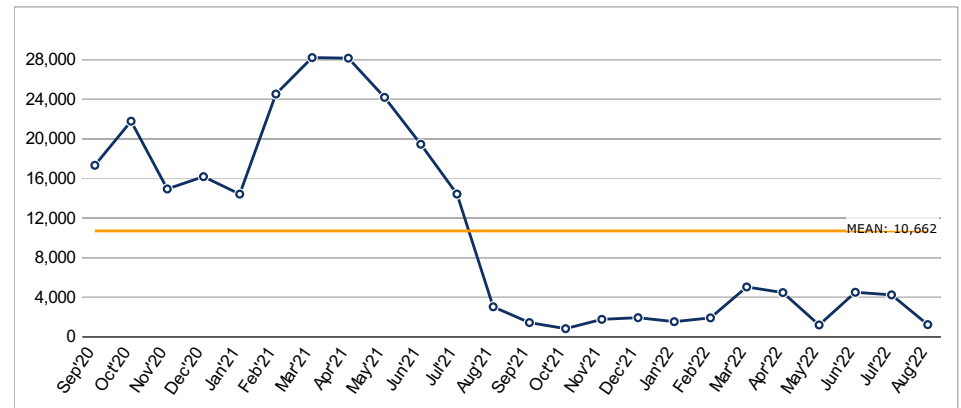
Scheduled Work



Previous: 81.8%

Current: 79.9%

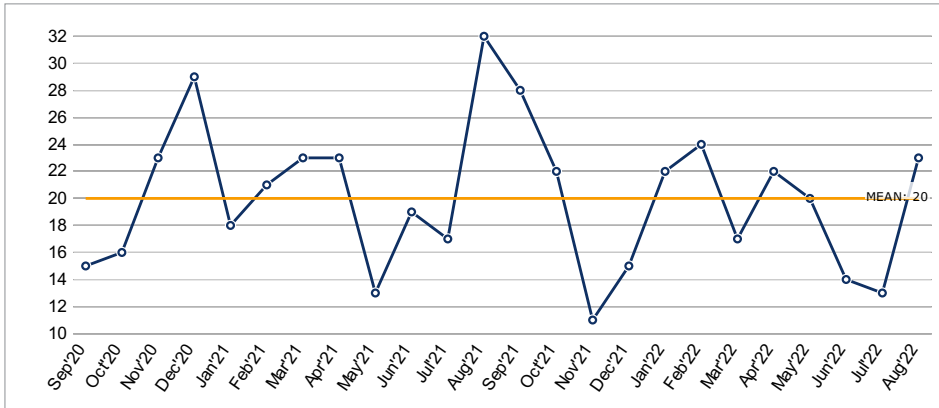
MDBSI



Previous: 3,006

Current: 1,209

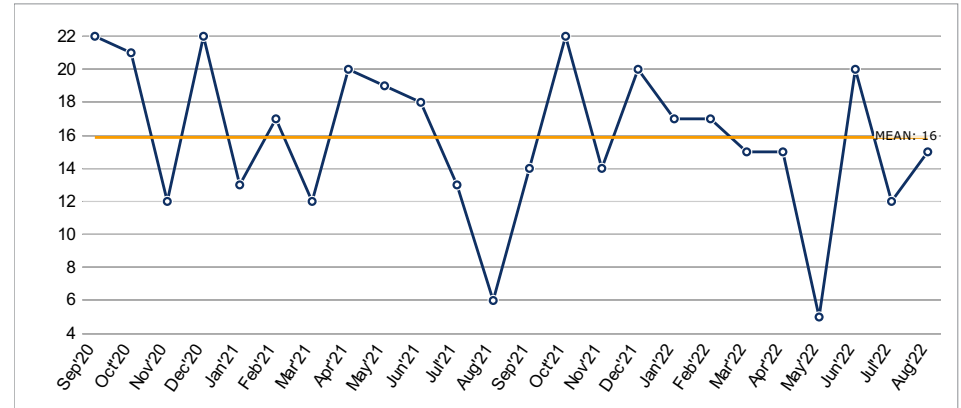
Preventable Accidents



Previous: 32

Current: 23

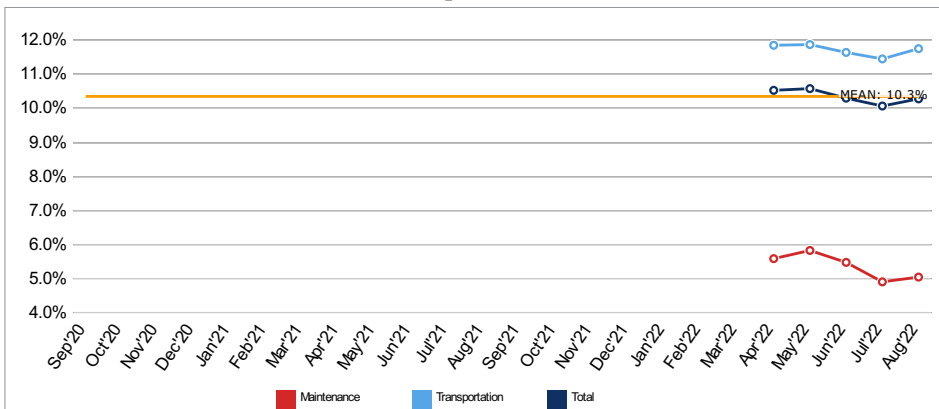
Non-Preventable Accidents



Previous: 6

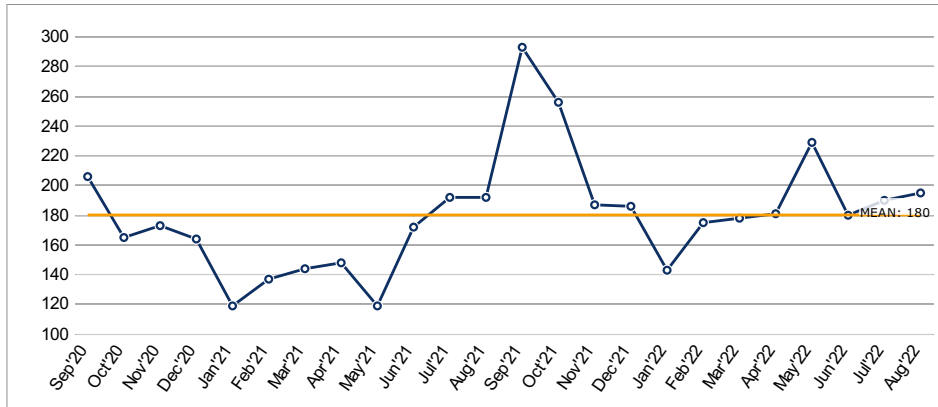
Current: 15

Percent Days Not Worked



Current: 10.3%

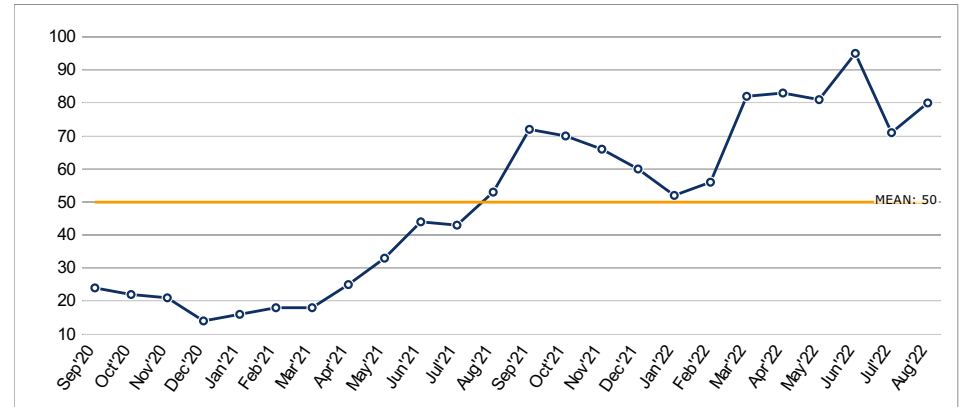
Fixed/Shuttle Complaints



Previous: 192

Current: 195

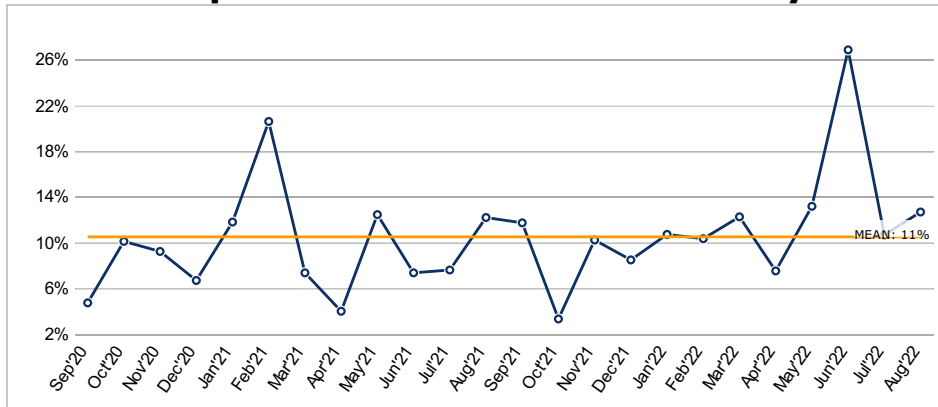
Other Complaints



Previous: 53

Current: 80

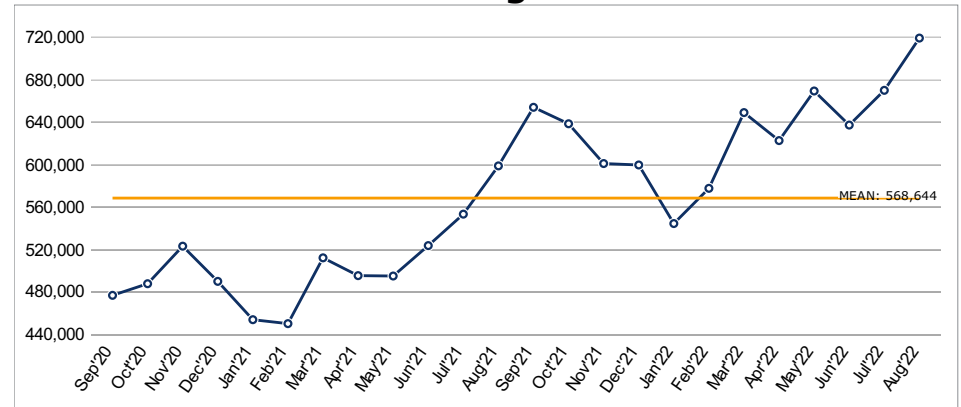
Complaints Not Addressed in Ten Days



Previous: 12.2%

Current: 12.7%

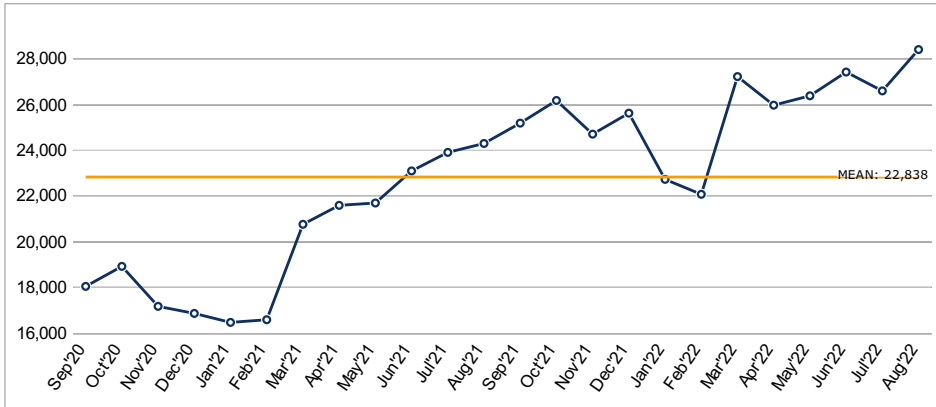
Website Page Views



Previous: 598,976

Current: 719,362

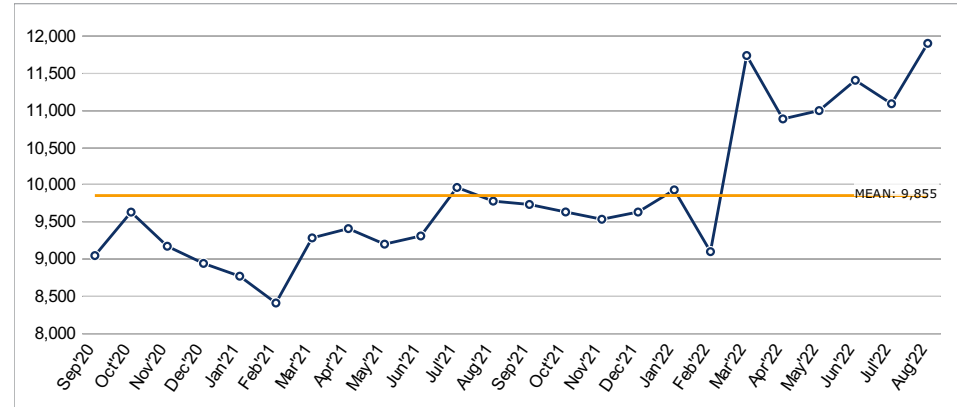
STAR Riders



Previous: 24,306

Current: 28,413

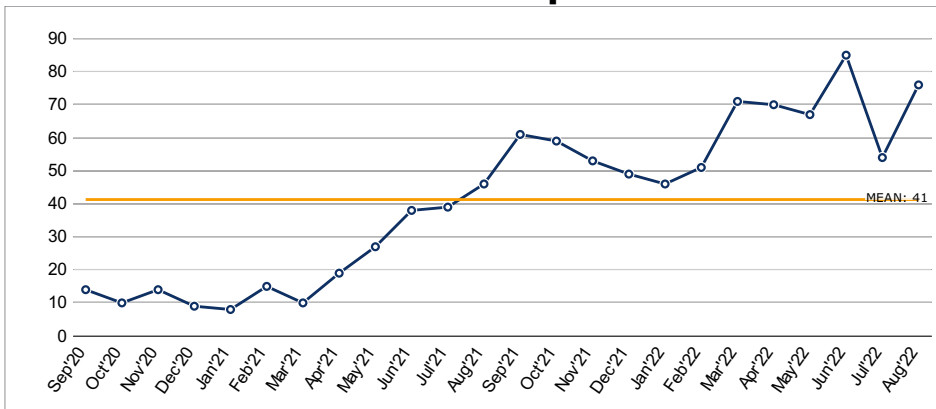
Reservation Calls



Previous: 9,780

Current: 11,903

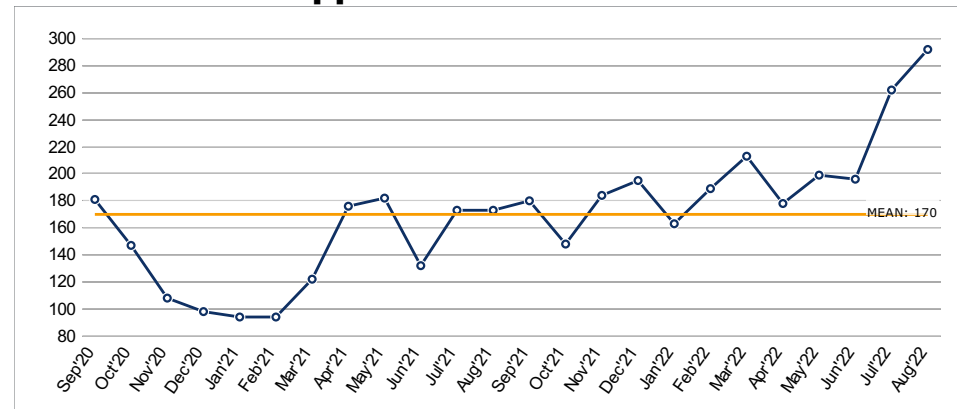
Customer Complaints



Previous: 46

Current: 76

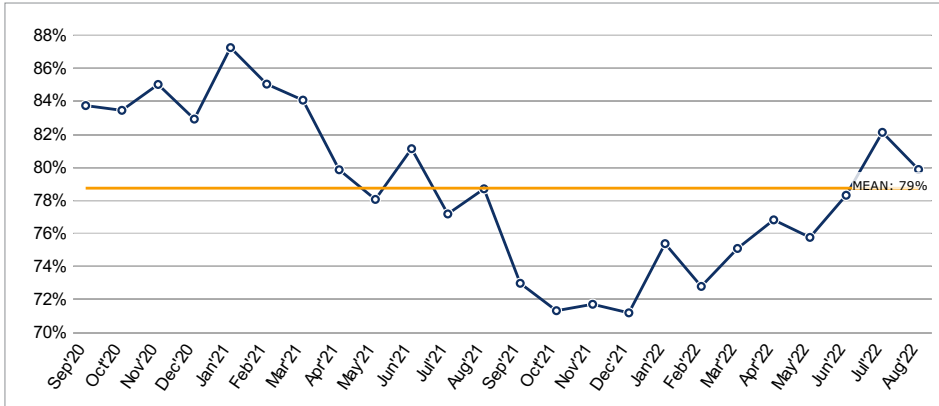
Applications Received



Previous: 173

Current: 292

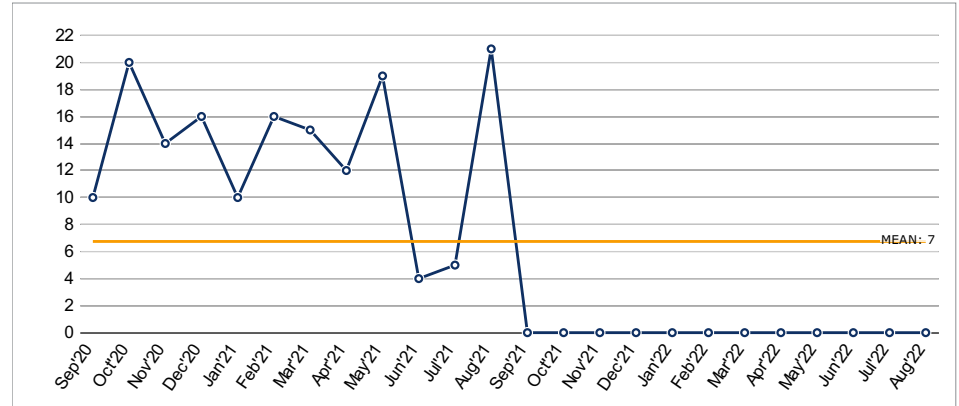
On-Time Performance (0-10 Minutes)



Previous: 78.7%

Current: 79.9%

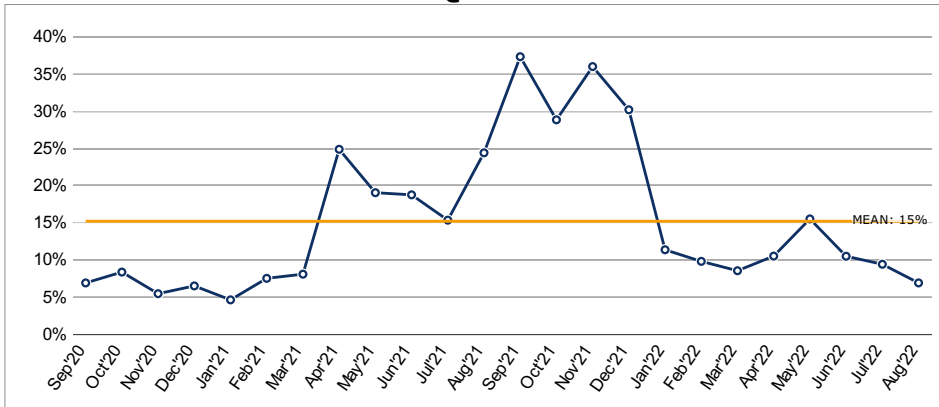
Trip Denials



Previous: 21

Current: 0

Reservation Calls in Queue Over Five Minutes



Previous: 24.4%

Current: 6.9%

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

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

System Wide OTP % – On-time performance: The percentage of departures that occurred between 5 minutes late and 1 minute early. 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 PMIs 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).

Percent Days Not Worked – Total workdays scheduled in the Maintenance and Transportation departments divided by the total number of days not worked. Days not worked can be due to disability/workman's compensation, disqualification, excused time, FMLA, leave of absence, missed/late time, sick leave, suspension, or unexcused absence.

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.