I. **Pledge of Allegiance**

II. **Public Comment:**

III. **Advisory Committee Updates:**
   1. CSAC Minutes
   2. Access Minutes

IV. **Board Committee Updates:**
   1. Operations, Planning and Safety Committee
   2. Finance, Audit and Administration Committee; and
   3. CAMPO update

V. **Consent Items**
   1. Approval of Minutes for the April 12, 2017 Public Hearing and April 24, 2017 Board Meeting.
   2. Approval of a resolution authorizing the President/CEO, or her designee, to terminate the supplement to the Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271.
   3. Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute an Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271 for a period of three years and four months with estimated revenue to Capital Metro of $75,000.
   4. Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract modification with Netronix Integration, Inc. in the amount of $280,948 for an access control system upgrade and to increase the not to exceed contract amount to $667,508.

VI. **Action Items:**
1. Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute an Interlocal Agreement with the City of Austin in order to design, build, operate and maintain the Downtown Rail Station and Required Easements.

2. Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract with HNTB Corporation for General Planning Consultant (GPC) services in an amount not to exceed $5.5 million for a base period of three years with two one-year options.

3. Approval of a resolution authorizing the President/CEO, or her designee, to amend the Capital Metro Procurement Acquisition Policy to ensure compliance with recent Internal Audit recommendations and to update the policy for disposing of Capital Metro surplus and obsolete property.

4. Approval of a resolution to authorizing the President/CEO, or her designee, to implement the FY2018 Strategic Plan.

5. Approval of a resolution authorizing the President/CEO, or her designee, to develop a plan in coordination with the City of Austin to further the goal of environmentally sustainable transportation solutions and demonstrate support for shared, innovative and autonomous mobility strategies.

VII. Presentations:

1. Metro Art Committee

VIII. Reports:

1. Quarterly Planning/Ridership Report
2. Quarterly Financial Report
3. President's Report

IX. Memos

1. Capital Projects Mid-Year Report
2. FTE Vacancy Report

X. Items for Future Discussion:

XI. Adjournment

ADA Compliance

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BOARD OF DIRECTORS: Wade Cooper, Chair; Beverly Silas, Vice Chair; Juli Word, Board Secretary; Terry Mitchell, Pio Renteria, Delia Garza, Rita Jonse and Ann Kitchen. Board Liaison: Gina Estrada (512)389-7458, email gina.estra@capmetro.org if you need more information.

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TITLE: CSAC Minutes
Call to Order:
Chairman David Foster, Customer Satisfaction Advisory Committee

Chairman Foster called the meeting to order at 6:05 p.m.

Introductions:

Committee members present were Chairman David Foster, Rich MacKinnon, B.J. Taylor, William Shamburg, and Oscar Gaytan.

Capital Metro staff members present were Ken Cartwright, Sam Sargent, Paul Hamilton, and John Andoh.

Citizen Communication:

There were no citizens present to provide public comment.

New Business

Capital Projects Update
Mr. Ken Cartwright, Vice President of Capital Projects, Capital Metro

Mr. Cartwright provided an update on the agency’s upcoming and recently completed capital projects, including the new Downtown Station, TIGER V railroad infrastructure improvements, infill MetroRapid stations, the new Westgate Park & Ride under Ben White Boulevard, park and ride expansions, bus stop accessibility and connectivity improvements, and bus stop amenity improvements for qualifying stops.

As it related to the Downtown Station project, Chairman Foster asked if the project precluded an extension of the commuter line to the western part of downtown. Mr. Cartwright replied that nothing about the new station design will preclude expansion, but such an extension would require significant City of Austin buy-in, as the agency does not control that right-of-way. Mr. MacKinnon and Mr. Gaytan both asked if the station would or could have more simply wayfinding signage to lead people to downtown destinations.

Vice Chairman Shamburg asked about TOD zoning and Red Line station expansions and where Capital Metro’s plans intersect with CodeNEXT. Mr. Sargent stated that he would create a future agenda item so that the committee could be briefed by TOD planning staff on this issue.
Pickup Pilot Project
Mr. Paul Hamilton, Paratransit Manager, Capital Metro

Mr. Hamilton presented on the new Pickup flex pilot service that will operate in roughly the same area that the current Upper East Side Flex service does today. This area includes Mueller and the area north of that development and east of I-35, ending at the Rutherford Walmart. He explained how the flex service will work, using a third-party mobile app from New York-based company Ride with Via.

The buses will be Pickup-branded former paratransit cutaway vehicles, Mr. Hamilton explained, and will operate Tuesdays, Thursdays, and Saturdays from 9:00 a.m. to 6:00 p.m. The service will be 100 percent ADA accessible, open to the public, and free of charge. Reservations for this fully “flex” service will be made through the mobile app with a 15-minute or better response time. The pilot will run 6 to 12 months.

Mr. MacKinnon suggested that the service develop “cluster points” to prevent the bus from slowing down due to too many shortly spaced stops. The committee asked to see examples of Ride with Via’s marketing materials from other cities, including New York and Chicago.

Action Items

Approval of April 2017 Meeting Minutes

The committee unanimously approved the January and March 2017 meeting minutes.

Adjournment

Chairman Foster recognized that the May meeting may be Mr. Gaytan’s last on the committee, as he has indicated that he will step down in the coming month after more than 10 years of service. The committee and staff recognized Mr. Gaytan’s tenure and thanked him for his dedication to the committee and Capital Metro.

The committee unanimously voted to adjourn the meeting at 8:07 p.m.
TITLE: Access Minutes
Call to Order:
Chairman Chris Prentice, Access Advisory Committee

Chairman Prentice called the meeting to order at 5:31 p.m.

Introductions:

Committee members present were Chairman Chris Prentice, Vice Chairman Paul Hunt, Estrella Barrera, Molly Birrell, John McNabb, and Glenda Born.

Capital Metro staff members present were Chad Ballentine, Martin Kareithi, Jeff Denning, Michelle Meaux, and Paul Hamilton. Service provider representatives included Regina Marshall and Nate Degrafenreid.

Citizen Communication:

Chairman Chris Prentice, Access Advisory Committee

Chairman Prentice reported to the committee that he attended the most recent Project Connect and Austin Strategic Mobility Plan advisory committee meeting. He also stated that Route 271 (Del Valle Feeder) was being taken over by McDonald from CARTS as part of the upcoming service change and he considers this to be significant enough that it warrants inclusion in service change presentations going forward.

MetroAccess Statistics & Technology Update
Chad Ballentine, Director of Paratransit, Capital Metro

Mr. Ballentine reported that there are no new statistics since the committee received the most recent information at the last meeting. He stated that there should be new statistics in the next week or two.

Mr. Kareithi followed up, stating that the website improvements discussed at the April meeting are still in progress and an update will be provided to the committee when the new form is posted.

New Business

Round Rock TDP Update
Ms. Michelle Meaux, Regional Planner, Capital Metro
Ms. Meaux updated the committee on the Round Rock Transit Development Plan (TDP) and the start of fixed route service. She stated that Capital Metro has an ILA with the City of Round Rock where the agency will operate four routes:

- **Route 50**: Starts at Round Rock ACC to Round Rock Transit Center, terminating at Howard Station.
- **Route 51**: Circulator service operating on Louis Henna Boulevard, serving Walmart, Dell, Round Rock Transit Center, and St. David's Hospital.
- **Route 52**: Limited service between Tech Ridge and Round Rock Transit Center.
- **Route 980**: New MetroExpress service beginning at the Round Rock Transit Center, stopping at the new leased parking spaces at New Life Church before serving central Austin and the University of Texas.

Ms. Meaux continued, stating that paratransit service will be operated within ¾ miles of each fixed route service. Star Shuttle will operate paratransit services in Round Rock and the city will develop their own eligibility process. Customers will still call the same number that they would to book demand response service trips.

**Pickup Pilot Program**  
*Mr. Chad Ballentine, Director of Paratransit, Capital Metro*

Mr. Ballentine updated the committee on the new Pickup pilot program in the former Upper East Side Flex service area between the Walmart on Rutherford and Mueller. The earlier pilot used Capital Metro operators and vehicles, requiring reservations for deviations off the fixed route at least two hours in advance. Mr. Ballentine continued, stating that there were many lessons learned from this service, which did not perform well, especially as it related to flex trips which were minimally.

The Pickup service will operate Tuesday, Thursday, and Saturday with real time trip data and booking through a third-party mobile app built by Ride with Via, a New York company. Customers can also book trips through the call center. Mr. Ballentine explained that the vehicles are accessible and there will be no fare during the pilot phase. Service launched on June 6th to coincide with the normal service change schedule.

Ms. Born asked that there be good contrast between the colors on the mobile app and the landing page for low vision customers.

**Stop Announcer Update**  
*Mr. Martin Kareithi, Accessibility Specialist, Capital Metro*

Mr. Kareithi stated that the external annunciators were impacted by a glitch in the technology when Capital Metro upgraded all on-board systems on fixed route buses. Repairs are in progress and the agency hopes to have the issue fully resolved soon.
Mr. Kareithi discussed this issue, which was brought up at the April meeting of the Access Advisory Committee, with the service providers who were reminded of the requirement that external announcements always be made. A service bulletin has been distributed to service providers to post while the issue is resolved on the technology side.

**Paratransit Contracts Update**  
*Mr. Jeff Denning, Paratransit Contracts Manager, Capital Metro*

Mr. Denning stated that contracts include roughly the same standards for driver qualifications, training, and customer service. MV uses a Capital Metro owned fleet of vehicles while Ride Right and Le Fleur operate their own fleets. Because Le Fleur is the agency's overflow service, vehicles are not dedicated and do not have Capital Metro branding.

Mr. Denning addressed an issue that was brought up at last month's meeting regarding radios in Le Fleur vehicles. Le Fleur operators have been reminded to not use radios during service and will have them removed if the problem persists.

Mr. John Andoh provided background on fixed route contracts, stating that they are generally all the same except for the cost-per-hour payments to providers. CARTS, as a government entity, has a different rate for the handful of routes they operate.

**Action Items**

**Approval of the April 2017 Minutes**  
The committee unanimously approved the April 2017 meeting minutes.

**Adjournment**  
The committee adjourned at 6:45 p.m.
Approval of Minutes for the April 12, 2017 Public Hearing and April 24, 2017 Board Meeting.
SUBJECT: Approval of minutes for the April 12, 2017 Public Hearing and the April 24, 2017 Board Meeting.

STRATEGIC PLAN:
Strategic Goal Alignment:
1. Deliver the best possible customer experience

Strategic Objectives:
1.4 Deliver a customer-friendly experience through our people and systems
4.2 Enhance organizational development

DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Board of Directors
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-461)

Minutes for the April 12, 2017 Public Hearing and April 24, 2017 Board Meeting


________________________
Date: ____________________

Secretary of the Board
Juli Word
I. Pledge of Allegiance

II. Safety Briefing

Donna Simmons, Vice President of Administration, gave the Safety Briefing. May is Bike Safety Month and May 19th is Bike to Work day. Motorists should give at least three feet when passing cyclists. Cyclists should wear visible clothing and abide by the same traffic laws as motor vehicles.

III. Recognition

John Jones, Interim Head of Security, recognized Austin Police Department Assistant Chief Joseph Chacon. Chief Chacon oversaw APD’s contract to provide security to Capital Metro and effectively utilize APD resources. He was instrumental in rebranding Capital Metro’s security vehicles.

Chad Ballentine, Director of Paratransit, recognized Fred Reutzel, a McDonald Transit operator who located an elderly customer who had wandered off from her MetroAccess trip and boarded a fixed-route bus.

IV. Public Comment:

Beverly Colosky, citizen, said that her family owns land at 605 East 55th Street. She is curious about Capital Metro's plans for property acquisition. Staff will follow up with her.

V. Advisory Committee Updates:

1. Update on the Customer Satisfaction Advisory Committee (CSAC).

Sam Sargent, Community Involvement, gave the CSAC update. The Committee met on April 12th. They received updates on the Proposed August 2017 service changes and upcoming MetroRail improvements.

2. Update on the Access Advisory Committee (AAC).

Sam Sargent, Community Involvement, gave the update. The Access Advisory Committee met on April 12th. The Committee received an update on current and future Park and Rides and the Proposed August 2017 Service Changes.

VI. Executive Session of Chapter 551 of the Texas Government Code:

The board entered Executive Session at 1:17 and returned at 1:59.

Section 551.072 for real property issues - Real Estate - Downtown Rail Property

VII. Board Committee Updates:

1. Operations, Planning and Safety Committee
Chair Silas gave the update. The Committee met on April 12th. Action Items #s 1, 4, 5, and 6 on today's agenda are brought forward from the Operations meeting. The Discussion Items included a Fare Administration Program update, Park and Ride assessment, and the Monthly Operations Report.

2. Finance, Audit and Administration Committee; and
Chair Mitchell gave the update. The Committee met on April 12th. There were two action items -- one of which is on the action agenda today and one that is on the consent agenda. As Discussion Items the Committee heard the 2016 Financial Audit Results and the Monthly Financial Report.

3. CAMPO update
Board Member Mitchell did not attend the CAMPO meeting this month, so there was not a report given.

VIII. Consent Items

| RESULT: | ADOPTED [UNANIMOUS] |
| MOVER:  | Beverly Silas, Vice Chair |
| SECONDER: | Juli Word, Secretary |
| AYES: | Silas, Mitchell, Word, Cooper, Garza, Jonse, Renteria |
| ABSENT: | Kitchen |

1. Minutes for the March 27, 2017 Public Hearing and Board Meeting.
2. Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute an Interlocal Agreement with the City of Austin for administration of the Smart Trips program, with financial contribution from Capital Metro not to exceed $150,000.
3. Approval of a resolution authorizing the President/CEO, or her designee, to execute a modification Civil Engineering Services Contracts for the total combined amount of $500,000 for additional design and engineering services for a total revised contract amount not to exceed $3,000,000.
4. Approval of a resolution authorizing the President/CEO, or her designee, to modify a contract for Literature Distribution Services with SmartMail of Austin, Inc. in an amount not to exceed $201,495 for one (1) option year.

IX. Action Items:

1. Approval of a resolution authorizing the President/CEO, or her designee, to take an exception to the surplus asset disposal policy and resume the Capital Metro Vehicle Grant Program for disposal of retired MetroAccess vehicles.

Michelle Meaux, Regional Transportation Coordinator, presented the item. In 2014, the Board approved a Van Grant Program to distribute retired rideshare vehicles to nonprofit and government agencies. The Van Grant Program distributed 66 vans and saved an estimated $933,550 in trips that otherwise would have been made using MetroAccess trips. This resolution is to once again make exception to our normal surplus asset disposal process to allow for a similar distribution program for 19 retiring MetroAccess vehicles.
2. Approval of a resolution authorizing the President/CEO, or her designee, to fund, design and build an estimated $6 million storm water system upgrade as part of the Downtown Rail Station Improvements. The City of Austin will reimburse Capital Metro 50% of the total cost up to $3 Million.

Ken Cartwright, Vice President of Capital Projects, presented the resolution. The Downtown station will move one block to the east. The city’s watershed protection division advised that the 30” stormwater line is undersized. Since Capital Metro is taking on the project, it is responsible for the stormwater upgrade. The estimated cost is five to six million dollars. The City of Austin has agreed to split the cost up to a $3M contribution.

Board Member Mitchell explained that the resolution came through the Finance Committee without a recommendation. There are concerns about the proportionality of the project. Chair Cooper also voiced concerns about proportionality and wondered if a private developer would be expected to make these changes.

Andy Linseisen, from the City of Austin, answered a few questions. He said that Capital Metro is not being asked to do more than a private developer would. In fact, the City would probably not be putting in $3M if this were a private developer. The board discussed concerns about the size of the pipes, the fact that the city would not replace the pipes if there were no project, and the possibility of going over budget. The impact of holding off on the project is high: the engineers are out of additional work until a decision is made on this. Board Member Mitchell added an amendment to direct staff to try to find an alternative. The motion carries 4-3.

3. Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute contracts with Adecco Government Solutions, Apple One, Infogini, Inc., Integrated Human Capital, Mindlance, Inc., SearchPros Staffing, LLC, SOAL Technologies, LLC, and vTECH Solution, Inc. for primary temporary services for a one-year base period and four (4) option periods of twelve (12) months each, with a total amount for all five (5) years not to exceed $12,712,000.

Juliana Harris, Manager of Human Resources and Talent, presented the resolution. The resolution is for new temporary staffing agency contracts 12 employment agencies. Using additional agencies (there are currently two) will allow for specialization -- for example if an IT professional is needed we would use the agency that specializes in IT staff.
RESULT: ADOPTED [UNANIMOUS]
MOVER: Beverly Silas, Vice Chair
SECONDER: Rita Jonse, Board Member
AYES: Silas, Mitchell, Word, Cooper, Garza, Jonse, Renteria
ABSENT: Kitchen

4. Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute an Interlocal Agreement with the City of Austin in order to design, build, operate and maintain the Downtown Rail Station and Required Easements.

This item was postponed.

RESULT: TABLED

5. Approval of a resolution authorizing the President/CEO, or her designee, to execute a modification of the contract with Downtown Gateway Partners to add $1,084,318 for additional Engineering services work to be performed, plus $500,000 for additional contingency, for a total revised contract amount not to exceed $4,112,445.

Marc Guererro, Project Manager in Capital Projects, presented this item. It is for additional engineering work and contract contingency for the next Downtown MetroRail station.

RESULT: ADOPTED [UNANIMOUS]
MOVER: Terry Mitchell, Board Member
SECONDER: Delia Garza, Board Member
AYES: Silas, Mitchell, Word, Cooper, Garza, Jonse, Renteria
ABSENT: Kitchen

6. Approval of a resolution authorizing the President/CEO, or her designee, to implement the August 2017 Service Changes.

Roberto Gonzales, Manager of Short Term Planning, presented this item. The resolution will allow for moving ahead with the agency's normal August service changes. MetroRapid will have added frequency and the new MoPac lanes will be utilized if they are available in time.

RESULT: ADOPTED [UNANIMOUS]
MOVER: Delia Garza, Board Member
SECONDER: Juli Word, Secretary
AYES: Silas, Mitchell, Word, Cooper, Garza, Jonse, Renteria
ABSENT: Kitchen

7. Approval of a resolution authorizing the President/CEO, or her designee, to Approval of a resolution appointing Paula Bishir-Jensen as the Capital Metro Interim Internal Auditor.

President Watson presented this item. Staff recommends Paula Bishir-Jensen as the Interim Vice President of Internal Audit until a permanent replacement for Caroline Beyer can be found.
RESULT: ADOPTED [UNANIMOUS]  
MOVER: Rita Jonse, Board Member  
SECONDER: Juli Word, Secretary  
AYES: Silas, Mitchell, Word, Cooper, Garza, Jonse, Renteria  
ABSENT: Kitchen  

8. Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute provisions of the Master Development and/or Ground Lease with Plaza Saltillo TOD, Ltd., related to the development of the owned property locally known as the Plaza Saltillo project.

Attorney Rick Reed gave an overview of what was discussed in Executive Session on the master development agreement with Endeavor. There are two requested modifications: a conversion of the $3.25M rent deposit from cash to a letter of credit, and that the rent commencement date would be 28 months from the day the lease is signed in exchange for the 125 foot building being built. Endeavor added two years to the back end of the lease and guaranteed a 2.35% return in years 6-10 of the lease.

RESULT: ADOPTED [6 TO 0]  
MOVER: Terry Mitchell, Board Member  
SECONDER: Rita Jonse, Board Member  
AYES: Silas, Mitchell, Word, Garza, Jonse, Renteria  
ABSENT: Kitchen  
RECUSED: Cooper  

X. Presentations:

1. MetroRapid Update

Roberto Gonzales, Manager of Short Term Planning, gave the MetroRapid update. In 2014, the 801 was introduced. The 803 was introduced later in the year and 1 million riders were served. Recent milestones include equalization of fares and all-time monthly ridership record. In August, frequency goals are 10 minutes on weekdays and 15 on weekends. In 2017, ridership is up 26%. The 801 had the highest ridership ever in March 2017, probably due to the fare adjustment and SXSW. The 803 showed a similar trend. Capital Metro has purchased 15 additional MetroRapid buses. There will be increases in service levels in August as well. The FY2017 budget includes funding to build additional MetroRapid stations.

XI. Reports:

1. President/CEO Update

President Watson gave her update. She discussed:
1. Three bills that were heard in committee, SB 1644 and House Bills 1764 and 1656. Christy Willhite, Manager of Government Relations, and her staff have been keeping a close eye on these bills.
2. The Austin Youth Film Fest and Capital Metro have teamed up for a contest with a cash prize. Teenagers who create a short film about a transit-related topic are eligible to have their film shown at the Alamo Drafthouse and win the prize.
3. The Finance Department won the Government Finance Officers Association Distinguished Budget Book Award.
4. Herzog has a new MetroRail GM, Lance Davis.
5. There will be a new picnic area outside the 2910 building to honor staff who have passed away. Plans are underway.
XII. Items for Future Discussion:

XIII. Adjournment

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I. Public Comment:

There was no public comment at the hearing.

II. Presentations:

1. Proposed August 2017 Service Changes

Manager of Short Term Planning Roberto Gonzalez presented an overview of the Proposed August 2017 Service Changes, including the public input process and outreach. The proposed changes are fairly minor in nature, and include increased frequency on MetroRapid Routes 801 and 803; potential use of the managed lane on MoPac by MetroExpress Services; a possible adjustment to the routing of Manor Route 470; and school-related changes that are made each year as college students return from summer holiday.

III. Items for Future Discussion:

IV. Adjournment

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Approval of a resolution authorizing the President/CEO, or her designee, to terminate the supplement to the Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to terminate the supplement to the Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271.

FISCAL IMPACT:
This action has no fiscal impact.

STRATEGIC PLAN:
Strategic Goal Alignment:
2. Demonstrate regional leadership

Strategic Objectives:
2.2 Pursue service expansion opportunities

EXPLANATION OF STRATEGIC ALIGNMENT:
Capital Metro and CARTS utilize a Regional Mobility Agreement to partner for providing services to areas which overlap Capital Metro's and CARTS' service areas.

BUSINESS CASE:
Route 271 has achieved ridership levels which require a larger vehicle. Capital Metro and CARTS mutually agree that transferring this route to another provider is in the best interest of the service.

COMMITTEE RECOMMENDATION:
This agenda item was presented and is recommended for approval by the Operations, Planning and Safety Committee on May 12, 2017.

EXECUTIVE SUMMARY:
Capital Metro and CARTS partner to operate transit services within the region. The parties utilize a master interlocal agreement (ILA) for the purposes of outlining terms and conditions which apply to all services. Supplements to the agreement outline each of the services provided and fees paid for that service.

This resolution terminates the existing supplements for Route 271 in Del Valle. A separate resolution will introduce a new arrangement for this route.

DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Bus and Paratransit Services
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-452)
Termination of ILA Supplement with CARTS

WHEREAS, the Capital Metropolitan Transportation Authority and Capital Area Rural Transportation System have partnered since 2010 to provide service on Route 271-Del Valle Feeder; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to terminate the existing supplement to the agreement.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President/CEO, or her designee, is authorized to terminate the supplement to the Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271.

________________________
Secretary of the Board
Juli Word

Date: ______________________
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute an Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271 for a period of three years and four months with estimated revenue to Capital Metro of $75,000.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute an Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271 for a period of three years and four months with estimated revenue to Capital Metro of $75,000.

FISCAL IMPACT:
Funding for this action is available in the FY2017 Operating Budget.

STRATEGIC PLAN:
Strategic Goal Alignment:
2. Demonstrate regional leadership

Strategic Objectives:
2.2 Pursue service expansion opportunities

EXPLANATION OF STRATEGIC ALIGNMENT:
Capital Metro and CARTS utilize a Regional Mobility Agreement to partner for providing services to areas which overlap Capital Metro's and CARTS' service areas.

BUSINESS CASE:
Route 271 has achieved ridership levels which require a larger vehicle. Capital Metro and CARTS mutually agree that transferring this route to another provider is in the best interest of the service.

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This ILA changes the operator of Route 271 in Del Valle. This route has demonstrated ridership which calls for a larger vehicle than is currently being utilized. Capital Metro and CARTS have agreed that the service would best be operated by a different Capital Metro Service provider.

A portion (3.6%) of Route 271 operates outside of Capital Metro's service area. Consistent with the agreements with other regional partners, Capital Metro has
calculated the costs associated with that portion of the route to be approximately $22,500 per year. CARTS will reimburse Capital Metro for these costs. This agreement is for a period of three years and four months.

DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Bus and Paratransit Services
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-436)
Interlocal Agreement with CARTS for Route 271

WHEREAS, the Capital Metropolitan Transportation Authority and Capital Area Rural Transportation System have partnered since 2010 to provide service on Route 271-Del Valle Feeder; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to encourage continued growth in ridership on this service.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President/CEO, or her designee, is authorized to finalize and execute an Interlocal Agreement with Capital Area Rural Transportation System (CARTS) for the provision of Route 271 for a period of three years and four months with estimated revenue to Capital Metro of $75,000.

________________________
Secretary of the Board
Juli Word

Date: _____________________
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract modification with Netronix Integration, Inc. in the amount of $280,948 for an access control system upgrade and to increase the not to exceed contract amount to $667,508.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract modification with Netronix Integration, Inc. in the amount of $280,948 for an access control system upgrade and to increase the not to exceed contract amount to $667,508.

FISCAL IMPACT:
Funding for this action is available in the FY2017 Capital Budget.

STRATEGIC PLAN:
Strategic Goal Alignment:
1. Deliver the best possible customer experience

Strategic Objectives:
1.1 Promote a culture of safety
1.2 Improve system reliability and convenience

EXPLANATION OF STRATEGIC ALIGNMENT:
The replacement of the security access control system will continue to provide a secure and safe environment to employees and customers at all Capital Metro facilities.

BUSINESS CASE:
The goal of implementing a new security access control system is to replace an outdated system that is at the end of its useful life with an updated system that will enhance facility security. The new security access control system will allow Capital Metro to capitalize on the new functionality available with a cloud-based system, including improved cyber network security and integration with the facility security camera system. For example, when an access control alarm is activated, the live camera video of the area will display.

COMMITTEE RECOMMENDATION: This item was presented to and is recommended for approval by the Operations, Planning and Safety Committee on May 12, 2017.

EXECUTIVE SUMMARY:
Capital Metro currently utilizes an electronic card-reader system for building access control that handles access for approximately 3,000 employees and contractors. The current system has come to the end of its useful life and may not be expanded to meet projected future needs. The cloud-based system has been previously installed at the 209 West 9th Street location and the bike cages at MetroRail stations under the contract with Netronix. The current scope of the contract with Netronix includes upgrading to the
cloud-based system at all remaining facilities, as well as repair and maintenance of card readers.

**DBE PARTICIPATION:** The contractor will exceed the goal utilizing the following DBE contractors. The goal is 8%  

<table>
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<th>DBE</th>
<th>SERVICE/PRODUCT</th>
<th>$</th>
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<tr>
<td>Hard Target Systems, Inc.</td>
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<tr>
<td>Guardian Industrial Supply, LLC</td>
<td>Supplies</td>
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**PROCUREMENT:**  
On April 13, 2015, Capital Metro awarded a contract to Netronix Integration, Inc., for Security Access Control System Services in an amount not-to-exceed $80,360 for the base year. The contract has four (4) option periods of twelve months' duration each. The Authority has exercised two (2) option periods, for a current not-to-exceed cumulative amount of $232,800. The remaining option year amounts for repair, maintenance and potential new card readers are $76,616 for option year 3 and $77,144 for option year 4. In order to upgrade the current access control system to the cloud-based system, an additional amount of **$280,948 would be added to the contract for the related products and installation.** Procurement has determined this amount to be considered fair and reasonable based on competitive market rates. The not to exceed contract amount including this modification and the remaining options years is $667,508.

This contract was not previously approved by the board because the annual contract amount was below the board approval threshold of $150,000.

**RESPONSIBLE DEPARTMENT:** Security
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-435)

Netronix Technologies Contract Amendment

WHEREAS, Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to ensure the safety and security of its employees and customers; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to upgrade the current facility access control system.

NOW, THEREFORE, BE IT RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors authorizes the President/CEO, or her designee, to finalize and execute a contract modification with Netronix Integration, Inc. in the amount of $280,948 for an access control system upgrade and to increase the not to exceed contract amount to $667,508.

____________________________________  ______________________
Secretary of the Board
Juli Word  Date:
Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute an Interlocal Agreement with the City of Austin in order to design, build, operate and maintain the Downtown Rail Station and Required Easements.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to negotiate, finalize and execute an Interlocal Agreement with the City of Austin in order to design, build, operate and maintain the Downtown Rail Station and Required Easements.

FISCAL IMPACT:
The funding for items identified in the Interlocal Agreement are included in the FY 2017 budget and in the five-year Capital Improvement Plan (CIP).

STRATEGIC PLAN:
Strategic Goal Alignment:
1. Deliver the best possible customer experience

Strategic Objectives:
1.3 Ensure an attractive and accessible transit environment
1.4 Deliver a customer-friendly experience through our people and systems

EXPLANATION OF STRATEGIC ALIGNMENT:
Executing this Interlocal Agreement will allow Capital Metro to design, build, operate and maintain the permanent Downtown Rail Station and related improvements. This will provide increased service and capacity, plus greater access to transit in a safe, accessible and customer friendly environment.

BUSINESS CASE:
An Interlocal Agreement between the City and Capital Metro is required to continue to design, build, operate and maintain the Downtown Rail Station Improvements.

COMMITTEE RECOMMENDATION:
This agenda item was presented and is recommended for approval by the Operations, Planning and Safety Committee on May 12, 2017.

EXECUTIVE SUMMARY:
The Texas Department of Transportation awarded a $50 million grant to Capital Metro for the purpose of purchasing four new commuter rail vehicles and constructing a permanent Downtown Rail Station. The execution of this Interlocal Agreement with the City of Austin will allow Capital Metro to design, build, operate and maintain the new Downtown Rail Station within the 4th Street right-of-way between Trinity Street and Interstate Highway 35. The Interlocal Agreement generally includes the following terms:

- Pursue the partial closure of 4th Street to automobiles and 2-way conversion of 5th Street
- Pursue the joint development of pending easements
- Pursue partnership for expedited permitting, traffic studies, infrastructure projects
- Establish Transit Plaza obligations and use
- Detailed plans relating to operations, maintenance, security, etc. to be developed prior to Station opening
- Utility responsibilities & utility access under tracks
- Coordination & access during construction
- Design, construction and cost sharing of City of Austin storm water system betterment (as detailed in previous Resolution AI-2017-386)
- Establish framework for financial contributions of City of Austin and Capital Metro

DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply

RESPONSIBLE DEPARTMENT: Capital Projects
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS
RESOLUTION (ID # AI-2016-164)
Downtown Station Improvements Approval of Interlocal Agreement and Required Easements with City of Austin

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to design, build, operate and maintain a new Downtown Rail Station within the 4th Street right-of-way between Trinity Street and Interstate Highway 35; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to execute an Interlocal Agreement and required easements with the City of Austin for this purpose.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President/CEO, or her designee, is authorized to negotiate, finalize and execute an Interlocal Agreement with the City of Austin in order to design, build, operate and maintain the Downtown Rail Station and Required Easements.

________________________
Date: _____________________
Secretary of the Board
Juli Word
Capital Metro Downtown Station Improvements

CMTA Board Briefing – May 2017

Interlocal Agreement (ILA) with City of Austin
Public & Stakeholder Outreach

- May 2014 – Stakeholder Workshop #1
- July 2014 – Stakeholder Workshop #2
- Nov 2014 – Stakeholder Workshop #3
- Jan 2015 – Public Workshop
- Aug 2015 – “Pop-Up” Open House
- Sept 2015 – “Pop-Up” Open House
- Oct 2015 – “Pop-Up” Open House
- Oct 2015 – Public Open House
- Dec 2015 – Stakeholder Workshop
- Dec 2015 – Public Workshop
- Fall 2016 – Canopy & Plaza Stakeholder Workshops
- Jan 2017 – Public Open House
## Presentations or Action Items

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<th>Status</th>
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<td>Pedestrian Advisory Council</td>
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<td>Bicycle Advisory Council</td>
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<tr>
<td>Downtown Commission</td>
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<td>Design Commission</td>
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<td>Planning Commission</td>
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<tr>
<td>Urban Transportation Commission</td>
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<tr>
<td>Parks &amp; Recreation Sub-Committee: Land/Facilities</td>
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<tr>
<td>Waller Creek Local Government Corporation</td>
<td>Done</td>
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<tr>
<td>City Council Mobility Committee</td>
<td>Done</td>
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<tr>
<td>Capital Metro Board Updates &amp; Action</td>
<td>May 2017</td>
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<tr>
<td>Austin City Council</td>
<td>May 2017</td>
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</table>

### Project Coordination or Presentations:
- Alliance for Public Transportation
- AURA
- Austin Parks Foundation
- Adjacent Businesses & Hotels
- Convention Center
- Downtown Austin Alliance
- Downtown Austin Neighborhood Assoc.
- Private Property Owners & HOAs
- Other City Projects
- Waller Creek Conservancy Design Team
Overall Site Plan (60% progress)

$22M TxDOT Grant
Plaza Designs – “One Plaza, Many Opportunities”
Canopy Evaluations
Option 1: “Symmetric Barrel Vault”
Canopy Evaluations
Option 2: “Tilted Barrel Vault”
Canopy Evaluations
Option 3: “Parasols”
InterLocal Agreement (ILA)

City Staff and Capital Metro joint development of an agreement for concept approval and support of the project.

Key Points:

- Right to construct, operate, and maintain new Station within City ROW
- Pursue development of pending easements
- Pursue partial closure of 4th Street to automobiles and 2-way conversion of 5th Street
- Pursue partnership for expedited permitting, traffic studies, infrastructure projects
- Transit Plaza obligations and use
- Detailed plans relating to operations, maintenance, security, etc. will be developed before the Station opens
- Utility responsibilities & utility access under tracks
- Coordination and access during construction
- Details of 72” storm drain upgrade (per previous Resolution AI-2017-386)
- Establish framework for financial contributions and fee waivers
Proposed Easements  
(Preliminary)

Outline of Easements

Final easement documents will be presented to CMTA Board and City Council for action at a future date.
Thank you

Downtown Multimodal Station
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract with HNTB Corporation for General Planning Consultant (GPC) services in an amount not to exceed $5.5 million for a base period of three years with two one-year options.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to finalize and execute a contract with HNTB Corporation for General Planning Consultant (GPC) services in an amount not to exceed $5.5 million for a base period of three years with two one-year options.

FISCAL IMPACT:
Funding for this action is available in the FY2017 Operating Budget.

STRATEGIC PLAN:
Strategic Goal Alignment:
1. Deliver the best possible customer experience.
2. Demonstrate regional leadership.
3. Demonstrate the value of public transportation in a dynamic community.
4. Continue to improve organizational practices and develop staff.

Strategic Objectives:
1.3 Ensure an attractive and accessible transit environment.
1.4 Deliver a customer-friendly experience through our people and systems.
2.1 Lead public transportation and development.
2.2 Pursue service expansion opportunities.
2.3 Encourage/promote transit-oriented development.
3.1 Develop new ridership markets.
4.4 Implement sustainability and environmental stewardship best practices

EXPLANATION OF STRATEGIC ALIGNMENT:
The Strategic Planning Department of Capital Metro is currently developing and implementing significant initiatives which will define short term service improvements and future high capacity transit investments with the goal to create mobility options for the Austin metropolitan area. Connections 2025 is the short range service plan and it was recently adopted by the Board of Directors. The plan is now entering its implementation phase. Project Connect which is the long range high capacity transit development plan, is finalizing the first phase of a 30-month development process and it is commencing phase two to develop a locally preferred alternative. In addition, the agency is seeking opportunities to reach out to communities that currently are not in Capital Metro’s service area. The development of Transportation Plans have opened the new market for services. Capital Metro’s planning initiatives are key components of the agency’s 2014-2019 Strategic Plan, they respond to goals of the plan related to customer experience, regional leadership and added community value. The need for professional planning and engineering support is essential to successfully develop and
implement these planning initiatives.

EXECUTIVE SUMMARY:
This support is achieved through the General Planning Consultant Services contract. This action will provide a contracting mechanism for the next three (3) years for the agency to obtain professional planning services from a team of highly qualified consulting firms to support and augment Capital Metro resources and staff. This will support Capital Metro’s goal of demonstrating regional leader and growing the service and customer base for transit; and strive to plan and develop high quality public transportation services and facilities directly and in cooperation with other entities.

BUSINESS CASE:
The General Planning Consultant contract is an effective mechanism to gain strategic professional expertise to support the development of projects and initiatives securing best planning practices to successful achieve project implementation. As the need for mobility options in the region grows, Capital Metro is constantly challenged with supporting a diverse set of planning efforts providing advanced strategies with solid justifications for implementation. Capital Metro partnerships with other agencies and transportation providers that rely on Capital Metro’s information and plans to support their initiatives to address the demand of a growing community seeking for a congestion alternative. The approval of the General Planning Consultant Services contract will provide a set of professional resources/expertise to Capital Metro’s planning staff to respond to these requests.

COMMITTEE RECOMMENDATION: This item was presented to and is recommended for approval by the Operations, Planning and Safety Committee on May 12, 2017.

EXECUTIVE SUMMARY:
This action will provide a contracting mechanism for the next three (3) years for the agency to obtain professional planning services from a team of highly qualified consulting firms to support and augment Capital Metro resources and staff. The contract is anticipated to be used for work related to current planning initiatives like Connections 2025, Project Connect and Transportation Development Plans, among others. The contract covers an initial three-year period with maximum expenditures of up to $3.5 million for a base period of 3 years. Two one-year options will be available at the discretion of the Board of Directors. Funding will come from the planning department operating budget or individual project funds such as grants.
DBE PARTICIPATION: The contractor will exceed the goal utilizing the following DBE contractors. The goal is 7%.

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<th>DBE</th>
<th>SERVICE/PRODUCT</th>
<th>$</th>
<th>%</th>
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<tbody>
<tr>
<td>Cross-Spectrum Acoustics, Inc.</td>
<td>Environmental Planning</td>
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<tr>
<td>MWM Design Group</td>
<td>Location Analysis, Passenger Facility Planning/Development</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>Sunland Group, Inc.</td>
<td>Capital Improvement Planning, Work Plan Programming/Schedule</td>
<td></td>
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PROCUREMENT:
On January 9, 2017, a request for Statements of Qualifications was issued and formally advertised. By the closing date of February 16, 2017, four (4) submittals were received. Submittals were rated based on the following factors:

1. The offerors demonstrated technical background, past performance and experience on projects of similar size, scope, complexity and nature and capabilities of the proposed project personnel;

2. The offeror’s demonstrated understanding of the project undertaking, the proposed plan for the performance of the work and the technical approach proposed by the offeror;

3. The qualifications of the project team members.

The submittal from HNTB Corporation was rated highest, all factors considered. The contract will be based on task orders and a negotiated fee based on a fixed price arrangement for the planning services identified in each task order. The base contract period is three (3) years with two (2) one-year option periods.

Total amount of award not to exceed $3.5 million for the base period and $1 million for each option period.

RESPONSIBLE DEPARTMENT: Planning and Development
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-440)
General Planning Consultant Services Contract

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to be a regional leader and grow the service and customer base for transit; and strive to plan and develop high quality public transportation services and facilities directly and in cooperation with other entities; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to obtain and apply best planning practices on the agency’s initiatives through the periodic support of a qualified and proven professional firm augmenting agency staff and resources.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President/CEO, or her designee, is authorized to finalize and execute a contract with HNTB Corporation for General Planning Consultant (GPC) services in an amount not to exceed $5.5 million for a base period of three years with two one-year options.

______________________________
Date: ________________________

Secretary of the Board
Juli Word
General Planning Consultant

Strategic Planning
Contract Approval – General Planning Consultant Services

Capital Metropolitan Transportation Authority
Board of Directors
May 22, 2017
Agencies' Strategic Plan Alignment

• Strategic Goals:
  – 1. Deliver the best possible customer experience.
  – 2. Demonstrate regional leadership.
  – 3. Demonstrate the value of public transportation in a dynamic community.
  – 4. Continue to improve organizational practices and develop staff.

• Strategic Objectives:
  – 1.3 Ensure an attractive and accessible transit environment.
  – 1.4 Deliver a customer-friendly experience through our people and systems.
  – 2.1 Lead public transportation and development.
  – 2.2 Pursue service expansion opportunities.
  – 2.3 Encourage/promote transit-oriented development.
  – 3.1 Develop new ridership markets.
  – 4.4 Implement sustainability and environmental stewardship best practices.
Business Case

The GPC is an effective mechanism to gain strategic professional expertise to support the development of projects and initiatives securing best planning practices to successful achieve project implementation

• Capital Metro is constantly challenge with supporting a diverse set of planning efforts providing advanced strategies with solid justifications for –some times- quick action/implementation

• Capital Metro partnerships with other agencies and transportation providers that rely on information and plans to support their initiatives to address the demand of a growing community seeking for a congestion alternative
Areas of Support

- Programming and Scheduling
- **Corridor Planning**
- Ridership Forecasting and Evaluation
- Environmental Planning
- Architectural and Engineering Design
- Cost Estimating
- Environmental Sustainability
- Transit Facilities Planning
- Traffic Operation Analysis
- Economic Development Planning Market Analysis
- Service Planning and Scheduling
- Data Collection
- Transportation Network Companies
- Emerging Technologies
Previous Contract Undertakings

- **Facilities Planning**
  - 10% Project Definition efforts for MetroRail, MetroRapid, Bus Service
  - Site planning and layouts for park and rides initiatives

- **Transportation Development Plans**
  - Hutto, Georgetown, Pflugerville, Buda...

- **Transit Oriented Development**
  - TOD Priority Tool

- **Ridership Forecast**
  - MetroRail LRP

- **Grant application development support**
  - TIGER Program Successful

- **Public involvement strategies**

- **Downtown station**

- **Environmental Sustainability**

- **Market Analysis**
  - Lakeline Station

**Previous:**
- Total of 29 Task Orders issued starting March 2013
- Total expenditures: $2,354,728.06
Targeted Initiatives

- Connections 2025
  - Implementation support
  - Public Involvement
- Project Connect
  - Enhancement Projects development
  - Investment Corridor development
- Regional Planning
  - Transportation Development Plans
  - Regional Fare Study
- Sustainability Studies
- Transit Oriented Development
  - TOD Priority Tool updates
Questions?
Approval of a resolution authorizing the President/CEO, or her designee, to amend the Capital Metro Procurement Acquisition Policy to ensure compliance with recent Internal Audit recommendations and to update the policy for disposing of Capital Metro surplus and obsolete property.
SUBJECT: Approval of a resolution authorizing the President/CEO, or her designee, to amend the Capital Metro Procurement Acquisition Policy to ensure compliance with recent Internal Audit recommendations and to update the policy for disposing of Capital Metro surplus and obsolete property.

FISCAL IMPACT: This action has no fiscal impact.

STRATEGIC PLAN: Strategic Goal Alignment: 4. Continue to improve organizational practices and develop staff

Strategic Objectives: 4.3 Strengthen agency – business partnerships

EXPLANATION OF STRATEGIC ALIGNMENT: This agenda item is in alignment with continuing to improve organizational practices and development of staff to strengthen the agency through business partnerships that are fair, measurable and mutually enforceable.

BUSINESS CASE: The Procurement Policy is structured to ensure that Capital Metro successfully exercises its fiduciary responsibility for obligating public funds. On occasion our policy requires revisions to incorporate changes in local, state, or federal requirements to accomplish this responsibility. Revisions frequently incorporate best practices in procurement to further strengthen our policy.

COMMITTEE RECOMMENDATION: This agenda item was presented and is recommended for approval by the Finance, Audit and Administration Committee meeting on May 12, 2017.

EXECUTIVE SUMMARY: Internal Audit conducted an audit on Investment Recovery in 2016 and recommended changes to the Investment Recovery portion of the Acquisition Policy. This amendment to the Policy is primarily issued to incorporate Chapter VIII to the Procurement Acquisition Policy which exclusively deals with Investment Recovery. In addition, the amendment afforded us the opportunity to revisit all the other chapters and clean up typos and outdated references. The changes to the Investment Recovery section expanded and consolidated policy to address:
. Potential conflict of interest
. Disposal of hazardous substances
. Donation Restrictions
. Anti-Scavenging Restrictions
. Disposal of worthless scrap, damaged or destroyed property.
. Environmental Sustainability

DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply

RESPONSIBLE DEPARTMENT: Procurement
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-424)
Amendment to the Procurement Acquisition Policy

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to amend the Procurement Department Acquisition Policy to ensure compliance with recent Internal Audit recommendations; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to update the policy for disposing of Capital Metro surplus and obsolete property; and

WHEREAS, the policies and procedures of the procurement manual are separated to distinguish that only policy changes require approval by the Capital Metropolitan Transportation Authority Board of Directors and the implementing procedures and standardized work processes and delineated responsibilities are delegated to the Procurement Director.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President/CEO, or her designee, is authorized to amend the Capital Metro Acquisition Policy to ensure compliance with recent Internal Audit recommendations for disposing of Capital Metro surplus and obsolete property.

________________________
Date: ______________________
Secretary of the Board
Juli Word
May 2017 Procurement Acquisition Policy Changes – Summary

Entire document

- Various spelling, grammar and format changes.
- Updated headers.
- All remaining references to Procurement Manager were changed to Procurement Director.
- Any references to “buyer” were replaced with “Buyer/CA” or “Buyer/Contract Administrator”
- Any references to “the Federal Micro Purchase Threshold” were corrected to “Capital Metro’s Micro Purchase Threshold”.

Chapter I

- Pg 3, Sec 2.1, last paragraph – Responsibility for the Vendor Disclaimer Form has been moved to Legal
- Pg 3, Sec 2.2 – As a result of the PSR, “approved equals” has been renamed “approved equivalents”
- Pg 6, Sec 5 – Removed portions pertaining to check requests, as that policy is determined by Finance.
- Pg 7, Sec 5.1 – Renamed section to remove references to check requests
- Pg 8 – Added bullets for Utilities and Sub-recipients.
- Pg 8, Secs 5.2 and 5.3 – Removed sections as they pertain to check requests

Chapter II

- Entire chapter – renumbered sections where needed
- Pg 2, Sec. 1.2 – Removed bullets that weren’t part of President/CEO authority and created a new Section II-2 for Reporting Requirements with them.
- Pg 3, Sec 1.3 – Removed; this section is reworked and expanded as the new Policy Chapter VIII
- Pg 5, Sec II-3 – Removed 4th paragraph
- Pg 6, last paragraph – changed “will” to “may” in 2 places
- Pg 9, Sec II-7 – Added language on Buy American
- Pg 9, Sec II-8, paragraphs 3 and 4 – Corrected forms and staff approvals needed
- Pg 11, Sec 8.2 – Removed third paragraph, as FTA has loosened requirements for contracts with a term longer than 5 years.
- Pg 14, Sec II-12 – Created new section for “Other Contract Types” which was formerly Sec 9.10, and incorporated what used to be sections 9.5, 9.6, 9.7, and 9.10, as these were incorrectly listed under Sec II-9 previously.
- Pg 14, paragraphs (a) and (b) – Removed parenthetical examples.
- Pg 15, paragraph (c) – Clarified information on Joint Development.
- Pg 15, Sec 12.7, end of 1st paragraph – Added statement that Capital Metro must follow Chapter 2269 of TX Govt Code for design-build projects.
- Pg 17, Sec II-13 – Moved former section 9.8 to be its own chapter.
- Pg 17, Sec II-14 – Moved former section 9.9 to be its own chapter.
- Pg 21, Sec II-16 – Removed last two paragraphs, the first of which was a referral to the Procedures document, and the second of which was a circular reference.
• Pg 22, Sec II-18 – Updated governing publications

Chapter III

• Pg 1, Sec III-1, paragraph 1 – Removed sentence tying Capital Metro’s micro-purchase threshold to the Federal, and inserted a statement defining the threshold as $3,000.
• Pg 1, Sec III-1, paragraph 2 – Inserted a clarification on bid-splitting.
• Pg 1, Sec III-1, paragraph 3 – Removed website address, as it was incorrect and they frequently change.
• Pg 1, Sec III-2 – Removed required form.

Chapter IV

• Pg 2, Sec 4.2 – Removed references to delivery method of solicitations.
• Pg 2, Sec 4.3 – Added records management guidelines and clarified use of historical records.
• Pg 2, Sec 4.4 – Added info about solicitation posting site.
• Pg 2, Sec 4.5 – Clarified that electronic bids will not be considered unless specifically permitted.
• Pg 2, Sec 4.7 – Added solicitation definitions to late bids.
• Pg 4, Sec 5.4, 2nd paragraph – Removed Procedure reference.
• Pg 5, Sec 5.6 – Changed “amendment” to “letter”
• Pg 7, Sec 6.1, last bullet – Updated debarment sites
• Pg 8, Sec 6.3 – Removed unnecessary, unclear sentence
• Pg 8, Sec 7.2 – Removed parenthetical example
• Pg 8, Sec 7.3 – Added clarification that if a single bid is received, the procurement can be negotiated.

Chapter V

• Entire chapter – Updated references to include SOQ method of solicitation.
• Pg 1, paragraph 3 – Added cites and descriptions for statutory professional services.
• Pg 3, Sec 1.7 – Added info about solicitation posting site and clarified proposer access to solicitations.
• Pg 3, Sec 1.8 – Changed “shall” to “may” in reference to advertising in non-required publications.
• Pg 3, Sec V-2 – Added language to clarify that pricing data is only confidential during the solicitation process.
• Pg 3, Sec V-2 – Removed reference to IFB.
• Pg 3, Sec V-3, 1st paragraph – added a qualifier to the last sentence, as price is only a factor in RFPs, not SOQs.
• Pg 6, Sec 3.4, 3rd paragraph – added to the beginning of the first sentence to clarify that it was for two-step sealed bids.
• Pg 7, Sec 3.5 – Removed last three sentences regarding phone interviews.
• Pg 8, Sec 3.7 – Added statement about Authority’s reserved rights.
• Pg 9, Sec 3.10 – Updated debarment sites
Chapter VI

- Pg 4, Sec 2.3(b) – Removed word limit.
- Pg 5, Sec VI-3 – Corrected approval levels.

Chapter VII

- No major changes.

Chapter VIII

- New chapter.
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**POLICY**

## Chapter I – Overview

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OVERVIEW

POLICY

I-1 INTRODUCTION

The Acquisition Policy of Capital Metropolitan Transportation Authority (Capital Metro) is designed to set forth the minimum standards for processing third party contracts. These policies are furnished to ensure that materials and services are obtained timely, efficiently, and economically, adhering to principles of good administrative practices and sound business judgment, utilizing Disadvantaged Business Enterprise (DBE) firms as an integral part of the process.

All procurement transactions, except micro purchases as defined herein, shall be conducted in a manner that provides for maximum competition consistent with FTA Circular 4220.1F, "Third Party Contracting Requirements," Department of Transportation 49 CFR Part 18 and 26, and the Capital Metro Employees' Code of Conduct.

Contracts outside the scope of third party contracting include employment contracts, real estate contracts and intergovernmental agreements. When possible, Capital Metro will purchase common goods and services using available Interlocal Cooperation Contracts and Agreements. Capital Metro is responsible for assuring that each of its sub-recipients complies with the applicable requirements and standards of FTA Circular 4220.1F, and that each of its sub-recipients is aware of the Federal statutory and regulatory requirements that apply to its actions as a sub-recipient.

Capital Metro will not implement any procurement practices, which give in-state or local geographical preferences in the evaluation of bids or proposals, except in those cases where Federal statutes expressly mandate or encourage geographic preference. This does not preempt State licensing laws.

Capital Metro policy recognizes four basic procurement methods:

- Micro (below the Federal Micro Purchase Threshold) and Small Purchase (from the Federal Micro Purchase Threshold to $50,000.00) Procurements (Chapter III);
- Sealed Bid (greater than $50,000.00) (Chapter IV);
- Competitive Proposal (greater than $50,000.00) (Chapter V); and
- Non-competitive Proposals (Chapter VI).

These methods encompass every type of third party contract currently utilized in
procuring goods, services, equipment, and construction for Capital Metro through local funds or Federally assisted programs or projects. A procedure has been developed for each method from inception of a project to its close out. Particular emphasis has been placed on certain aspects of the procurement process where warranted by the importance of the subject matter.

All Procurement transactions must be conducted in a manner that allows for full and open competition. Contracts with a value of $50,000.00 or more shall be awarded by sealed bid or competitive negotiation. The following practices are deemed restrictive of competition:

- Unreasonable requirements placed on firms in order for them to qualify to do business,
- Unnecessary experience and excessive bonding requirements,
- Noncompetitive pricing practices between firms or among affiliated companies,
- Noncompetitive awards to any person or firm on retainer contracts,
- Organizational conflicts of interest,
- Restrictive use of brand names,
- Any arbitrary action in the procurement process; and
- Geographic preferences (unless mandated).

I-2 VENDOR CONTACTS AND RELATIONS

The importance of demonstrating constant and attentive sensitivity to ethics policies cannot be overemphasized. Employees shall avoid any conduct which may give reasonable basis for the impression that any person can improperly influence official acts or actions. Employees shall avoid compromising or culpable acts, including any action that gives the appearance of improper influence or personal conflict of interest.

To avoid misunderstandings with vendors and contractors, the following guidelines shall govern Capital Metro contacts with vendors/or contractors:

2.1 Contacts Prior to Issuance of a Solicitation (IFB or RFP)

Informational and market research contacts with prospective vendors or contractors are a valuable source of data to Capital Metro. These contacts must be guided by the exercise of good judgment. The primary pitfalls to be avoided are promises or implications of a future contract and
requests for substantial complimentary goods or services, which may create the impression of an obligation on the part of Capital Metro. Some specific services or assistance from potential vendors, which should be avoided, are:

- Testing services
- Custom drawings
- Special investigations
- Demonstrations
- Furnishing significant samples
- Free trips to view products

If any of the above are required, coordinate the contact with the Procurement Department. A Vendor Disclaimer Form or Demonstration Agreement must be obtained from the Legal Department by the Project Manager to protect Capital Metro and the Contractor.

2.2 Contacts During Solicitation, Evaluation, Negotiation, and Award Process

All contacts with vendors or contractors that relate to procurement that are in the solicitation, evaluation, negotiation, and award phase must be conducted through the Procurement Department. The Procurement Department will direct technical questions, such as those relating to “approved equivalents,” to the Project Manager for evaluation.

The only exception to the above policy is that Disadvantaged Business Enterprise (DBE) questions or issues must be directed to the DBE Office.

Employees should not volunteer any information to a vendor concerning his product, the product of a competitor, or the workings of Capital Metro.

2.3 Acceptance of Gratuities

Invitations received from vendors or potential contractors for business lunches, dinners, or parties should be politely refused, noting that it is the policy of Capital Metro to avoid any situation that might give the appearance of improper influence.

Any offer of gratuities should be tactfully refused.
Any calendars, note pads, or similar items of nominal value received from vendors containing commercial advertising should not be used for Capital Metro business or displayed in the Procurement Department.

I-3 CONTRACTOR CLAIMS

Contractor claims must be submitted to the Procurement Director in accordance with the Disputes provision of the contract. Any contractor claim shall be accompanied by a certification that:

(a) The claim is made in good faith,

(b) Supporting data are accurate and complete to the best of the contractor's knowledge and belief; and

(c) The dollar amount requested accurately reflects the contract adjustment for which the contractor believes Capital Metro is liable.

If the contractor is an individual, that individual shall execute the certification. If the contractor is not an individual, the certification shall be executed by:

(a) A senior company official in charge at the contractor's plant or location involved; or

(b) An officer or general partner of the contractor having overall responsibility for the conduct of the contractor's affairs.

I-4 ORGANIZATIONAL CONFLICTS OF INTEREST

4.1 Detailed Content

An organizational conflict of interest occurs when the type of work to be performed may, without some restrictions on future or follow-on activities, result in an unfair competitive advantage or impair the contractor's objectivity in performing the contract work.

(a) When specifications and scope of work are prepared, it may identify the possibility that a firm:

- May have a competitive advantage because of prior work done (e.g. designed the information system to be installed).

- May have a bias performing the work because of prior work done or future interests of the firm (e.g. a firm
proposing to provide legal representation and advice for construction claims has a major local construction firm as a long term client).

- May have a competitive advantage in future or follow-on work as a result of the contract to be awarded (e.g. in a preliminary engineering procurement, many firms may wish to propose on the preliminary engineering work that also wish to propose on final design work of the same facility).

(b) If a situation as described above is identified, the firm’s eligibility for the contract should be restricted. If such a situation exists, the firm should be restricted from performing both contracts, i.e. require the firm to choose in advance whether, by offering to perform the work at hand, it wants to restrict itself from the second contract.

(c) Many procurements have the potential of organizational conflict of interest, but they are more likely to occur in contracts involving:

- Management support services
- Consultant or other professional services, particularly preparation of plans, designs, or specifications for further work or products
- Contractor performance of, or assistance in, technical evaluations
- Systems engineering and technical work performed by a contractor that does not have overall responsibility for development or production
- Legal and accounting services

4.2 General Rule

The following general rule prescribes limitations on contracting as the means of avoiding, neutralizing or mitigating organizational conflicts of interest that might otherwise exist in the stated situations. Each individual contracting situation should be examined on the basis of its particular facts and the nature of the proposed contract. The exercise of common sense, good judgment and sound discretion is required in both the decision on whether a significant potential conflict exists and, if it does, the development of an appropriate means for resolving it.
The underlying principle is Contractors that develop or draft specifications, requirements, statements of work, and invitations for bids or requests for proposals must be excluded from competing for such procurements.

By following this general rule, it assists in preventing the existence of conflicting roles that might bias a contractor’s judgment and preventing unfair competitive advantage.

I-5 NON-PROCUREMENT PURCHASES

There are instances where goods or services are not processed through the Procurement Department; however, the Procurement Department may set up Contract Purchase Agreements for these goods or services to track expenditures on an annual basis. Contract Purchase Agreements may be set up to track funding for any type of income or expense agreement.

Certain expenses are routinely incurred without the issuance of formal purchasing documents.

5.1 Items that do not require a Purchase Order or Purchase Agreement:

- Payroll account reimbursement, tax withholding payments, and all associated benefit payments.
- Claim settlements.
- Real property settlements and Escrow payments.
- Periodic vendor payments under established leases.
- Licenses and permits.
- Subscriptions and publications
- Conference and seminar registration fees.
- Organizational and professional membership dues.
- Refunds (returns of bid deposits, overpayment of bus passes, etc.)
- Reimbursement of petty cash.
- Freight bills and/or courier service.
- Official Capital Metro newspaper advertisements by Marketing,
Community Relations, Procurement, Personnel, and/or Legal.

- Travel advances and employee reimbursements.
- Replenishment of postage meters.
- Build Greater Austin program payments.
- Utilities.
- Sub-recipients.
- Insurance Premiums.

I-6 PREQUALIFICATION

Capital Metro does not maintain a prequalification program.

I-7 ENSURING MOST EFFICIENT AND ECONOMIC PURCHASE

Departments, during their annual budget process, should determine the procurement actions necessary to sustain their operations through the fiscal year. A list of these procurement actions should be forwarded to the Procurement Department annually. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase and to avoid purchase of unnecessary or duplicative items. Where appropriate, an analysis will be made of lease versus purchase alternatives and any other appropriate analysis to determine the most economical approach. Capital Metro considers various procurement sources to ensure economical purchases including, but not limited to DIR, HGAC, TXMAS, TCPN and Buy Board.
II-1 DELEGATION OF PROCUREMENT AUTHORITY

1.1 Board Authority

Chapter 451 of the Texas Transportation Code provides that the Board of Directors shall have authority and responsibility to advertise, enter into, and amend contracts for the purchase or lease of materials or services through competitive bidding. It also authorizes the Board of Directors to adopt rules governing its procurement policy.

1.2 President/CEO Authority

The Board of Directors hereby authorizes and delegates to the President/CEO or his/her designee, identified by signed Certificate of Appointment, the authority and responsibility to:

- Approve and execute all purchase requisitions.
- Advertise and/or issue solicitation documents (RFQs/IFBs/RFPs/SOQs).
- Issue solicitation documents (RFQs/IFBs/RFPs/SOQs) and execute contract instruments for consumable items which are considered basic requirements in support of Capital Metro’s day-to-day transit operations such as supply agreements for bus parts, supplies, petroleum products, tickets, and passes, regardless of the dollar amount.
- Approve and execute purchase orders and contract instruments awarded under Capital Metro’s micro and small purchase procedures.
- Execute contracts or options to contracts resulting from Invitation for Bids (IFB), Request for Proposals (RFP) and Statements of Qualifications (SOQ) which do not exceed the federal simplified acquisition threshold per year for services, the construction of improvements, or purchase of material, machinery, equipment, supplies and all other property, except real property. Any modification to the contract that causes the contract amount to exceed the federal simplified acquisition threshold in any year of the contract shall require Board approval. The federal simplified acquisition threshold is currently $150,000. The President/CEO is required to notify the Board of any future changes to this threshold.
- Approve and execute contracts resulting from non-competitive procurements and unauthorized procurement actions that do not exceed the federal simplified acquisition threshold.
- Approve and execute modifications to Board approved contracts which individually, or in combination, cannot exceed $150,000 or a Board approved
II-2 REPORTING REQUIREMENTS

The Director of Procurement shall report monthly all awards between the amount of $100,000 - $150,000 to the Finance, Audit and Administration Committee.

Any Contract modification above the President/CEO’s delegated procurement authority or the original Board approved risk-based contingency will require subsequent Board approval.

The Board of Directors will be kept informed of open Procurement activities through the President/CEO’s Open Procurement Project List at a level of detail and frequency satisfactory to the Board.

II-3 PURCHASE REQUISITIONS

The Procurement Department is responsible for all soliciting, purchasing and associated contracting activities in support of Capital Metro.

Capital Metro staff shall follow sound procurement and contract administration practices that ensure timely delivery of materials and services, promote greater economy and efficiency and adhere to prudent business principles.

There will be no procurement action taken until a properly executed Purchase Requisition (PR) and any required backup documentation is received by the Procurement Department. Requestors shall be trained by the Procurement Department on their specific responsibilities. The individual requesting the PR is responsible for the accuracy and adequacy of information supporting the request. PRs should be submitted early enough to have a purchase order or contract prepared, reviewed, and issued in time for the material or service to be obtained when needed. The requestor will be responsible for assuring that all advance preparations are made so that total PR processing time is expeditious. Incomplete PRs will be returned to the user department. PRs that contain incomplete information upon arrival in the Procurement Department will be returned to the originator for clarification prior to procurement action. PRs will not be accepted and processed for solicitation by the Procurement Department until the
specifications or scope of work are adequate to provide clear communication to the bidders or offerors. Purchase requisitions over the micro purchase threshold must have an independent cost estimate.

The Grants Accountant (Finance) and the Budget Office must approve all Purchase Requisitions for FTA-funded procurements. The Chief Financial Officer and the President/CEO must approve, regardless of the dollar value, any Purchase Requisition which is not within approved budgets; that is, where the financial availability is dependent on future budget changes or amendments.

Changes to the PR will not be made by the Procurement Department without notification to the department. If the department desires to make any change in estimated dollar amount or scope of work to the PR subsequent to submittal to the Procurement Department, the person making the change must obtain the approval of other required signatories of the PR. This approval may be in the form of initializing the change or by preparing a new PR and voiding out the old.

II-4 UNAUTHORIZED PROCUREMENT ACTIONS

When persons acting outside the established limits of procurement authority direct, instruct, order, or request a person to do something for, or on behalf of, Capital Metro without a purchase order, contract, contract modification, or formal change order, they are creating an unauthorized procurement action. Capital Metro may not be bound by the unauthorized procurement acts of individuals who have not been delegated procurement authority. Unauthorized procurement actions may include any of the following:

(a) The outright purchase of an item by an employee outside the Procurement Department.

(b) Placing orders against expired contracts, blanket purchase agreements or blanket purchase orders.

(c) Placing orders in excess of the “not-to-exceed” value of a variable quantity contract, blanket purchase agreement or blanket purchase order. Note that our fiscal year “budget” and the contract “not-to-exceed” values are not necessarily synonymous.

(d) Directing changes to the scope of the contractor’s work under the Contract without express, written, or delegated authority. Changes could be:
   - requiring additional work;
   - deleting work;
   - requesting quantities in excess of or less than those specified;
• “trading-off” item A for item B.

or

• changes to the contractual terms and conditions;
• requiring acceleration or deceleration of the work schedule;
• promising to pay sooner than called for in the contract;
• promising to pay more than the specified amounts.

(e) Changing the Nature or Quality of the Goods, Services or Construction.

• Directing the vendor to perform work outside of the original intent of the contract.
• Allowing substitutions of brand named items other than those specified in the agreement.

An unauthorized procurement action may result in the employee authorizing the action being personally liable and making payment to the vendor for the goods or services procured, the vendor absorbing any losses, or ratification for the unauthorized procurement action.

In the event of an unauthorized procurement, corrective or disciplinary action may be initiated against the employee charged with undertaking the unauthorized procurement action.

The President/CEO may reduce the department's budget by the amount of the inappropriate purchase amount or procurement action when a violation involves an amount exceeding the Federal Micro Purchase Threshold. The President/CEO may make a determination whether an employee will be required to pay Capital Metro for the amount of the violation. The President/CEO may delegate to the Procurement Director authority to approve unauthorized procurement actions that are less than $50,000.00.

The following classes of behavior provide general descriptions of activities which usually warrant a certain degree of disciplinary action for an offense. Actions are cumulative across levels. These examples are shown for illustrative purposes only and are not inclusive of every offense that may result in disciplinary action (i.e. changing the delivery address is a minor, moderate or major offense depending on the dollar amount of the order).

(a) Level I – Minor Offenses

• Any action in which the adverse affect is less than Capital Metro’s Micro Purchase Threshold.
- Authorizing bidder or vendor to begin work prior to receipt of a purchase order, contract, or contract notice to proceed.
- Authorizing substitution without prior written approval by the Procurement Department.
- Outright purchase of an item outside the Procurement Department that is not an emergency purchase.
- Changing the delivery address without modification to the purchase order or contract.

(b) **Level II – Moderate Offenses**

- Any action in which the adverse affect is from Capital Metro’s Micro Purchase Threshold to less than $50,000.00.
- Repeat of the same minor offense within one year.
- Changing the scope of work without a contract modification.
- Placing orders against expired contracts or purchase orders.
- Directing the vendor to perform outside the original intent of the contract.
- Promising to pay sooner than called for or to pay more than the amount specified.
- Agreeing to change the terms and conditions of the contract without the Procurement Department’s written modification.

(c) **Level III – Major Offenses**

- Knowingly committing an unauthorized procurement action which has an adverse effect of $50,000.00 or more, or significantly affects public image.
- Repeat of the same moderate offense within one year.
- Falsification of any documents submitted to the Procurement Department.
- Failure to disclose a known or potential organizational conflict of interest.
- Inappropriate discussion of proposals or their evaluation prior to award of a contract.
II-5 TRANSIT VEHICLE PURCHASES

Capital Metro will utilize a competitive procurement process (sealed bid or request for proposal) for procurement of transit vehicles.

Transit Vehicle Manufacturer (TVM) Certification requirements state that all bidders or proposers on transit vehicles purchased with FTA funds for the primary purpose of public transportation (this includes large buses, small buses, and vans) must certify compliance with Section 23.67 of DOT Minority Business Enterprise Regulation (49 CFR Part 26, Subpart D). Vehicles purchased for use as support (non-revenue) vehicles rather than for transport of passengers are excluded.

Capital Metro cannot purchase or lease a new model bus with any grants (including amendments) approved by FTA after September 30, 1989, unless such model bus has been tested at the Altoona test facility (49 CFR Part 665).

Capital Metro must complete a pre-award audit in compliance with 49 CFR Part 663 prior to contracting for the purchase of rolling stock. Capital Metro must also complete a post-delivery audit prior to final acceptance in accordance with 49 CFR Part 663.

II-6 BUY AMERICA CERTIFICATION REQUIREMENT FOR STEEL AND MANUFACTURED PRODUCTS

If steel or manufactured products (as defined in 49 CFR 661.3 and 661.5) are being procured, the appropriate certificate as set forth in 49 CFR 661.6 shall be completed and submitted by each offeror in accordance with the requirement contained in 49 CFR 661.13(b).

II-7 BUY AMERICAN CERTIFICATION REQUIREMENT FOR STEEL, IRON AND MANUFACTURED PRODUCTS

If steel, iron, and manufactured products as defined in 41 USC 8302 and 48 C.F.R. § 25.001 are procured using certain federal funds, the appropriate certificate of compliance shall be completed and submitted by each offeror.

II-8 EMERGENCY PURCHASES

Except under emergency situations, only authorized members of the Procurement Department may obligate Capital Metro to incur costs for the purchase of goods and services. Any other commitments are informal and expose whoever makes such a commitment to personal liability for costs thereby incurred. Genuine emergencies may arise at times when established purchasing procedures cannot be followed and non-Procurement Department personnel may be required to obligate Capital Metro to incur costs. To avoid unauthorized procurement actions, refer to Capital Metro Emergency...
Response Plan for specific details.

During normal business hours, the Procurement Department **MUST** be contacted before taking emergency action which obliges Capital Metro.

After normal business hours, the personnel making the emergency purchase should attempt to obtain quotes to the extent practicable within the time available to resolve the emergency. A PR must be submitted to the Procurement Department the next working day following the emergency procurement. The requisition shall include an Emergency Purchase Justification Form (PRO Form EPJ) containing an explanation of the emergency, why it could not have been anticipated, rationale for the selection of the awarded vendor, a statement that the price is fair and reasonable, to include how the price fair and reasonable determination was made.

In all instances, efforts shall be made to obtain DBE participation. Emergency purchases of $50,000.00 or more require the signature and approval of the department’s assigned Executive Vice President and the President/CEO on the Emergency Purchase Justification Form when it is submitted to the Procurement Department.

**II-9  TECHNICAL SPECIFICATIONS AND STATEMENTS OF WORK**

Technical Specifications and Statements of Work for either sealed bid or competitive proposal procurements shall describe accurately and in clear, concise language the technical requirements to be met by a contractor in satisfying Capital Metro’s needs. These documents shall be in a format that describes, in logical steps, the complete service or item to be delivered for each milestone of the total requirement from inception to 100% completion.

Specifications/requirements shall not be slanted toward any particular prospective contractor. Descriptive literature from one prospective contractor shall not be used as the sole basis for writing specifications/requirements. Descriptions shall not contain features that unduly restrict competition.

Solicitations of offers for professional services shall clearly and accurately set forth all requirements which the offerors must fulfill, including the factors to be used in evaluating the bids or proposals.

Work to be done on or to Capital Metro property requires contractor insurance. Risk Management will provide insurance requirements based on specific contractor tasking.

**II-10  CONTRACT TYPES AND OPTIONS**

10.1 **Contract Types**

There are two basic contract types: the **fixed-price type** and the **cost type**. The
fixed-price type is the only type of pricing arrangement that can be used in sealed
bid procurements. In negotiated procurements (RFPs), either the fixed-price or
the cost type contract can be used. The primary difference between the two
contract types is risk.

- In the fixed-price type, the risk of performing the contract for lump sum price
  falls on the contractor. If there is an unanticipated cost overrun, the
  contractor, not Capital Metro, must pay for it.

- In the cost type, the burden of risk falls on Capital Metro, who must not only
  pay the contractor a guaranteed fee, but must pay costs whether they exceed
  or fall short of original estimates.

Capital Metro shall not use a cost-plus-a-percentage-of-cost-contract. Such
contracts are prohibited by law where Federal funds are utilized and
by Capital Metro Policy where local funds are used.

Time and Materials contracts are restricted. The Common Grant Rule for
governmental recipients permits the use of time and materials contracts only:

(a) After determining that no other contract type is suitable; and

(b) If the contract specifies a ceiling price that the contractor may not
  exceed except at its own risk.

The Procurement Department will determine which contract type is most
appropriate for each specific procurement.

10.2 Federal Restrictions on Contract Term

Except for procurements of rolling stock and replacement part contracts, which
are limited by law to five (5) years, the other third party contracts (such as
property, services, leases, construction, revenue, and so forth) are not
encumbered by Federal requirements restricting the maximum periods of
performance. Nevertheless, the duration of the other contracts must be
reasonable.

10.3 Contract Options

A contract option is a unilateral right in a contract by which, for a specified time,
Capital Metro may elect to purchase additional equipment, supplies, goods or
services called for by the contract, or may elect to extend the term of the contract.
The option quantities or periods contained in the contractor’s bid or offer must
be evaluated in order to determine contract award. When options have not been
evaluated as part of the award, the exercise of the options will be considered a sole source procurement. Capital Metro must ensure that the exercise of an option is in accordance with the terms and conditions of the option stated in the initial contract award.

In recognition of Capital Metro’s needs in certain service contracts for continuity of operations and the potential cost of disrupted support, options may be included in service contracts if there is an anticipated need for continued service beyond the first contract period and competition is infeasible.

Capital Metro may exercise an option only after making a written determination, signed by the Project Manager, department’s assigned Executive Staff member, and Procurement Director and placed in the contract file, that the exercise of the option is the most advantageous method of fulfilling Capital Metro’s needs, considering price and other factors.

II-11 PERSONAL SERVICES CONTRACTS

A Personal Services Contract is a contract that, by its express terms and as administered, makes the Contractor personnel appear to be, in effect, Capital Metro employees. A Personal Services Contract is characterized by:

(a) The employer-employee relationship it creates between Capital Metro and the Contractor’s personnel;
(b) Relatively continuous supervision and control by a Capital Metro Manager;
(c) Contract performance is accomplished at a Capital Metro facility;
(d) Principal tools, equipment, goods, supplies, and administrative support is provided by Capital Metro;
(e) The services are applied directly to the integral effort of Capital Metro in furtherance of an assigned function or mission;
(f) Comparable services to meet the needs are not expected to last beyond one year; and,
(g) The inherent nature of the service, or the manner in which it is provided, reasonably requires, directly or indirectly, Capital Metro direction and supervision of contractor employees in order to:
   • Adequately protect Capital Metro’s interest;
   • Retain control of the function involved; or,
• Retain full personal responsibility for the function supported by a duly authorized Capital Metro officer or employee.

(h) Personal Services Contractors shall be selected on a competitive basis except when competition is not required or is waived pursuant to non-competitive procurement guidelines.

11.1 President/CEO Approval

The President/CEO must approve the use of a Personal Services Contract prior to solicitation. The President/CEO must also approve any modifications to a Personal Services Contract.

11.2 Reason for Use of Personal Services Contracts

Personal Services Contracts may be considered when one or more of the following factors apply:

• Requirement of special expertise or unusual qualifications.
• Nature, magnitude, or complexity of services required.
• Capital Metro lacks the resources, support staff, specialized facilities, or equipment.
• Lower cost.
• Short-term need for the services.
• Infrequent need for the services.
• Emergency requirements.

11.3 Requirements for Selection

The following are the requirements to be followed for selection of contractors for personal services:

• The user department requiring the services shall prepare a PR containing a description of the services, the reason why they are required, and the required or estimated schedule or duration of the services.
• The Procurement Department will prepare and advertise the Request for Proposal (RFP) as appropriate for the dollar value of the contract. DBE will review the requirement for DBE/SBE participation, if appropriate.
• The RFP shall describe the services to be performed; any completion dates or time requirements; DBE/SBE requirements, if applicable; and the criteria to be utilized by the Evaluation Committee in evaluating proposals. It shall also contain a requirement for a cost proposal and the date, time, and place
when proposals must be received.

- The Evaluation Committee will evaluate proposals using the stated evaluation criteria and recommend one or more proposers with which to negotiate. A recommendation shall be made to award a contract to the proposer(s) whose proposal(s) will be the most advantageous to Capital Metro, the price, qualifications, and other factors considered, using the evaluation criteria as the basis for the decision.

11.4 Personal Services Versus Temporary Employees

Temporary employees perform work that would ordinarily be done by regular staff. Temporary employees can fill positions for projects where the Board has approved staffing costs. Temporary employees can also be hired to assist in a work overload situation where a Capital Metro employee could perform the task if there were time.

II-12 OTHER CONTRACT TYPES

12.1 Revenue Contracts

A revenue contract is a contract in which the recipient or subrecipient provides access to public transportation assets for the primary purpose of either producing revenues in connection with an activity related to public transportation, or creating business opportunities with the use of FTA assisted property. Capital Metro has broad latitude in determining the extent and type of competition appropriate for a particular revenue contract. To ensure fair and equal access to FTA assisted property and to maximize revenue derived from such property, Capital Metro should conduct its revenue contracting as follows:

(a) Limited Contract Opportunities: If there are several potential competitors for a limited opportunity then Capital Metro should use a competitive process to permit interested parties an equal chance to obtain that limited opportunity.

(b) Open Contract Opportunities: If, however, one party seeks access to a public transportation asset, and Capital Metro is willing and able to provide contracts or licenses to other parties similarly situated, then competition would not be necessary because the opportunity to obtain contracts or licenses is open to all similar parties.

(c) Joint Development: Joint Development is when a public transportation agency forms a partnership with the private sector in order to promote real estate development in and around transit facilities, which is often referred to as “joint development.” Although FTA joint development
projects are primarily a means to provide private capital to transit projects, joint development projects combine aspects of federally assisted construction and revenue contracting. If a contract between Capital Metro and a third party involving a joint development project is not a construction contract or a revenue contract as defined in FTA Circular 4220.1F, then that contract is not covered by FTA’s third party contracting provisions. Nevertheless, even in situations not covered by the third party contracting provisions, FTA generally favors full and open competition. Joint Development is a function of Capital Metro’s Real Estate Department.

12.2 Design/Bid/Build

It has been traditional in the construction industry to employ an architect/engineer (A/E) to complete a detailed design of the entire project before soliciting bids from construction contractors. This traditional approach is known as sequential design and construction. This sequential design/construction approach requires that a detailed design package of the entire project be complete before bids are solicited from construction contractors. Following award of the construction contract, the A/E is often retained by the owner for the construction phase, and acts as the owner’s agent, to inspect the construction work to ensure that the structures are built according to the designs and specifications.

12.3 Design-Build

The design-build procurement method consists of contracting for design and construction simultaneously with contract award to a single contractor, consortium, joint venture, team, or partnership that will be responsible for both the project’s design and construction. The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) expressly authorizes the use of FTA capital assistance to support design-build projects “after the recipient complies with Government requirements,” 49 U.S.C. Section 5325(d)(2). Capital Metro must follow Chapter 2269 of Texas Government Code for all Design-Build projects.

(a) Construction Predominant: The construction costs of a design-build project are usually predominant so that the recipient would be expected to use competitive negotiations or sealed bids for the entire procurement rather than the qualification-based Brooks Act procurement procedures or Texas Professional Services Act.

(b) Design Services Predominant: When cost of most work to be performed will consist of costs for architectural and engineering, program management, construction management, feasibility studies, preliminary
engineering, design, architectural engineering, surveying, mapping, or related A&E services, Capital Metro must use qualifications-based procurement procedures based on the Brooks Act or Texas Professional Services Act.

(c) Public-Private Partnerships: A Public-Private Partnership (PPP) is a formal contractual arrangement between Capital Metro and one or more private partners establishing a mechanism for procuring property and services under which the private sector assumes some of the public sector’s customary role in planning, financing, design, construction, operation, and maintenance.

PPPs may use the following types of contracting delivery arrangements or project delivery systems including, but not limited to:

- Design-Build,
- Design-Build with a Warranty,
- Construction Manager at Risk,
- Design-Build-Operate-Maintain,
- Design-Build-Finance-Operate,
- Build-Operate-Transfer,
- Build-Own-Operate, and
- Full Delivery or Program Management.

For a description of these types of PPPs, see FTA “Notice of establishment of Public-Private Partnership Pilot Program; solicitation of applications,” 72 FR 2583, esp. 2584, 2585-2591, January 19, 2007.

(d) Value Engineering: Value Engineering is a procedure designed to incentivize contractors to submit change proposals which reduce the cost of contract performance by promising the contractor a share of the savings. Contractors can often find less expensive ways to perform their contracts than the methods prescribed in their contract specifications. They will be reluctant, however, to propose changes which will reduce their contract price and have the effect of reducing their profit on the contract. Value engineering is a technique designed to overcome this disincentive by offering them a share of the savings resulting from their change proposals. See Part 48 of the FAR for additional details on value engineering.
II-13 IMPERMISSIBLE ACTIONS

13.1 Improper Contract Extension

A contract has been improperly expanded when it includes a larger scope, greater quantities, or options beyond the reasonably anticipated needs. A contract has also been improperly expanded when excess capacity has been added primarily to permit assignment of those contract rights to another entity.

13.2 Cardinal Changes

A significant change in contract work (property or services) that causes a major deviation from the original purpose of the work or the intended method of achievement, or causes a revision of contract work so extensive, significant, or cumulative that, in effect, the contractor is required to perform very different work from that described in the original contract, is a cardinal change. Such practices are sometimes informally referred to as “tag-ons.” A change within the scope of the contract (sometimes referred to as an “in-scope” change) is not a “tag-on” or cardinal change. Cardinal changes are prohibited.

II-14 ACQUISITION THROUGH ASSIGNED CONTRACT RIGHTS

Although FTA does not encourage the practice, Capital Metro may find it useful to acquire contract rights through assignment by another recipient. A recipient that obtains contractual rights through assignment may use them after first determining the contract price remains fair and reasonable, and the contract provisions are adequate for compliance with all Federal requirements. Capital Metro does not need to perform a second price analysis if a price analysis was performed for the original contract. Capital Metro must determine whether the contract price or prices originally established are still fair and reasonable before using those rights. Capital Metro will be responsible for ensuring the contractor’s compliance with FTA’s Buy America review certifications. Before proceeding with the assignment, Procurement must review the contract to be sure that the quantities do not exceed the amounts available under the contract.

State contracts (DIR, TXMAS, TCPN, Buy Board, etc.) are considered piggybacking. All applicable requirements from FTA’s piggybacking checklist must be completed prior to making an award to any piggyback contract.

II-15 PROTESTS

A PROTEST MUST BE SUBMITTED TO THE PROCUREMENT DIRECTOR USING PROCEDURES SET FORTH IN EACH SOLICITATION.
Any interested party aggrieved or adversely affected in connection with the solicitation, evaluation, or award of a contract may file a protest with the Procurement Director of Capital Metro and appeal any adverse decision to the President/CEO of Capital Metro. Such protest must be in writing and received in the office addressed as follows: Capital Metro, Attn: Director, Procurement Department, 2910 East Fifth Street, Austin, Texas, 78702.

If Federal funds are used on this Contract, the bidder/offeror may appeal to the Federal Transit Administration (FTA) after exhausting all administrative appeals stated above. An appeal to FTA must be received by the appropriate FTA regional or Headquarters Office within five (5) working days of the date the protester learned or should have learned of an adverse decision by the Authority or other basis of appeal to FTA. The appeal must be submitted to:

Administrator  
FTA Region 6 Office  
819 Taylor Street, Room 8A36  
Fort Worth, Texas 76102

Reviews of protests by FTA will be limited to:

1. the Authority’s failure to have or follow its protest procedures, or its failure to review a complaint or protest; or

2. violations of Federal law or regulation.

Any protest submitted to the FTA must follow the procedures above, or it will be returned without action.

Any “interested party” is defined with respect to the following:

(a) With respect to complaints concerning the terms, conditions or form of a proposed procurement action, any prospective bidder or offeror whose direct economic interest would be affected by the award, or failure to award a contract.

(b) With respect to complaints concerning award decisions, only those actual bidders or offerors who have submitted a bid or offer in response to a Capital Metro solicitation and who, if their complaint is deemed by Capital Metro to be meritorious, would be eligible for selection as the successful vendor for award of the contract.

Protests directed to the terms, conditions or proposed form of procurement action must be received by the Procurement Director at least five (5) working days prior to the date established for the opening of bids or receipt of proposals. Protests concerning award decisions, including bid evaluations, must be received by the Procurement Director within five (5) working days after such aggrieved person knows, or should have known, of the grounds of the protest. The Procurement Director will always respond to issues raised by protests involving fraud, gross abuse of the procurement process, or otherwise...
indicating substantial prejudice to the integrity of the procurement system.

II-16 CONTRACT AUDIT POLICY

Internal Audit, Procurement, and Finance will annually conduct a joint review and risk assessment of existing and planned contract actions. A proposed risk-based list of planned contract-related audits and/or audit services will be developed. Internal Audit will request operating budget funds annually to address jointly-identified contract risk areas.

Risk considerations include, but are not limited to:

- Contract type / solicitation requirements
- Contract and/or change order (modification) amount
- Use of grant funding
- Management requests / urgency

Internal Audit will allocate internal and/or external audit resources to address identified high risk areas based upon availability of budget/staffing resources.

Scope

Internal and/or external audit resources can be used to perform or assist with the following contract-related activities:

- Evaluating cost proposals / pre-award audit
- Performing cost / price analyses
- Performing interim and/or contract close-out audits
- Other contract areas as deemed necessary (e.g., evaluating overhead rates)

II-17 CONTRACT BONDING POLICY

Capital Metropolitan Transportation Authority Procurement, Risk and user departments will jointly review construction, vehicle manufacturing, information technology, transportation operation and maintenance service solicitations and future contract modifications to determine if bonding requirements are appropriate, and if so, assess and determine at what levels. Each purchase will be evaluated on an individual basis as to risk and financial loss potential. This will include an assessment of a requirement for bonding to the contingency level as approved by the Capital Metro Board of Directors.

For construction or facility improvement contracts or sub-contracts, Capital Metro will adhere to Federal and State statutory bonding requirements. If Federal and State bonding requirements begin to diverge, Capital Metro bonding requirements policy will always mirror the most conservative statutory compliance requirement.

All other non-construction or non-facility improvement contracts may be reviewed if the contract price exceeds $100,000. All other non-construction contracts or facility
improvement contracts shall be reviewed if the contract price exceeds $1,000,000.

For all identified contracts, if the value of the undelivered work exceeds the bond amount by a material amount because of contract modifications, Procurement will seek to raise the value of the bond, or if federally funded, may request a waiver from FTA. Procurement will consider cost associated with a larger bond, whether the prime has required bonds from its subcontractors, and the performance record and financial resources of the prime.

When essential to the best interests of the Authority, or as required by law, the President/CEO may waive or require bonding, or may increase bonding amounts on any contract or purchase in weighing the effect on cost, competition and DBE participation.

For all contract related bonds, Capital Metro will require that any and all bond dividends, rebates, and refunds be returned to Capital Metro.

Exceptions to this policy require the written authorization of the President/CEO.

**II-18 GOVERNING PUBLICATIONS**

Capital Metro shall utilize acquisition and disposal methods and standards which ensure compliance with all Federal, State and Local laws and regulations; specifically those laws and regulations, such as:

**Statutes/Case Law**

- Federal Transit Laws, 49 U.S.C. Chapter 53
- TEA-21, Transportation Equity Act for the 21st Century
- Sections 4001 and 1555 of the Federal Acquisition Streamlining Act of 1994, 41 U.S.C. 403 (11) and 40 U.S.C. 481 (b) respectively
- Chapter 451, Texas Government Code, Metropolitan Rapid Transit Authorities
- Article 5160, V.T.C.S., Contractor’s Performance and Payment Bonds
- Chapter 551, Texas Government Code Open Meetings Act
- Chapter 552, Texas Government Code Public Information Act
- Chapter 2254, Texas Government Code Professional Services Procurement Act
- Chapter 2269, Texas Government Code Contracting and Delivery Procedures for Construction Projects
- All applicable Texas Case Law Decisions
Executive Orders

- Executive Order No. 12612, “Federalism”, October 26, 1986

Regulations

- 49 CFR Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (implements federal “Common Grant Rule” to Department of Transportation)
- 49 CFR Part 20, New Requirements on Lobbying
- 49 CFR Part 26, Participation by Disadvantaged Business Enterprise in Department of Transportation Programs
- 49 CFR Part 29, Government-wide Debarment and Suspension (Non-Procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)
- 49 CFR Part 663, Pre-Award and Post-Delivery Audits of Rolling Stock Purchases
- 48 CFR Chapter 1, Parts 1 through 53, Federal Acquisition Regulations Systems

Circulars

- FTA Circular 4220.1F, Third Party Contracting Requirements
- FTA Circular 4716, 1A, DBE Requirements for Recipients and Transit Vehicle Manufacturers, July 26, 1988
- FTA Circular 5010.B, Grant Management Guidelines, September 7, 1995

FTA Directives/Guidance

- Federal Transit Administration Master Agreement
- Federal Transit Administration: Lessons Learned Program
- FTA’s Best Practices Procurement Manual
MICRO AND SMALL PURCHASE PROCUREMENTS POLICY

All micro and small purchases shall be made from sources known to provide the types of goods or services required. Disadvantaged Business Enterprise firms are encouraged to participate in these procurements. Micro and small purchase procurements may not be modified to increase the dollar value of the purchase order in excess of the procurement method used, i.e. a purchase order based on the micro purchase method may not be modified beyond Capital Metro’s Micro Purchase Threshold or an order for $49,500 may not be increased beyond $50,000.00. Micro and small purchases are exempt from Buy America requirements.

III-1 MICRO PURCHASE

Micro purchases, including delivery charges, may be accomplished without securing competitive quotations if the prices are considered to be fair and reasonable. The threshold for Capital Metro Micro Purchases is $3,000.00. The department is required to submit previous purchase information and the purchase order number for similar, previous purchases in order to document rotation. The Procurement Department is not obligated to purchase from the department’s suggested source if the price is not considered fair and reasonable. Micro purchases made under the Purchasing Card (P-Card) Program are not excluded from the need for rotation.

Dividing a purchase requirement with the intent of avoiding Capital Metro’s Micro Purchase threshold, competition requirement, or other dollar thresholds is considered bid-splitting and is therefore prohibited.

NOTE: Micro Purchase Procedures must not be used for construction contracts with a value of $2,000.00 or more. Any construction purchase over $2,000.00 must include Davis Bacon wage rates.

III-2 SMALL PURCHASE

Small purchases (from Capital Metro’s Micro Purchase Threshold to $50,000.00) shall be made by obtaining at least three written quotations from responsive bidders, including one Disadvantaged Business Enterprise firm if possible. Written records of solicitations must be recorded. In the absence of adequate price competition, the buyer must make a determination that the price is fair and reasonable.
SEALED BID PROCUREMENTS
POLICY

All goods and services estimated to cost $50,000.00 or more should be purchased using full and open competition procedures. Procurement Department personnel may use the Disadvantaged Business Enterprise Directory, Texas Centralized Master Bidder’s List (CMBL), the requestor’s source list, the internet, and appropriate business registers to assist them in identifying sources.

IV-1 DESCRIPTIVE LITERATURE/WRITTEN DATA

Bidders are normally not required to furnish descriptive literature or written data as a part of their bid. Capital Metro may deem that such literature or written data is needed before award to determine whether the products offered meet the specification requirements of the Invitation for Bids and/or to establish exactly what the bidder proposes to furnish.

IV-2 BID SAMPLES

Bidders should not be required to furnish a bid sample of a product they propose to furnish unless there are certain characteristics of the product which cannot be described, adequately in the applicable specification or purchase description, thus necessitating the submission of a sample with the bid to assure procurement of an acceptable product.

IV-3 BIDDING TIME

Consistent with the need for obtaining goods, services or construction contracts, all Invitations for Bids must allow sufficient bidding time (i.e., the period of time between the date of distribution of an Invitation for Bids and the date set for opening of bids) to permit prospective bidders to prepare and submit bids.

IV-4 ADVERTISING AND SOLICITATION OF SEALED BIDS

4.1 Advertising

Every Invitation for Bid (IFB) shall be advertised in a local newspaper, and, as appropriate, on the internet, trade journals, etc. The notice must be published in a newspaper of general circulation at least once each week for two consecutive weeks before the date set for the bid opening. The first notice must be published at least 15 days before the date set for the bid opening.
4.2 Delivery to Prospective Bidders

Notice of IFBs should be delivered to the maximum number of prospective bidders deemed practicable and necessary to assure adequate competition.

4.3 Records of Invitation for Bids and Records of Bids

The Procurement Department must retain a record of every Invitation for Bids issued and of each abstract or record of bids, known as the Bid Tabulation, subject to records management guidelines. This record should be reviewed at the time of each subsequent procurement request for the same and/or similar items to ensure that historical data is analyzed for all pertinent purposes.

4.4 Amendment to Invitation for Bids

If, after issuance of Invitation for Bids, but before the time set for opening of bids, it becomes necessary to make changes in quantities, specifications, delivery schedules, opening dates, etc., or to correct a defective or ambiguous IFB, such changes will be accomplished by issuance of an amendment to the IFB. The amendment will be posted on the internet at Capital Metro’s customary solicitation posting site.

Any information given to a prospective bidder concerning an Invitation for Bid must be furnished promptly by amendment to all other prospective bidders. No award will be made on the IFB unless such amendment has been issued in sufficient time to permit all prospective bidders to consider such information in submitting or modifying their bids.

4.5 Responsiveness of Bids

To be considered for award, a bid must comply in all material respects with the Invitation for Bids, both to the method and timeliness of submission and to the substance of any resulting contract, so that all bidders are treated equally and the integrity of the formal solicitation process is maintained.

Facsimile or electronic bids will not be considered unless specifically permitted by the Invitation for Bids.

4.6 Time of Bid Submission

Bids must be submitted so as to be received in the office designated in the Invitation for Bids prior to the exact time set for opening of bids.

4.7 Late Bids

Bids are "late bids" when they are received by the Procurement Department (as directed in the IFB) after the exact time for bid opening. Late bids will not be accepted by Capital Metro, unless it can be proven that the bid was received...
timely and mishandled by Capital Metro employees, or as otherwise set forth in the solicitation.

4.8 Modification or Withdrawal of Bids

Bids may be modified or withdrawn by written notice received in the office designated in the Invitation for Bids not later than the exact time set for opening of bids.

4.9 Late Modifications and Withdrawals

Modifications of bids and requests for withdrawal of bids which are received in the office designated in the Invitation for Bids after the exact time set for opening are "late modifications" and "late withdrawals," respectively. A late modification of an otherwise successful bid will be considered. If in the Procurement Director's judgment it makes the bid more favorable to Capital Metro, a late withdrawal may be considered, provided that the request is fully documented.

IV-5 BID RECEIPT AND OPENING

5.1 Receipt of Bids

As bids are received, they shall be time/date stamped, secured and safeguarded until the established time for bid opening.

5.2 Opening of Bids

The official designated as the bid opening officer should announce when the time set for bid opening has arrived and will so declare to those present. All bids received prior to the exact time set for bid opening will then be publicly opened, recorded, and, when practicable, read aloud to the persons present. If it is impracticable to read the entire bid, as when many items are involved, the total amount of each bid will be read, if feasible.

5.3 Recording of Bids

The assigned Buyer/Contract Administrator and one other department employee shall be present at each bid opening to facilitate bid opening and recording of the bids. When the items are too numerous to warrant the recording of all bids completely, an entry should be made of the IFB number, opening date, general description of the procurement items, and the total bid price where definite quantities are involved. The buyer and other department employee will witness the bid tabulation sheet by placing their signatures thereon. If the Invitation for Bids is canceled before the time set for bid opening, the solicitation file must document the reason the bid was cancelled.
5.4 Cancellation of Invitation for Bid (IFB) After Opening

Preservation of the integrity of the sealed bid system dictates that, after bids have been opened, award must be made to that responsible bidder who submitted the lowest responsive bid, unless there is a compelling reason to reject all bids and cancel the IFB. As a general rule, after opening, an Invitation for Bids should not be canceled and re-advertised due solely to increased requirements for the items being procured. Award should be made on the initial Invitation for Bids and the additional quantity should be treated as a new procurement.

When an IFB must be canceled, it should be because (1) all bids were at unreasonable prices, (2) there is evidence of collusion or bad faith, or (3) competition was not adequate to assure a reasonable price. In such instances, thorough documentation to support the action taken must be included in the files.

Invitation for Bids may be canceled after opening, but prior to award, and all bids rejected, where the Procurement Director determines that circumstances justify such action. Complete written documentation of these cases must be placed in the contract files.

5.5 Rejection of Individual Bids

Any bid which fails to conform to the essential requirements of the Invitation for Bids, such as specifications, delivery schedule, or to any alternatives or other requirements which may be specifically provided for in the IFB, shall be rejected as non-responsive.

Ordinarily, a bid will be rejected when the bidder imposes conditions which would modify requirements of the Invitation for Bids or limit their liability to Capital Metro so as to give them an advantage over other bidders.

Any bid may be rejected if the Procurement Director determines in writing that it is unreasonable as to price. The determination must be supported by review and analysis of the action. Where a bid guarantee is required and a bidder fails to furnish it in accordance with the requirements of the Invitation for Bids, the bid must be rejected.

The originals of all rejected bids, and any written findings with respect to such rejections, will be preserved with the papers relating to the procurement.

After submitting a bid, if a bidder transfers all of its assets or that part of its assets related to the bid during the period between bid opening and the award, the transferee may not take over the bid. Accordingly, the bid will be rejected.

Low bids received from firms determined not to be responsible or ineligible for any reason by Capital Metro will be rejected.
5.6 Notice to Bidders of Rejection of All Bids

When a determination is made to reject all bids, the Buyer/Contract Administrator shall issue a letter notifying each bidder that all bids have been rejected, stating the reasons for such action.

5.7 Restrictions on Disclosure of Descriptive Literature/Written Data

When a bid is accompanied by descriptive literature or written data and the bidder imposes a restriction that such literature may not be publicly disclosed, such restriction renders the bid non-responsive if it prohibits the disclosure of sufficient information to permit competing bidders to know the essential nature and type of the products offered or those elements of the bid which relate to quantity, price, and delivery terms.

Descriptive literature restricted by a bidder against public disclosure will only be disclosed in accordance with the Texas Public Information Act.

5.8 All or None Qualifications

Unless the Invitation for Bids so provides, a bid is non-responsive by the fact that the bidder specifies that award will be accepted only on all, or a specified group, of the items included in the Invitation for Bids. However, bidders will not be permitted to withdraw or modify "all or none" qualifications after bid opening since such qualifications are substantive and affect the rights of other bidders.

5.9 Mistakes in Bids

Mistakes are usually discovered after bids are opened and before the contract is awarded. Four generally accepted categories of bid mistakes, and remedies to be exercised at Capital Metro's option are as follows:

(a) Minor informalities or irregularities in bids prior to award of the contract

These may be a matter of form and not substance, or an immaterial defect in a bid that can be corrected or waived without being prejudicial to other bidders. The defect is immaterial when the effect on price, quality, or delivery is negligible when contrasted with the total cost or scope of the requirement being procured.

Examples of minor informalities or irregularities include the failure of a bidder to:

(1) return the number of signed bids required by the IFB
(2) sign the bid, but only if the unsigned bid is accompanied by other material clearly indicating the bidder’s intent to be bound; or
(3) acknowledge receipt of an amendment to the IFB, but only if

- it is clear from the bid that the bidder received the amendment and intended to be bound by its terms; or
- the amendment involved had a negligible effect on price, quantity or delivery.

(b) **Obvious or apparent clerical mistakes discovered prior to award**

These mistakes are obvious or apparent on the face of the bid, such as misplacement of a decimal point, mistake in designation of unit, transposition errors, arithmetical errors, and typographical errors. Verification and correction must be made prior to award.

(c) **Mistakes other than minor informalities or irregularities in bids, or obvious or apparent clerical mistakes that are discovered prior to award**

These mistakes are generally raised by the bidder along with a request to withdraw its bid, such as a subcontractor’s price element was omitted from the bid. Generally the bidder will be allowed to withdraw its bid without prejudice.

(d) **Mistakes discovered after award**

Capital Metro may allow mistakes discovered after award to be corrected if the correction would be favorable to Capital Metro and not change the essential requirements of the specification.

### IV-6 EVALUATION OF BIDS

The Procurement Department shall conduct a public bid opening for all sealed bids. Contracts shall be awarded to the lowest responsive and responsible bidder considering price and other price-related factors set forth in the IFB.

6.1 **Responsible Bidder**

The term responsible refers to a bidder's financial resources, judgment, skill, integrity, and ability to fulfill successfully the requirements of the contract. The five principal criteria used to determine a bidder's responsibility are the following:

- Technical status as a manufacturer, supplier or construction contractor
- Financial resources and status
- Skill, experience, and staffing levels
• Prior conduct and performance of a contract

• Contractor integrity and compliance with public policy

• Before awarding any contract, the Authority will verify, using the Federal System for Award Management and the Texas Comptroller’s Debarred Vendor List, that the offeror recommended for contract award has no unsatisfactory performance history that would prohibit awarding them a contract.

The Procurement Department will make the determination as to whether or not a bidder is considered responsible.

6.2 Responsive Bidder

The responsiveness of the bid itself is determined by its conformance to the technical and legal requirements of the bid solicitation. Generally, a bid is not responsive and may not be considered for award when it contains a deficiency as to any material factor, defined as circumstance, which affects price, quality, or quantity of the articles or services furnished.

6.3 Evaluation Committee

For extremely large or very technical procurements, bids may be evaluated for responsiveness and acceptability of proposed costs by an evaluation team. The evaluation committee shall be selected as described in Chapter V.

Results of the evaluation must be documented to provide clear justification for contract awards. A separate technical evaluation memorandum will be prepared for each IFB procurement. It must be prepared by Capital Metro’s Project Manager to determine whether the apparent low bidder is technically responsive.

IV-7 AWARD PROCESS

7.1 Award

Award must be made by Capital Metro by written notice within the time for acceptance specified in the bid or extension thereof to the responsive, responsible bidder. Award will not be made until Board authorization has been obtained, if required, and contract is fully executed.

7.2 Delay of Award

If administrative difficulties cause unavoidable delays in awarding of contracts, and such delays threaten to delay award beyond the bidders’ acceptance period, the Buyer/Contract Administrator will request that all bidders extend their bid
acceptance period in writing for an additional specific number of days with the consent of sureties, if any. The Buyer/Contract Administrator processes this written request prior to the expiration of the bids in an attempt to avoid the need for re-advertising.

7.3 Award to a Single Bidder

In the event a single bid is received in a sealed bid procurement, Capital Metro must conduct a price or cost analysis of the bid. A single bid can be converted to a negotiated procurement if deemed necessary.

7.4 Award Criteria

In all sealed bid procurements, the award of contracts shall be to the lowest responsive, responsible bidder.
COMPETITIVE PROPOSAL PROCUREMENTS
POLICY

This chapter outlines the Capital Metro policies for the competitive proposal and qualifications-based procurement methods. The use of Expressions of Interest (EOI) or a Request for Information (RFI) are for informational purposes only and by themselves cannot result in a negotiated procurement.

RFP: A Request for Proposals (RFP) leading to a negotiated procurement shall be solicited from an adequate number of potentially qualified proposers in order to obtain the greatest possible competition. Contract award under the competitive proposal method is dependent upon the negotiation of a mutually acceptable agreement between Capital Metro and the successful proposer(s). Capital Metro reserves the right to reject all proposals and re-solicit or cancel the procurement if deemed by Capital Metro to be in its best interest. Capital Metro reserves the right to enter into a contract with any offeror based upon the initial proposal or on the basis of a final proposal revision (FPR) without conducting written or oral discussions.

SOQ: The qualifications-based procurement of statutory professional services, subject to the Texas Professional Services Procurement Act, Title 10, Chapter 2254 of the Texas Government Code, shall be accomplished utilizing the Federal Transit Administration best practices “Statement of Qualifications” (SOQ) method. After technical evaluations have been completed, discussions will be held with all firms determined to be in the technically competitive range. Price is never an evaluation factor for qualifications-based statutory professional services.

The selection of the technically “most qualified firm” shall be made at the conclusion of discussions and based upon the evaluation of a revised SOQ unless the determination has been made to award on the basis of the initial SOQ without conducting discussions with any of the competing firms. Where multiple awards are proposed, more than one firm can be considered as most qualified. Negotiations are conducted only after the most qualified firm or firms has been identified. If an agreement cannot be reached on price, the firm’s submittal is rejected and negotiations are conducted with the next most qualified firm.

This SOQ method will be used for procurement of statutory professional services, such as preliminary engineering, design, architectural, engineering, surveying, mapping, and related services which require performance by a registered or licensed architect or engineer.

When using the SOQ method for procurement of statutory professional services, geographic location may be a selection criteria provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

Late Proposals: Proposals are “late proposals” when they are received by the Procurement Department (as directed in the solicitation) after the exact time and date for the proposal closing. All late proposals will be returned unopened.

NOTE: After receipt of proposals, none of the information contained in the proposals or concerning the number or identity of offerors shall be made available to the public or to anyone in Capital Metro not having a legitimate interest or need to know prior to the approval of execution.
V-1 PREPARATION OF SOLICITATION DOCUMENTS FOR NEGOTIATION

1.1 Competitive proposals are generally utilized to obtain the following goods and services:
   - Architect/Engineer or related services contracts;
   - Professional Services Contracts;
   - Specialized Equipment or Materials Contracts.

1.2 All RFPs/SOQs shall be based on a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such requirements shall not contain features that unduly restrict competition.

1.3 The user department is responsible for providing the in-house independent cost estimate, technical specifications, evaluation criteria and corresponding weights, drawings for equipment, materials, and service contracts.

1.4 In addition to the technical requirements/statement of work, additional and special terms and conditions shall be prepared to cover such items as required or desired delivery schedule, progress reporting requirements, and technical evaluation criteria in order of merit. Requestors are responsible for providing this information, together with the Purchase Requisition, to the Procurement Department.

1.5 The Procurement Department is responsible for the solicitation package. A solicitation package includes instructions to offerors, technical specifications, the special terms and conditions recommended by the Department Project Manager, the contractual provisions required by the Federal government (if needed), the proposed contract terms and conditions, and the evaluation criteria that will be utilized to determine contractor selection.

1.6 All departments involved in the preparation of the RFP/SOQ shall review the portions for which they are responsible. When all reviews have been completed, and approvals obtained, the Procurement Department will issue the final solicitation.

1.7 Capital Metro is not obligated to solicit from every firm which may be included in its source list, but only from the number of qualified sources necessary to ensure effective competition. The fact, however, that a firm has not initially received a Request for Proposals does not mean that it cannot participate in a particular procurement. Solicitations will be posted on the internet at Capital Metro’s customary solicitation posting site. Notice of the solicitation should be delivered to the maximum number of prospective proposers deemed practicable and...
necessary to assure adequate competition. Any firm can request a copy of the solicitation and propose.

1.8 Every RFP/SOQ may be advertised, as appropriate, on the internet, in local newspapers, minority media trade journals, national media trade journals, etc. The notice must be published in a newspaper of general circulation at least once each week for two consecutive weeks before the date set for the submittal of proposal. The first notice must be published at least 15 days before the date set for receipt of offers. In the case of contracted transit services, the solicitation must be advertised once per week for eight (8) consecutive weeks.

V-2 CONFIDENTIALITY OF PROPOSALS

All cost and pricing data received by Capital Metro in competitive proposal procurements is to be treated as confidential during the solicitation process.

All technical data received in response to RFPs/SOQs is confidential except for data contained in the awarded contract.

Requests for these items shall be referred immediately to the office of the Chief Counsel for handling under the Texas Public Information Act.

V-3 GUIDELINES FOR THE EVALUATION OF PROPOSALS

Proposals shall be evaluated and ranked on the basis of criteria and the corresponding adjectival rating prepared by the department and contained in the solicitation. The criteria will specify the overall technical ranking as well as the analysis of cost. Generally, emphasis will be placed on the best value, technical expertise of the firm and, while price is a consideration, it is not normally the only determining factor. The objective is to select the firm or individual that can best provide the goods or services, when technical ability, price (if applicable), and other factors have been considered.

Several steps are normally completed prior to the selection of a successful proposer:

3.1 Evaluation Committee

Only technically qualified, independent and impartial members are selected for the evaluation of all requests for proposals.

3.2 Evaluation Criteria

Included in the RFP is a list of evaluation criteria, which will be used by the evaluation committee in reviewing the proposals. Typically, the evaluation criteria or factors will relate to the areas of technical expertise, project approach, and cost and price information.
(a) **Technical Expertise**

The RFP will identify for the proposer the types of technical expertise required for the particular job. The proposers will then be evaluated on their competence in those areas. For example, an RFP for A/E services might require expertise in the following areas:

- architectural
- structural
- mechanical
- electrical
- landscape
- civil engineering
- soils
- graphics
- acoustics
- traffic engineering
- environmental assessment

All areas may not be given equal value in the evaluation process, but may be weighted to reflect their relative contribution to the project. The technical criteria must be listed in the solicitation so that the proposer is aware of the items and their relative emphasis.

(b) **Project Approach**

The proposer will be evaluated on its understanding of the nature and scope of the work to be performed. The evaluation committee will consider both organization and experience with attention to factors such as:

- Experience and make-up of the firm
- Experience of key personnel assigned to the project
- Experience with government agencies
- Experience with transit projects
- Past achievements
- Commitment of key personnel to the project
- Cost realism
- Innovative management techniques
(c) Cost and Price Information

The following criteria (not listed in order of relative importance) will be used in the evaluation of cost proposals:

- Clarity and visibility of proposed cost breakdown for the proposer and its subcontractors and subconsultants.
- Credibility of labor hours and dollar cost estimates when related to the proposed project approach.
- Total price, including base and all option years.

Capital Metro may require proposers to submit information which would indicate the proposer’s financial capability to perform the effort required by the solicitation.

3.3 Evaluation Forms

The Procurement Department prepares an evaluation form for each proposer to be used by committee members in evaluating the proposals. The form must be based on the evaluation criteria listed in the solicitation.

3.4 Competitive Range

The Capital Metro evaluation committee shall make the determination of which proposals are in the competitive range. The competitive range shall be determined on the basis of the evaluation criteria stated in the RFP, or IFB when a two-step sealed bid procurement method is used, and shall include all proposals which meet the requirements or have a reasonable chance of being made acceptable. The initial number of proposals considered as being within the competitive range may be reduced when, as a result of the written communication or oral discussions, individual proposals are determined to be unacceptable.

Proposals submitted by responsible offerors that meet the technical requirements of what is being procured shall be included in the competitive range unless the proposal includes pricing that renders it infeasible.

In the two-step sealed bid process, when unpriced technical proposals are solicited, they shall be evaluated in the same manner as an RFP, holding discussions if needed and establishing a competitive range. In phase two, sealed bids are solicited from offerors whose proposals are determined to be acceptable to Capital Metro. Award is made to the lowest responsive and responsible bidder.

3.5 Oral Interviews/Written Communication

The committee members prepare lists of questions that they may ask the proposers during the oral interviews. These questions generally address items that
are not sufficiently covered by the proposers in the proposals. The proposer will be required to update the proposal in writing if clarification or additional information is provided in the oral interview.

The format of the oral interviews is varied. Proposers are either asked to make formal presentations or to be prepared for a question and answer session. The preferable method is for the proposer to be prepared for a question and answer session since Capital Metro will obtain more valuable information as it relates to the specific proposal. Oral interviews should not be an opportunity for a sales presentation.

(a) Written or oral discussions shall be conducted with all responsible offerors who submit proposals which are determined to be within the competitive range, price and other factors considered (including technical quality where technical proposals are requested) except that this requirement need not necessarily be applied to the following procurements:

- less than $50,000.00;
- in which prices or rates are fixed by law or regulation;
- in which date of delivery will not permit discussion;
- the solicitation stipulated that award might be made on the basis of initial proposals received.

(b) For the sole purpose of eliminating minor uncertainties or irregularities, an inquiry may be made to an offeror concerning his proposal. Such inquiries and resulting clarification furnished by the offeror shall not constitute discussions. If the clarification prejudices the interest of other offerors, award may not be made without discussion with all offerors in the competitive range.

3.6 Discussions with Offerors

(a) Any offeror determined to be in the competitive range and selected for oral discussions shall be provided written notification of the deficiencies in their proposal that will require clarification. A deficiency is defined as that part of a proposal that does not completely satisfy a Capital Metro requirement.

(b) Discussions shall not disclose the strengths or weaknesses of competing offerors or disclose any information about other proposals which would enable other offerors to improve their proposals.

(c) Auction techniques are strictly prohibited. Indicating to an offeror a price which must be met to obtain further consideration, or informing him that his price is not low in relation to another offeror are examples of auctioning. However, it is permissible to inform an offeror that his price may be considered by Capital Metro to be too high with respect to the marketplace.
or unacceptable.

(d) At the conclusion of discussions, a final, common cutoff date which allows a reasonable opportunity for submission of a Final Proposal Revision shall be established and all remaining participants so notified. If oral notification is given, it shall be confirmed in writing.

The notification shall include information to the effect that (i) discussion has been concluded, (ii) offerors are being given an opportunity to submit a Final Proposal Revision and, (iii) if any such modification is submitted, it must be received by the date and time specified.

3.7 Final Proposal Revision (FPR)

After all discussions have been completed, the Authority reserves the right to shorten its competitive range based upon the results of the oral discussions. Each of the offerors still in the competitive range will be afforded the opportunity to revise its proposal and make its FPR. The request for FPR shall include:

(a) Notice that discussions/negotiations are concluded;

(b) Notice that this is the opportunity for submission of a FPR;

(c) A common date and time for submission of written FPRs, allowing a reasonable opportunity for preparation of written FPRs;

(d) Notice that if any modification to a FPR is submitted, it must be received by the date and time specified for the receipt of FPRs and is subject to the late submissions, modifications, and withdrawal of proposals provision of the Request for Proposal;

(e) Notice that if offerors do not submit a FPR or a notice of withdrawal and another FPR, their immediate previous offer will be construed as their FPR.

NOTE: Capital Metro reserves the right to make an award to an offeror whose proposal it judges to be most advantageous without conducting any written or oral discussions with any offerors or solicitation of any FPRs.

3.8 Debriefing of Unsuccessful Offerors

When requested by an unsuccessful offeror, a debriefing will be conducted, following contract award, by the Buyer/Contracts Administrator, and Department Project Manager utilizing the evaluation matrix, documentation of scoring process, and the narrative appraisal describing the strengths and weaknesses as basis for the debriefing discussion. When a DBE firm requests a debriefing, the DBE Coordinator may be invited to participate in the debriefing.
3.9 Procurement Summary

The Buyer/CA will prepare written record of procurement history. At a minimum, the following records shall be maintained:

- The rationale for the method of procurement,
- selection of contract type,
- reasons for contractor selection or rejection, and
- the basis for the contract price.

3.10 Before awarding any contract, the Authority will verify, using the Federal System for Award Management and the Texas Comptroller’s Debarred Vendor List, that the offeror recommended for contract award has no unsatisfactory performance history that would prohibit awarding them a contract.
NON-COMPETITIVE PROCUREMENTS POLICY

VI-1 SOLE SOURCE

A Sole Source procurement is an acquisition where only one supplier exists for the required product, services or construction item(s). Proprietary does not justify sole source if there is more than one potential supplier available.

Consistent with Federal and State law, purchase requisitions for goods and services valued at Capital Metro’s Micro Purchase Threshold or more shall be competitively procured. Sole Source procurements may only be used when the award of a competitive contract is infeasible under Small Purchase, Sealed Bidding or Competitive Proposal procedures. One of the following circumstances must apply for Sole Source to be used:

- The item is one-of-a-kind equipment, goods or services, especially high technology or scientific, and available from only one source of supply;
- The public emergency for the requirement will not permit a delay resulting from competitive solicitation;
- After solicitation of a number of sources, competition is determined inadequate;
- The item is an associated capital maintenance item as defined in 49 U.S.C. 5307 (a) (1) that is procured directly from the original manufacturer or supplier of the item to be replaced. Capital Metro must certify in writing to FTA that (1) such manufacturer or supplier is the only source for such item and (2) the price of such item is no higher than the price paid for such item by like customers; or
- FTA authorizes Non-Competitive Negotiations.

The Procurement Department shall negotiate the purchase as to price or cost, delivery, terms and, as applicable, service(s), training, warranties, etc. A cost analysis, verifying the proposed cost data, the projections of the data, and the evaluation of the specific elements of costs and profit, is required.

Capital Metro will avoid Sole Source procurements except in circumstances where it is allowed by law and in the best interest of the agency. Sole Source procurements shall be allowed only on an exceptional and fully documented basis.

VI-2 UNSOLICITED PROPOSALS

Unsolicited proposal is defined as a written proposal that is submitted to Capital Metro on the initiative of the submitter for the purpose of obtaining a contract with Capital Metro and which is not in response to a formal or informal request.
Unsolicited proposals that Capital Metro determines to be acceptable based on need, favorable evaluation, and available funding will be processed as Sole Source procurements.

Unsolicited proposals are a valuable means for Capital Metro to obtain innovative or unique methods or approaches to accomplishing its mission.

Advertising material, commercial item offers, contributions or technical correspondence are not considered to be unsolicited proposals.

2.1 A valid unsolicited proposal must:

- Be innovative and unique.
- Be independently originated and developed by the offeror.
- Be prepared without Capital Metro supervision.
- Include sufficient detail to permit a determination that Capital Metro support could be worthwhile and the proposed work could benefit the agency’s mission responsibilities.
- Not be an advance proposal for a known agency requirement that can be acquired by competitive methods.
- Not be in response to a publicized general statement of agency needs that are not considered to be independently originated.

2.2 Advance Guidance

Capital Metro shall encourage potential offerors to make preliminary contacts with appropriate agency personnel before expending extensive effort on a detailed unsolicited proposal or submitting proprietary data to Capital Metro. These preliminary contacts include:

- Inquiries as to the general need for the type of effort contemplated.
- Contacts with agency technical personnel for the limited purpose of obtaining an understanding of the agency mission and responsibilities relative to the type of effort contemplated.

Capital Metro shall make available to potential offerors of unsolicited proposals at least the following information:

- Definition and content of an unsolicited proposal acceptable for evaluation.
- Requirements concerning responsible prospective contractors and organizational conflicts of interest.
- Role of technical correspondence before proposal preparation.
Agency contact points for information regarding advertising, contributions, solicitation mailing lists and other types of transactions frequently mistaken for unsolicited proposals.

- Procedures for submission and evaluation of unsolicited proposals.
- Information sources on agency objectives and areas of potential interest.
- Instructions for identifying and marking proprietary information.

Agency personnel shall conduct personal contacts without making any agency commitments concerning the acceptance of unsolicited proposals.

2.3 Content of Unsolicited Proposals

Unsolicited proposals should contain the following information to permit consideration in an objective and timely manner:

(a) Basic information including:

- Offeror’s name and address and type of organization; e.g. profit, nonprofit, educational, small business.
- Names and telephone numbers of technical and business personnel to be contacted for evaluation or negotiation purposes.
- Identity of proprietary data to be used only for evaluation purposes.
- Names of other federal, state, local agencies, transit authorities receiving the proposal or funding the proposed effort.
- Date of submission.
- Signature of person authorized to represent and contractually obligate the offeror.

(b) Technical information including:

- Concise title and abstract of the proposed effort;
- A reasonably complete discussion stating the objectives of the effort or activity, the method of approach and extent of effort to be employed, the nature and extent of the anticipated results, and the manner in which the work will help to support accomplishment of the agency’s mission;
- Names and biographical information on the offeror’s key personnel who would be involved, including alternates, and
• Type of support needed from the agency; e.g. facilities, equipment, materials, or personnel resources.

(c) Supporting information including:

• Proposed price or total estimated cost for the effort in sufficient detail for meaningful evaluation.
• A six-month period of time for which the proposal is valid.
• Type of contract preferred.
• Proposed duration of effort.
• Brief description of the organization, previous experience in the field and facilities to be used.
• Required statements about organizational conflicts of interest.

VI-3 APPROVAL LEVELS

Non-competitive procurements are required to have a “Sole Source Justification Form” processed along with the purchase requisition. Approval levels for non-competitive procurements are as follows:

<table>
<thead>
<tr>
<th>Dollar Value</th>
<th>Signature Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Metro’s Micro Purchase Threshold to 24,999.99</td>
<td>Department Head</td>
</tr>
<tr>
<td>25,000.00 to 49,999.99</td>
<td>Executive Vice President</td>
</tr>
<tr>
<td>50,000.00 to 149,999.99</td>
<td>President/CEO</td>
</tr>
<tr>
<td>Any Dollar Amount</td>
<td>Procurement Director</td>
</tr>
<tr>
<td>150,000.00 and Above</td>
<td>Board of Directors</td>
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</tbody>
</table>
Contract administration is managing the performance of both parties in all aspects of the contract to ensure successful completion. Contract administration encompasses contract modifications, change orders, and closeout or termination. The major players are the Department Project Manager and the Contract Administrator.

VII-1 DEPARTMENT PROJECT MANAGER RESPONSIBILITIES

After contracts are awarded and the Contractor has been issued “Notice to Proceed”, the Department Project Manager will guide the Contractor through the work process. The Department Project Manager shall review the progress of the work on a periodic basis and initiate review by Capital Metro staff, public agencies, and affected utilities as required.

The Department Project Manager shall review the Contractor's documentation and invoices in relation to the milestones, work completed to date, and budgeting information. The Department Project Manager shall also review invoices for accuracy and content and then approve for payment in accordance with Contract Terms and Conditions. The Contract Administrator must approve payment requests before Finance will process payment.

The Department Project Manager has a continuing responsibility to monitor the Contractor's work progress until it is completed and Capital Metro accepts the product or service.

VII-2 CONTRACT ADMINISTRATOR RESPONSIBILITIES

Immediately after full execution and award of the contract, the technical administration of the contract becomes the responsibility of the Department Project Manager with the administrative assistance of the Contract Administrator from the Procurement Department. The Contract Administrator and Department Project Manager establish the methods and procedures to be utilized in the performance of the contract as laid out in the Contract Management Plan.

Prior to the contract completion date, the Contract Administrator shall contact the Department Project Manager to confirm that no contractor effort will be required after the specified contract completion date and that the contract may be closed out. This action shall be initiated at least sixty (60) days prior to the specified completion date, whenever possible. This is necessary to determine whether there will be an overrun, to negotiate and extend the period of performance if necessary, and to allow sufficient procurement lead time if there is a follow-on effort. If the contract is to be completed on schedule, the Contract Administrator shall proceed with the contract closure; otherwise, appropriate action shall be taken to extend the contract.
VII-3 CONTRACT MODIFICATIONS

Contract Modifications shall be used pursuant to the Changes provision in the Contract when it becomes necessary to change the contract cost and/or fee, Statement of Work, Period of Performance, or any other mutually agreeable change to the Contract. The authorized representative of the Contractor and Contract Administrator must execute all Contract Modifications in writing.

The Department Project Manager shall coordinate the requirement for a contract modification as soon as the need is known and shall provide the necessary documentation to permit the Modification to be processed in the most expeditious manner to prevent delays in the Project Schedule.

VII-4 CHANGE ORDERS

Under certain unforeseeable conditions, it may become necessary to redirect the Contractor's effort to prevent an adverse impact on the Project. In such instances, the Contract Administrator may issue directions by a unilateral "Change Order" pursuant to the Changes provision. If such direction causes an increase or decrease in the estimated cost and/or fee, a change in the Period of Performance, or affects any other provision of the Contract, the Change Order shall be incorporated into the Contract by formal Contract Modification in the most expeditious manner possible.

VII-5 CONTRACT TERMINATION

The performance of work under a contract may be terminated in part or in whole when the Contract Administrator determines that such termination is in the best interests of Capital Metro. Contracts may be terminated for convenience, such as a reduced need or in the best interests of Capital Metro, or for default, such as the Contractor failing to perform in accordance with the contractual requirements.

VII-6 CONTRACT CLOSEOUT

The Contract Administrator and the Project Manager are responsible for insuring that contract files are closed in a timely manner and the closeout actions are documented on the closeout checklist, and in such additional details as appropriate.
INVESTMENT RECOVERY POLICY

VIII-1 DISPOSAL OF CAPITAL METRO SURPLUS OR OBSOLETE PROPERTY

1.1 Purpose:

The intent of this policy is to establish uniform guidelines for the disposal or transfer of surplus, for obsolete Capital Metro equipment and supplies. This policy is consistent with Capital Metro’s Environmental and Sustainability Policy (SUS-100) and Fixed Assets Capitalization & Disposal Policy (FIN-104). This policy shall apply to all tangible personal property, including rolling stock and technology equipment. This policy excludes the transfer, sale or disposal of real property.

1.2 Definitions:

Damaged – property that is not operable and would require excessive repair (cost, manpower) to return the asset to serviceable condition.

Destroyed – property that is not operable due to destruction beyond repair.

Fair Market Value (FMV) – an estimate for the cost of an asset generated from market research for that particular asset.

Hazardous Waste – regulated and listed waste that is dangerous or capable of having a harmful effect on human health or the environment.


Member Unit – any governing body, municipality, or county within the Capital Metro service area which participates in the appointment of a Capital Metro Board member.

Obsolete – property that no longer meets Capital Metro’s specifications or requirements but is still serviceable or useable.

Scrap – property that no longer functions, is unserviceable but may contain some market value for its basic material content.

Surplus – property that is in excess of Capital Metro’s requirements and is no longer needed but may be useable.

Waste – property that is worthless, useless, and has no market value.

Zero Waste – material handling methods that prioritizes reuse, repurposing, composting and recycling over landfilling.
Zero Waste Hierarchy – a method of evaluating the end of use of products that emphasizes conservation, reuse, product take-back, recycling and recapturing material/energy; and avoids disposal methods that cause the release of toxic materials. Properly regulated landfilling is the last choice in the hierarchy.

VIII-2 PROPERTY DISPOSAL FORM

The Property Disposal form authorizes the process for disposing of assets in accordance with the Investment Recovery Policy. A fully authorized Property Disposal Form is required in order to dispose of any Capital Metro asset. Further information regarding the Property Disposal Form can be found in the Finance Department’s Fixed Assets Capitalization & Disposal Policy (FIN-104); Disposal of Locally Financed Assets.

VIII-3 DETERMINING THE METHOD OF DISPOSAL

The President/CEO or his/her designee shall be responsible for the segregation, sale and disposal of surplus, obsolete and scrap material and equipment in accordance with all applicable laws and regulations. All surplus property will adhere to the following hierarchy method to determine disposition established for the property:

(a) Obsolete, Non-repairable or Surplus Vehicles:
   (1) Offered to each Member Unit at fair market value
   (2) Sale through public auction
   (3) Request for Offer (RFO)
   (4) Salvage through recycle vendors

(b) Obsolete or Surplus Property:
   (1) Reuse within Cap Metro
   (2) Offered to each Member Unit at fair market value
   (3) Sale through public auction
   (4) Request for Offer (RFO)
   (5) Recycle
   (6) Landfill

(c) Obsolete or Surplus IT Equipment:
   (1) Reuse within Cap Metro
   (2) Trade in as part of new IT procurement
   (3) Offered to each Member Unit at fair market value
(4) Sale through public auction
(5) Request for Offer (RFO)
(6) Recycle
(7) Landfill

(d) Obsolete, Non-repairable or Scrap:
   (1) Sale through public auction
   (2) Request for Offer (RFO)
   (3) Salvage through recycle vendors
   (4) Landfill

VIII-4 FAIR MARKET VALUE

In estimating the Fair Market Value of such Surplus Property, reference shall be made to identifiable active markets for such property and information concerning additional factors may also be considered, which may include one or more of the following:

   (1) Original purchase cost (if available)
   (2) Depreciation
   (3) Residual Value
   (4) Estimated Replacement Value
   (5) Current condition and or market value of the item
   (6) Independent Appraisal

VIII-5 SALE OF OBSOLETE OR SURPLUS VEHICLES

When obsolete or surplus vehicles become available, a list of the vehicles, including the offered price based on fair market value, will first be made available to each Member Unit within the Capital Metro Service Area. Any vehicle not sold to a Member Unit within ten (10) business days after notification of vehicle availability will be offered for sale to the general public.

Methods for disposing of obsolete or surplus vehicles include but are not limited to:

   (1) Request for Offers (RFO), public auction or online auction;
   (2) transfer or sale to other public agencies;
   (3) transfer to non-profit agencies or organizations consistent with
established legal parameters;

(4) trade-in as part of a new procurement; or

(5) sale to recycling or scrapping vendors for material content.

The sale or transfer of surplus vehicles funded by the Federal Transit Administration (FTA) shall be processed in accordance with 49 CFR 18.32 and FTA Circular 5010.1D, Grant Management Requirements as stated in the Finance Fixed Asset Policy (FIN-104); Removal from Service and Disposal of Grant Purchased Assets.

VIII-6 SALE OF OBSOLETE OR SURPLUS PROPERTY

When obsolete or surplus assets become available, a list of the assets, including the fair market value (FMV), will first be offered to any Member Unit within the Capital Metro service area. Capital Metro may accept an offer of in-kind service equal to FMV instead of monetary payment. Any asset not acquired by a Member Unit within ten (10) business days after notification of availability will be offered for sale to the general public.

6.1 Surplus Property:

Methods for disposing of obsolete or surplus property include but are not limited to:

(1) Request for Offers (RFO), public auction or online auction;

(2) transfer or sale to other public agencies;

(3) transfer to non-profit agencies or organizations consistent with established legal parameters;

(4) trade-in as part of a new procurement; or

(5) sale to recycling or scrapping vendors for material content.

The sale or transfer of obsolete or surplus property funded by the Federal Transit Administration (FTA) shall be processed in accordance with 49 CFR 18.32 and FTA Circular 5010.1D, Grant Management Requirements as stated in the Finance Fixed Asset Policy; Removal from Service and Disposal of Grant Purchased Assets.

6.2 IT Equipment:

The Information Technology Department will be responsible for the review of the continued usefulness of computer equipment and telecommunications equipment within Capital Metro and may identify such equipment as Surplus Property. Surplus IT equipment shall be disposed of using the methods described in section 6.1 above.
VIII-7 SALE OF SCRAP, DAMAGED OR DESTROYED PROPERTY

Scrap, damaged, or destroyed property as determined by the President/CEO or his/her designee shall be sold in accordance with industry best practices through scrap or recycle vendors at the market price for the material content (i.e. steel, metal, plastic, etc.) of the property.

VIII-8 DISPOSAL OF SCRAP WITHOUT MONETARY VALUE, DAMAGED OR DESTROYED PROPERTY

8.1 Surplus Property:

The President/CEO or his/her designee has the authority to dispose of the property in the most cost-effective means consistent with all relevant laws and regulations through proper waste channels in accordance with industry best practices for the following:

- Scrap without monetary value.
- Damaged property
- Destroyed property

These items may be deemed as trash if they have no net monetary value.

8.2 IT Equipment:

Disposal of worthless damaged, or destroyed IT equipment shall be made through a certified electronics recycling and disassembly facility in accordance with all relevant laws, regulations and industry best practices.

VIII-9 ZERO WASTE, SUSTAINABILITY AND DISPOSAL OF HAZARDOUS WASTE MATERIALS

9.1 Zero Waste and Recycling:

To the highest extent possible, the disposition of product that is no longer useful to Capital Metro should follow the zero waste hierarchy. This standard is consistent with sustainability and state of good repair best practices, and allows for the highest and best use. Zero waste methods include: reuse, repurposing, vendor take-back, packaging minimization and reuse, recycling, composting, and other methods that conserve natural resources and minimize landfilling.

All electronic waste disposal will follow best practices by using a recycling facility or vendor that follows Sustainable Electronics Recycling International (SERI) R2 (or similar standards) guidelines whenever possible.

9.2 Disposal of Hazardous Materials:
When hazardous waste materials become available all waste disposal activities will be completed in accordance with all applicable local, state and federal waste disposal law, ordinances and rules.

Surplus Property containing any of the Hazardous Waste materials referenced below shall be identified in the Property Disposal Form.

The materials may include (but are not limited to):

1. Paints (Oil, Enamel, Polyurethane, Latex)
2. Batteries (All types)
3. Chemicals (Acid/Base/Flammables)
4. Pesticides
5. Petroleum Products
6. Tires (new outdated or used)
7. Refrigerants (i.e. Freon) - Any surplus equipment that utilizes refrigerants must be certified free of refrigerant before disposal
8. Electronic equipment containing hazardous materials

9.2 Vendors and Sustainability Practices:

In accordance with Capital Metro’s Environmental and Sustainability Policy (SUS-100), all efforts will be taken to make vendors aware of Capital Metro’s Environmental Sustainability Management System (ESMS) Policy for assurance that they will dispose of any surplus materials properly, while adhering to all environmental laws and regulations.

VIII-10 CONFLICT OF INTEREST (COI) RESTRICTIONS

Capital Metro Procurement personnel, the requesting employee, the requesting department’s manager and/or supervisor and their immediate family members are restricted from purchasing all surplus items due to conflict of interest concerns. Generally, Capital Metro employees may make an offer and/or purchase Capital Metro surplus property under the same rules as the general public, unless they are a party listed above. Violations by parties that are restricted from purchasing Capital Metro surplus property can result in disciplinary action up to and including termination.

VIII-11 DONATION RESTRICTIONS

Donations by a governmental entity to a public, non-profit or any other organization are prohibited under Sec. 51 of the Texas Constitution. It is considered granting of public funds without receipt of value. Donations of Capital Metro surplus property are restricted under this policy.
VIII-12 ANTI-SCAVENGING RESTRICTION

Capital Metro property that has been identified as surplus and turned in for disposal, including items that cannot be sold, falls under the anti-scavenging restriction, meaning that unauthorized removal, disposal, or expropriation of Capital Metro Property or Surplus Property is considered theft and could subject individuals to disciplinary action up to and including termination or criminal prosecution.
Approval of a resolution to authorizing the President/CEO, or her designee, to implement the FY2018 Strategic Plan.
SUBJECT:
Approval of a resolution authorizing the President/CEO or her designee to implement the FY 2018 Strategic Plan.

FISCAL IMPACT:
This action has no fiscal impact.

STRATEGIC PLAN:
1. Deliver the best possible customer experience
2. Increase Ridership
3. Community
4. Human Capital
5. Finance

STRATEGIC OBJECTIVES:
1.1 Promote a culture of safety
1.2 Improve system reliability
1.3 Ensure an attractive and accessible transit environment
1.4 Deliver customer friendly experience through our people and systems
2.1 Foster a new regional vision
2.2 Lead public transportation development
2.3 Pursue service expansion opportunities
2.4 Encourage and promote Transit Oriented Development
2.5 Generate Funding
3.1 Educate and Inform Stakeholders about Capital Metro Mission
3.2 Build Strong community partnerships that further Capital Metro mission and vision
3.3 Create service strategies that utilize community and stakeholder feedback
3.4 Support plans and programs designed to build ridership and increase market share
4.1 Enhance organizational development
4.2 Enhance employee recognition and reward programs
4.3 Be an employer of choice
4.4 Improve Internal communications
5.1 Continue improving the financial systems of the agency
5.2 Implement sustainability and environmental stewardship
5.3 Continue our commitment to State of Good Repair and transit asset management

EXPLANATION OF STRATEGIC ALIGNMENT:
The strategic plan establishes the agency’s goals and objectives and serves as a guide for organizational direction. The initiatives within the goals align with the goals and objectives to ensure we are doing the right things to achieve the goals. In addition, the plan includes strategic performance measures to allow the agency to stay focused on performance improvement.

BUSINESS CASE:
The strategic plan is presented to the Board of Directors on an annual basis to ensure all business requirements are being addressed. The plan serves as a roadmap for Capital Metro staff to develop business plans and budgets.

COMMITTEE RECOMMENDATION:
This agenda item will be presented to the Board of Directors on May 22, 2017.

EXECUTIVE SUMMARY:
Capital Metro Board of Directors met in October 2016 to discuss the initial direction for development of the strategic plan. The mission, vision, and goals were reviewed and the Board provided staff with direction.

President Watson and staff met in November 2016 to further develop key initiatives and the supporting measures in response to the input received from the Board.

On April 7, 2017, the Board of Directors held a work session to review staff’s work and ensure the key business objectives were addressed.

DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply

RESPONSIBLE DEPARTMENT: Operations
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-439)
Strategic Plan Approval

WHEREAS, Whereas the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to set the Mission, Vision, and Strategic Plan for the Authority; and

WHEREAS, The Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to ensure all business objectives are accomplished;

NOW, THEREFORE, BE IT RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors authorizes the President/CEO or her designee to implement the FY 2018 Capital Metro Strategic Plan.

________________________
Date: ____________________

Secretary of the Board
Juli Word
Strategic Plan Update

Capital Metro Board of Directors Meeting

May 22, 2017
Strategic Plan Work to Date

• Board of Directors held a work session in October 2016 to revisit the strategic plan
• Board provided feedback and direction for staff to make changes
  • Increasing Ridership - overarching theme
  • Focus on a regional vision
  • Focus on the value of public transportation in the community-Grass roots campaigns
  • Focus on employee engagement
• Staff met in November 2016 to develop tasks and measures
• Staff had a work session with the Board of Directors in April 2017 to discuss the plan
**Mission/Vision**

**Vision:** Capital Metro is transforming the daily lives of Central Texans by providing a robust, sustainable transportation network.

**Mission:** Capital Metro connects people, jobs and communities by providing quality transportation choices.
Capital Metro Strategic Plan

Goal 1: Deliver the best possible customer experience
Elaine Timbes-Executive Owner

Foster a culture of continuous improvement that meets customer needs and results in satisfied customers

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Tasks</th>
<th>Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Promote a culture of safety</td>
<td>• Establish a Safety Management System (SMS)</td>
<td>• Customer Satisfaction Composite Index</td>
</tr>
<tr>
<td>1.2 Improve system reliability and convenience</td>
<td>• Increase frequency and/or span of existing bus services to meet customer needs</td>
<td>• Customer Satisfaction Survey Results</td>
</tr>
<tr>
<td></td>
<td>• Complete Grant program implementation ($111M Rail Improvements)</td>
<td>• Support System</td>
</tr>
<tr>
<td></td>
<td>• Develop, implement and continue to refine a plan for customer-facing aspects of the iT strategic plan</td>
<td>• Complaints/100K trips</td>
</tr>
<tr>
<td></td>
<td>• Connections 2025: implement recommended service changes</td>
<td>• Critical and Catastrophic accident rate</td>
</tr>
<tr>
<td></td>
<td>• Complete downtown station design and begin construction</td>
<td></td>
</tr>
<tr>
<td>1.3 Ensure an attractive and accessible transit environment</td>
<td>• Develop and implement formal amenities and public facilities improvement and maintenance plan</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Complete bus rebranding (painting)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Complete Bus Stop ADA accessibility plan</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Work with City of Austin to coordinate transit priority initiatives to improve connectivity/efficiency</td>
<td></td>
</tr>
<tr>
<td>1.4 Deliver a customer-friendly experience through our people and systems</td>
<td>• Develop and implement a comprehensive plan for ongoing customer service training for service providers</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Develop comprehensive plan for fare collection improvements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Establish process/tool for ongoing collection of customer and employee feedback (customer comments)</td>
<td></td>
</tr>
</tbody>
</table>
## Capital Metro Strategic Plan

### Goal 2: Increase Ridership

**Todd Hemingson-Executive Owner**

Be the trusted partner in regional and policy planning and the leader in reliable public transit

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Tasks</th>
<th>Performance Measures</th>
</tr>
</thead>
</table>
| 2.1 Foster a new regional vision | • Consolidate regional planning staffs to come together on a vision for region  
• Investigate regional economic development value capture through Project Connect  
• Host a regional forum on transit and land use | |
| 2.2 Lead public transportation development | • Ensure transit is an integral part of CodeNEXT and other local comprehensive plans and their implementation  
• Finalize and implement Project Connect System Plan  
• Continue research partnerships with educational and other institutions, e.g., UT, TX Transportation Institute (A&M)  
• Ensure transit is an integral part of CAMPO 2045  
• Implement Connections2025 Study; including Mobility Innovation Zones  
• Develop and implement Regional Park & Ride System | • System Ridership  
• Ridership from Regional Agreement(s)  
• Ridership from TOD  
• Grant Revenue |
| 2.3 Pursue service expansion opportunities | • Coordinate with other transportation entities for “first” and “last” mile access  
• Continue outreach to non-member jurisdictions and partner agencies for service  
• Continue bike-transit enhancement plan  
• Continue outreach to suburban and rural members for service | |
| 2.4 Encourage/promote transit oriented development | • Facilitate and investigate joint development on CMTA properties to advance TOD projects  
• Facilitate and investigate to TOD projects (non CMTA properties)  
• Partner to support implementation of activity centers in ImagineAustin, CodeNext and the CAMPO 2045 plan  
• Monitor TOD ridership levels  
• Establish Market Value for CMTA Properties | |
| 2.6 Generate Funding | • Identify partners and new sources of funding to increase transit and service  
• Pursue increased grant funding through enhanced project development process  
• Evaluate Local Government Corporation to support agency objectives  
• Create a Grants Committee to facilitate the identification and prioritization of Grant opportunities and applications | |
## Capital Metro Strategic Plan

### Goal 3: Community
**Gerardo Castillo—Executive Owner**

**Demonstrate the value of public transportation in a dynamic community**

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Tasks</th>
<th>Performance Measures</th>
</tr>
</thead>
</table>
| 3.1 Educate and inform stakeholders and the community about Capital mission and the value public transit brings to a community | • Conduct marketing research to gather data for both community and public perception and rider satisfaction that tracks trending sentiment over time  
• Develop a strategy to communicate the value that transit brings to our community  
• Implement grassroots community education and outreach strategies utilizing the board of directors, President/CEO, and staff  
• Continue to build a strong, identifiable, consistent brand image of Capital Metro  
• Develop communications strategy that tells the story of Capital Metro and its riders that utilizes multiple channels including social media  
• Host at least one regional workshop that partners with key stakeholder agencies | • Increase customer satisfaction score by 5% as measured in survey responses  
• Public Perception survey; increased public perception and common metrics associated with perception initiatives  
• Number of demonstration projects/new technology projects or plans implemented  
• Number of community partnerships |
| 3.2 Build Strong Community Partnerships that further Capital Metro’s mission and vision. | • Build and maintain relationships with key regional organizations looking for partnership opportunities that benefit both organizations  
• Create outreach strategies that engage communities outside current service area to address changing transit needs within the region  
• Develop strategy to create relationships and partnerships with organizations that can influence land use decisions conducive to alternate forms of transportation | |
| 3.3 Create service strategies that utilize community and stakeholder feedback | • Develop public engagement, communication and education strategy that enhances the mission of Project Connect  
• Create an active public engagement process that brings community needs and feedback into the planning process  
• Implement community involvement programs that build trust and informed consent around service decisions  
• Effectively engage stakeholder committees (ACCESS Advisory Committee and CSAC Committee) and utilize them as a sounding board and source for community feedback | |
| 3.4 Support plans and programs designed to build ridership and increase market share of alternate transit use. (This requires support from all departments including planning, IT, Ops, and Marketing) | • Promote ‘first and last mile’ access through partnerships, demonstration projects, and advancing technology solutions  
• Continue to grow a successful MetroWorks (B2B) program  
• Build and implement marketing strategies that grow ridership, increase awareness of services, and encourage transit use | • Number of MetroWorks partners – 25 new accounts  
• MetroWorks sales volume |
## Capital Metro Strategic Plan

### Goal 4: Human Capital
Donna Simmons-Executive Owner

Recruit, attract, retain, develop, motivate and reward a diverse, high performing and top quality work force

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Tasks</th>
<th>Performance Measures</th>
</tr>
</thead>
</table>
| 4.1 Enhance organizational development | - Continue "Leaders in Motion" training and staff development  
- Refine and implement the Leaders En route Career Enrichment Plan  
- Enhance employees' performance and skill sets  
- Provide effective technology infrastructure to support Board, staff, and ensure the successful completion of organizational goals  
- Enhance customer service training for service providers | - Employee Engagement Survey results  
- Reduction in employee turnover  
- Reduction in "time to hire" |
| 4.2 Enhance employee recognition/ reward programs | - Review past programs, meet with focus groups and develop recommendations for implementing reward/recognition programs  
- Communicate and work with managers to promote existing employee recognition and team building programs | |
| 4.3 Be an Employer of Choice | - Develop and implement a CMTA (Employer) branding campaign (External Employer of choice brand)  
- Review recruiting processes for changes to improve CMTA processes as part of branding  
- Develop CMTA recruiting materials for job fairs, advertisements and messaging for candidates  
- Work with Marketing to improve internal job site to reflect real "CMTA employees"  
- Develop and implement a revised hiring process to reduce hiring time | |
| 4.4 Improve internal communications | - Research and purchase electronic messaging system — i.e. electronic billboard  
- Refine and implement an agency-wide communication program  
- Develop an agency employee newsletter to include department and agency initiatives combined with launch of new intranet | |
## Capital Metro Strategic Plan

### Goal 5: Finance
**Reinet Marneweck-Executive Owner**

Use available resources and institute productive and sustainable business practices that will ensure resources are used efficiently and effectively.

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Tasks</th>
<th>Performance Measures</th>
</tr>
</thead>
</table>
| 5.1 Continue improvement of the financial systems of the agency | • Report quarterly financial results by mode, including KPIs  
• Financial analysis of each mode’s revenue and cost drivers, including KPIs benchmarked to comparable transit agencies  
• Continue monitoring Capital Projects metrics (on-time, on-budget) and report semi-annually to Board  
• Update Long Range Financial Plan and prioritize agency wide spending & 5 year CIP to achieve Strategic priorities  
• Comprehensive review and update of contracts boilerplate  
• Implement Enterprise Risk Management  
• Track Ridership, Revenue & Cost of ILA contracts annually | • Fare Recovery Rate by mode  
• Cost per Passenger by mode  
• APTA Sustainability Index |
| 5.2 Implement sustainability and environmental stewardship | • Ensure fleet sustainability: upgrade and maintain vehicle fleet to be most efficient with lowest emissions possible. Develop fleet zero emission feasibility plan  
• Develop green building, infrastructure, and utility management strategy and plan to maximize efficiency and minimize environmental impact  
• Implement Environmental and Sustainability Management System (ESMS)  
• Adopt APTA Sustainability Commitment Plan and achieve Gold Level  
• Implement a Mobility and Active Transportation Plan within agency | |
| 5.3 Continue commitment to State of Good Repair (SOGR) and transit asset management | • Develop and implement a Transit Asset Management Plan to comply with Federal requirements  
• Replace enterprise asset management system to track all assets, maintenance and federal mandated data | |
## Goal 1: Customer Experience

<table>
<thead>
<tr>
<th>Board Member</th>
<th>Issue</th>
<th>Follow Up</th>
<th>Goal Owner</th>
<th>Start</th>
<th>Finish</th>
<th>Comment</th>
<th>Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renteria</td>
<td>How do we capture and report complaints on operator behavior?</td>
<td>None</td>
<td>Timbes</td>
<td></td>
<td></td>
<td>Timbes provided response- dial 512-474-1200 and report issue</td>
<td>Y</td>
</tr>
<tr>
<td>Renteria</td>
<td>How do we handle complaints on the fact that no change is provided by TVs?</td>
<td>None</td>
<td>Timbes</td>
<td></td>
<td></td>
<td>Timbes provided response- The transit store provides reimbursements for all receipts</td>
<td>Y</td>
</tr>
<tr>
<td>Garza</td>
<td>Can SmartCards be used on all Modes?</td>
<td>None</td>
<td>Timbes</td>
<td></td>
<td></td>
<td>Req-question was answered</td>
<td>Y</td>
</tr>
<tr>
<td>Garza</td>
<td>Should we create an incentive program for frequent riders?</td>
<td>Follow up on the frequent rider program that was discussed</td>
<td>Timbes</td>
<td></td>
<td>A program to incentivize customers is being developed. We will follow up with the Board to discuss the program status: included in the revenue collection strategy</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Kitchen</td>
<td>Do we have collaborative opportunities to purchase fares: b-cycle, RideShare, bus, train etc.</td>
<td>Follow up on the collaborative fare purchase options</td>
<td>Timbes</td>
<td></td>
<td>Staff is currently working on a fare structure that will present collaborative fare structure opportunities.</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Jonse</td>
<td>Is it Capital Metro’s goal to have a cashless fare structure?</td>
<td>Staff will keep the board informed of fare structure policy and decisions being considered</td>
<td>Timbes</td>
<td></td>
<td>Staff will keep the board informed of fare structure policy/revenue collections and decisions being considered</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Jonse</td>
<td>Senior Citizens are limited in funds and staff should take this into consideration if going to a cashless fare structure</td>
<td>See above</td>
<td>Timbes</td>
<td></td>
<td>See above</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>Cooper</td>
<td>Do we have a “service minded” culture with our service providers?</td>
<td>None</td>
<td>Timbes</td>
<td></td>
<td></td>
<td>Req—question was answered</td>
<td>Y</td>
</tr>
</tbody>
</table>
Next Steps

• Submit for Board Approval in May 2017
• Continue to monitor progress of the plan
• Follow up on specific issues the Board of Directors identified in the plan
  – Goal 1- fare structure implementation, incentives for frequent riders
  – Goal 2 -Developing framework for innovative zones, meeting with regional community leaders for service expansion opportunities
  – Goal 3- Develop a grass roots approach to marketing, engage different business sectors in the community and tell our story
  – Goal 4- Benchmark best practices of other employers in the region, engage with the service providers
  – Goal 5 –Discussion on developing Sales Tax forecast, benchmark overhead cost KPI

• Report the plan status to the Board on a semi-annual basis
Approval of a resolution authorizing the President/CEO, or her designee, to develop a plan in coordination with the City of Austin to further the goal of environmentally sustainable transportation solutions and demonstrate support for shared, innovative and autonomous mobility strategies.
SUBJECT:
Approval of a resolution authorizing the President/CEO, or her designee, to develop a plan in coordination with the City of Austin to further the goal of environmentally sustainable transportation solutions and demonstrate support for shared and autonomous mobility strategies.

FISCAL IMPACT:
Plan development has no immediate fiscal impact.

STRATEGIC PLAN:
Strategic Goal Alignment:
2. Demonstrate regional leadership
3. Demonstrate the value of public transportation in a dynamic community

Strategic Objectives:
2.1 Lead public transportation and development
2.2 Pursue service expansion opportunities
3.1 Develop new ridership markets
3.2 Develop and deliver key agency messages
4.4 Implement sustainability and environmental stewardship best practices

EXPLANATION OF STRATEGIC ALIGNMENT:
This plan demonstrates Capital Metro’s role as a key partner in efforts to develop sustainable and integrated mobility solutions.

BUSINESS CASE:
Development of this plan coordinates with the City of Austin’s New Mobility Electric/Autonomous/Shared Mobility Services Plan which seeks to leverage the 2016 Mobility Bond in improving key corridors and leveraging these improvements to create more sustainable and walkable communities.

COMMITTEE RECOMMENDATION:
This agenda item will be presented to the full board on May 22, 2017.

EXECUTIVE SUMMARY:
This resolution directs Capital Metro staff to develop a plan in coordination with the City of Austin to further the goal of environmentally sustainable transportation solutions and demonstrate support for shared and autonomous mobility strategies.
DBE/SBE PARTICIPATION: Does not apply

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Planning and Development
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2017-463)
New Mobility Electric/Autonomous/Shared Vehicle Plan

WHEREAS, the Capital Metropolitan Transportation Authority (Capital Metro) serves Central Texas as its primary public transit provider, connecting people, jobs and communities by providing quality transportation choices; and

WHEREAS, Capital Metro offers a variety of transit services through its MetroBus, MetroExpress, MetroRapid, Night Owl, E-Bus, University of Texas Shuttles, MetroAccess, MetroRideShare, and Freight rail demonstrating a wide range of modality and public service being performed in our community; and

WHEREAS, despite having achieved major reductions in pollutant emissions by using the latest technologies as new fleet has been acquired, almost all Capital Metro vehicles continue to be powered by fossil fuels; and

WHEREAS, advancing technologies provide an opportunity to transform the fleet to a clean green fleet through electrification, thereby reducing maintenance and operation costs, as well as providing improvements to air quality and the environment; and

WHEREAS, Capital Metro is a significant partner with the City of Austin in delivering Smart Mobility solutions for its residents and visitors, and both entities are working together to contribute to Austin being a technologically savvy Smart City, that is creative, compassionate, and economically vibrant; and

WHEREAS, Capital Metro and the City of Austin are challenged with increasing congestion associated with its growing population, leading to increasing vehicle miles traveled, longer commutes, and difficulties for some in our community to access reliable, affordable, and accessible transportation options; and

WHEREAS, Capital Metro and the City of Austin seek New Mobility initiatives, along with data, to accelerate our city’s mobility, equity and economic future, along with our partner Texas cities and institutions in the Texas Coalition of Smart Cities; and

WHEREAS, the City of Austin is developing a plan to be a leader in the deployment of
“Electric/Automated/Shared Vehicles” and recognizes the importance and value in its partnership with Capital Metro in growing electric and autonomous fleets; and

WHEREAS, the City of Austin’s “New Mobility Electric/Autonomous/Shared Mobility Services Plan”, would offer the opportunity to provide mobility, accessibility, affordability, and further provide the underpinnings for improved health, livability, and reduced transportation costs, as compared to owning a single occupancy vehicle, specifically to seniors, persons with disabilities, millennials, and others without a driver’s license or means to access a car; and

WHEREAS, “The New Mobility Electric/Autonomous/Shared Mobility Services Plan” would extend the reach of Capital Metro bus and rail lines, as a first and last mile solution, enabling accelerated adoption by the broader population to use public transit as a way to get to work, access healthcare and education, or meet other personal needs, and would subsequently increase transit use and overall efficiency throughout the transportation system; and

WHEREAS, the City of Austin recently passed a $720 million Mobility Bond providing $482 million in funds to improve key corridors, making them more walkable and to better enable delivery of improved transit services; and

WHEREAS, there is opportunity in leveraging corridor improvements to create and enhance charging opportunities for electrified vehicles and transit fleets; and

WHEREAS, Capital Metro, as the operator of the region’s public transit system, is uniquely qualified to connect transit operations and schedules to shared, first and last mile and mobility on demand solutions by developing partnerships with private sector providers; and

WHEREAS, Capital Metro, the City of Austin, and regional interests seek to pilot Electric/Automated/Shared Vehicle technology in Austin along the Riverside Corridor, which is a designated Automated Vehicle Proving Ground by the United States Department of Transportation, and elsewhere; and

WHEREAS, the City of Austin’s “New Mobility Electric/Autonomous/Shared Vehicles Plan” will have the potential to make travel more affordable, accessible, and efficient, as well as helping the City of Austin and regional partners reach environmental and community health goals by reducing emissions and improving air quality, as well as reducing stress and anxiety, and improving access to jobs/food/healthcare; and

WHEREAS, to successfully make the transition to “New Mobility Electric/Autonomous/Shared Mobility Vehicles and Services” will take sustained effort, with all individuals, businesses, and organizations, in the community playing a role including Capital Metro as the key transit mobility partner for the City of Austin.
NOW, THEREFORE, BE IT RESOLVED that the President/CEO, or her designee, is directed to develop a plan in coordination with the City of Austin’s New Mobility Electric/Autonomous/Shared Vehicle (EV/AV/Shared) Plan that demonstrates the organization’s critical role as partner with the City of Austin as a state/national/global leader in the ensuing “New Mobility Electric/Autonomous/Shared Vehicle” solution; and

BE IT FURTHER RESOLVED that the President/CEO, or her designee is also directed to:

- Establish goals, targets, and a timetable for fleet electrification that supports the organization’s financial health as well as the health of the community it serves;
- Enhance and coordinate opportunities to electrify Capital Metro’s fleet;
- Consider participation in pilot test strategies related to transit services and communicating transit needs;
- Work with private sector providers with technology tools that dynamically route services and provide payment platforms for multi-modal transportation options, including for the unbanked, and for pilot programs such as along the Riverside Corridor in concert with the City of Austin Autonomous and Connected Vehicle technology pilots;
- Consider sharing in testing, funding, operations, data collection and marketing support of autonomous and electric shuttle and vehicle pilots along and near the Riverside corridor with the city of Austin and other future potential partnering projects;
- Realize the full potential of the integrated mobility system by advancing the approved Connections 2025 schedule changes for the Riverside Corridor so they begin with initial implementation in early 2018 and can be coordinated with the Riverside Corridor new mobility pilots;
- Develop a plan to pilot electric buses on Riverside Corridor and other corridors to compare performance, emissions and Operations and Maintenance costs with existing gas-powered buses, and work with Austin Energy and the City’s partner, Rocky Mountain Institute, to develop a plan to convert the Capital Metro fleet to an electric one;
- Measure customer savings and increased access to transportation options to individuals and our community;
- List next steps and targets needed to achieve goals;
- Provide a description of resources that may be needed and potential funding options; and
BE IT FURTHER RESOLVED that the President/CEO, or her designee, shall present the New Mobility EV/AV/Shared Plan to the Board of Directors for consideration by July 31, 2017.

________________________

Secretary of the Board
Juli Word

Date: ______________________
TITLE: Metro Art Committee
JORDAN SMITH, COMMUNITY INVOLVEMENT SPECIALIST
GOAL: INCORPORATE MORE ART AND PLACEMAKING INTO CAP METRO’S PROCESSES

EXTERNAL METROART COMMITTEE FORMED

SUMMER OF ART--
IMPLEMENTING TWO PILOT PROGRAMS:
12TH & CHICON BUS STOP REDESIGN
ART BOXES ALONG THE METRO RAPID LINE
External Committee formed in March

8 Committee members:

City of Austin:
- Department of Transportation
- SOULY Austin
- Art in Public Places

Artists

Placemaking Consultants
COMMITTEE’S PRIORITIES

- Improve the customer experience

- Enhance community livability:
  - Streetscape enhancements and placemaking
  - Improving the pedestrian environment and walkability

- Deter vandalism and increase safety & security

- Support Local Artists & Businesses

- Promote Equity and Neighborhood Character

- Opportunities for Community Collaboration
NATIONAL ART PROGRAMS

- Most major transit agencies have art programs
  - Washington, D.C.
  - New York City
  - Atlanta

- Increases brand awareness

- Typically funded through 1% of Capital Project Funds
In 2003, Wayfinding and images of the East Austin African American community were installed at this bus stop.

Materials have weathered over the last 14 years.

External committee reviewed issue and we took it to the community.
INSTALLING NEW FRAMES

- Worked with Committee, Community, the Austin History Center and a Graphic Designer from ACC to find new images and redesign display

- Images will be printed on Porcelain Enamel Boards and hung; Tentative Installation Date- Early Fall
INSTALLING NEW FRAMES
INSTALLING NEW FRAMES
METRORAPID FUNDS

- $50K from the MetroRapid Art funds from FTA
  - We have this money dedicated to art along the original Rapid lines- 801, 803

- MetroArt Committee member from City of Art Transportation Department proposed decorating utility boxes along the line

- Art Boxes- Nationally this is gaining momentum to beautify cityscapes
ART IN PUBLIC PLACES- TEMPO PROJECT

Signals by Christine Angelone and Alexander Bingham

Signals

by christine angelone & alexander bingham
Partner with the City

- Alleviate logistical concerns
  - ROW/Permits
  - Signal box access
  - Art in Public Places Lessons Learned and assistance with artist call
- Katherine Gregor, Communications Consultant, Austin Transportation Department
- Department of Transportation is interested in being a funding partner
WHERE WOULD THE ART BE?

ü Along MetroRapid lines - making sure we have at least one decorated box in each City Council District that touches the 801, 803 lines
  - District 2, Delia Garza
  - District 3, Pio Renteria
  - District 4, Greg Casar
  - District 5, Ann Kitchen
  - District 7, Leslie Pool
  - District 9, Kathie Tovo

ü Locations approved by Metro Art Committee and Staff
EXAMPLES OF WHERE THE ART WILL BE

TRIANGLE STATION: Northbound 801
Intersection of Guadalupe & 47th, near the Winters Building
District 9
EXAMPLES OF WHERE THE ART WILL BE

SOCO STATION:
Northbound 801
Intersection of South Congress & Elizabeth
District 9
EXAMPLES OF WHERE THE ART WILL BE

OLTORF WEST STATION:
Northbound 803

Intersection of Oltorf & Lamar

District 5
STATIONS

- District 2
  - Little Texas Stations: Smaller Electric Meter Pedestals

- District 3
  - St. Edwards Stations: Smaller Electric Meter Pedestals

- District 4
  - Rundberg Stations: Smaller Electric Meter Pedestals

- District 7
  - Allandale Stations: Smaller Electric Meter Pedestals
$50K grant from FTA:

3 ATD boxes = $1,000 a piece for the wrap, prepping box

11 Electric Meter Pedestals = $850 a piece for the wrap, prepping box

School program stipends = $1,000 for each of the 7 schools
BUDGET

Art Manager: at least 12 weeks $10,000

Removal Services $12,000

Contingency $6,000
Work with schools in the neighborhoods to design art boxes and have their designs vetted by the committee-Summer/early Fall

Begin art installation- November 2017

Art should last a minimum of 3 years
UPCOMING PROJECTS FOR COMMITTEE

- Working to integrate art into Downtown Station Project
  - $250,000 dedicated to art

- Plaza Saltillo

- Mosaic Tile piece at one of our bus stops

- Researching national and state grants for projects

- Bus stop and train station activations

- Possible incorporation of art funding into how we plan large scale capital projects- 1%?
“Art in public place is a reminder of the spirit of the culture that created it. Government and public officials come and go, but the art remains as a cultural legacy.

— Writer and curator Penny Balkin Bach
TITLE: Quarterly Planning/Ridership Report
Project and Ridership
Second Quarter FY2017

Strategic Planning & Development

Board of Directors Meeting
May 22, 2017
Quarter Two Ridership

- Highlights
- Summary by Mode
- Business Partnerships
- Systemwide View
Ridership Quarterly Summary

• System ridership down 0.5% Q2 2017 compared to Q2 2016
  – January 2017
    • Elimination of Premium Fare
  – February 2017
    • One less weekday compared to leap year last year
  – March 2017
    • Rapid up 32.7%
    • Rail down 2.2%
    • SXSW Festival
    • Other Texas transit agencies see similar uptick
  – SXSW
    • Festival organizers scale back festival activities from previous years
    • Rail station signage point to nearby bus alternatives
    • Rail station outreach specific at Kramer, Crestview, MLK and DT to guide passengers to bus alternatives in the event of full trains
  – Fuel prices inching upward, up 24% from Q2 2016
## Ridership By Mode – Q2 2017

### Q2 2017 Ridership Data

<table>
<thead>
<tr>
<th>Category</th>
<th>Q2 2016</th>
<th>Q2 2017</th>
<th>Q2 16 to Q2 17</th>
<th>YTD 2016</th>
<th>YTD 2017</th>
<th>YTD Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Fixed Route</td>
<td>5,392,787</td>
<td>5,366,429</td>
<td>-0.5%</td>
<td>10,904,090</td>
<td>10,933,038</td>
<td>0.3%</td>
</tr>
<tr>
<td>Total Express</td>
<td>139,041</td>
<td>138,783</td>
<td>-0.2%</td>
<td>273,730</td>
<td>267,677</td>
<td>-2.2%</td>
</tr>
<tr>
<td>Total Special Events/Charter</td>
<td>12,265</td>
<td>7,045</td>
<td>-42.6%</td>
<td>196,314</td>
<td>143,953</td>
<td>-26.7%</td>
</tr>
<tr>
<td>Total MetroAccess</td>
<td>169,126</td>
<td>167,932</td>
<td>-0.7%</td>
<td>336,476</td>
<td>331,611</td>
<td>-1.4%</td>
</tr>
<tr>
<td>Total UT Shuttle</td>
<td>935,556</td>
<td>735,621</td>
<td>-21.4%</td>
<td>2,032,637</td>
<td>1,554,852</td>
<td>-23.5%</td>
</tr>
<tr>
<td>Total RideShare</td>
<td>106,988</td>
<td>115,454</td>
<td>7.9%</td>
<td>203,181</td>
<td>223,879</td>
<td>10.2%</td>
</tr>
<tr>
<td>Total MetroRail</td>
<td>239,005</td>
<td>241,704</td>
<td>1.1%</td>
<td>424,813</td>
<td>439,611</td>
<td>3.5%</td>
</tr>
<tr>
<td>Total MetroRapid</td>
<td>692,814</td>
<td>877,569</td>
<td>26.7%</td>
<td>1,391,923</td>
<td>1,585,683</td>
<td>13.9%</td>
</tr>
<tr>
<td>Total System</td>
<td>7,687,581</td>
<td>7,650,538</td>
<td>-0.5%</td>
<td>15,763,164</td>
<td>15,480,304</td>
<td>-1.8%</td>
</tr>
</tbody>
</table>
Ridership By Mode – Q2 2017

Fixed Route w/o Express

- Fixed Route at nearly breakeven (-0.5%) from Q2 2016
Ridership By Mode – Q2 2017
Express Service

- Express at nearly breakeven (-0.2%) from Q2 2016
• MetroRail up 1.1% from Q2 2016
Ridership By Mode – Q2 2017

MetroRapid

- MetroRapid up 26.7% from Q2 2016
- Elimination of Premium fare
Ridership By Mode – Q2 2017

UT Shuttle

- UT Shuttle down 21.4% from Q2 2016
- Routes 640 and 642 remain on major detour
- Changing land use patterns and student housing options
Ridership By Mode – Q2 2017

MetroAccess

- MetroAccess down 0.7% from Q2 2016
- MetroAccess continues making efforts to manage ridership on this high cost service through eligibility evaluations, travel training, and pathway assessment
Ridership By Mode – Q2 2017
RideShare

- Rideshare ridership up 7.9% from Q2 2016
- Continued success of RideShare program
Ridership By Mode – Q2 2017
Productivity – Riders per Hour

- 4.4% additional system service hours Q2 without substantially higher ridership reduces hourly productivity
System Ridership – Q2 2017
Compared to Budget

- Actual ridership is 1.6% below Q2 budgeted ridership.
Business Partnerships – Q2 2017
Austin Community College

- Q2 boardings down 13.2%
- Community Involvement & Marketing are working with ACC to promote Capital Metro services
- ACC declines over the past several years have also affected system ridership
Business Partnerships – Q2 2017
City of Austin

- Q2 boardings up 4.3%
- Community Involvement Team has increased outreach efforts
Business Partnerships – Q2 2017
Travis County

- Q2 boardings up 9.5%
System Summary – Q2 2017

- System ridership down 0.5% from Q2 2016
- If UT Shuttle and ACC remain unchanged from FY2016 then Q2 ridership would be up 2.4%
- Other Texas transit agencies see signs of uptick
- Fuel price increase
TITLE: Quarterly Financial Report
Financial Report - FY 2017
Year to Date March 31, 2017

May 12, 2017
Major Highlights Through Mar 31, 2017

Revenue

- Sales tax remittances received through March 2017 are YTD 4.97% higher than YTD March 2016
- FY 2017 sales tax revenue is budgeted at 4.4% growth above the FY 2016 Actuals
- Plaza Saltillo lease income budgeted for $1.6M and will probably not realize in FY 2017
- Capital Grants below budget due to timing of processing eligible paid expenses
- Other revenues are tracking close to budget

Operating Expenses

- $109.8 million expended to date, or 44.2% of full year budget
- Favorable variances in salaries, wages & benefits due to vacancies ~$1.2M favorable to budget
- Delayed timing of professional services
- Lower diesel costs per gallon ~ $2.8M favorable to budget

Capital Projects

- Capital projects are on track with 47% of budget, expended or committed
## Revenue

### Through Mar 31, 2017

<table>
<thead>
<tr>
<th>$' Million Category</th>
<th>FY17 Mar YTD Actual</th>
<th>FY17 Full Year Budget</th>
<th>% of Budget</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ridership</td>
<td>15,480,304</td>
<td>30,565,742</td>
<td>50.6%</td>
<td></td>
</tr>
<tr>
<td>Sales Tax</td>
<td>$114.6</td>
<td>$231.1</td>
<td>49.6%</td>
<td>Oct-Jan actual receipts, with Feb &amp; Mar accrued</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Variance due to free ride days during 2 elections and New Year</td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>8.4</td>
<td>18.4</td>
<td>45.7%</td>
<td></td>
</tr>
<tr>
<td>Third Party Fares</td>
<td>3.4</td>
<td>6.6</td>
<td>50.5%</td>
<td></td>
</tr>
<tr>
<td>Freight Railroad Revenue</td>
<td>2.1</td>
<td>4.3</td>
<td>48.4%</td>
<td>Plaza Saltillo Lease income $1.6M budgeted for 2nd half of FY17</td>
</tr>
<tr>
<td>Other Revenue</td>
<td>1.8</td>
<td>4.7</td>
<td>37.3%</td>
<td>Variance due to timing. Grant is typically fully drawn by July</td>
</tr>
<tr>
<td>Operating Contributions and Grants</td>
<td>18.5</td>
<td>30.0</td>
<td>61.7%</td>
<td>Variance due to timing. Recognized when eligible expenses are paid</td>
</tr>
<tr>
<td>Capital Contributions and Grants</td>
<td>9.9</td>
<td>41.4</td>
<td>23.8%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$158.6</strong></td>
<td><strong>$336.6</strong></td>
<td><strong>47.1%</strong></td>
<td></td>
</tr>
</tbody>
</table>

### Fare Revenue per Passenger

<table>
<thead>
<tr>
<th></th>
<th>Actual</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fare Revenue per Passenger</td>
<td>$0.76</td>
<td>$0.82</td>
</tr>
</tbody>
</table>
Actual Sales Tax Receipts

Sales Taxes are received two and a half months in arrears.

Total: $210.4M $221.3M $114.6M
Growth Rate Trends

Year-over-Year Sales Tax Growth Rates

Year-over-Year Job Growth Rates

Year-over-Year Population Growth Growth Rates

* Cap Metro  ** Austin Round Rock Metropolitan Statistical Area
## Operating Expenses

Through Mar 31, 2017

<table>
<thead>
<tr>
<th>$’ Million Category</th>
<th>FY17 Mar YTD Actual</th>
<th>FY17 Full Year Budget</th>
<th>% of Budget</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue Hours</td>
<td>911,562</td>
<td>1,947,446</td>
<td>46.8%</td>
<td></td>
</tr>
<tr>
<td>Revenue Miles</td>
<td>12,502,927</td>
<td>26,083,768</td>
<td>47.9%</td>
<td></td>
</tr>
<tr>
<td>Salaries and Benefits</td>
<td>$18.6</td>
<td>$39.3</td>
<td>47.3%</td>
<td>Favorable variance of $1.2M due to vacancies not budgeted</td>
</tr>
<tr>
<td>Professional Services</td>
<td>7.2</td>
<td>21.6</td>
<td>33.1%</td>
<td>Multiple contracts with delayed spending</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>0.3</td>
<td>1.7</td>
<td>17.7%</td>
<td></td>
</tr>
<tr>
<td>Fuel and Fluids</td>
<td>5.6</td>
<td>20.4</td>
<td>27.4%</td>
<td>$2.8M favorable due to lower than budgeted diesel cost</td>
</tr>
<tr>
<td>Utilities</td>
<td>1.3</td>
<td>3.1</td>
<td>41.3%</td>
<td></td>
</tr>
<tr>
<td>Insurance</td>
<td>0.4</td>
<td>0.9</td>
<td>41.5%</td>
<td></td>
</tr>
<tr>
<td>Taxes</td>
<td>0.5</td>
<td>0.0</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>Purchased Transportation</td>
<td>73.9</td>
<td>154.0</td>
<td>48.0%</td>
<td></td>
</tr>
<tr>
<td>Lease/Rentals</td>
<td>0.9</td>
<td>2.3</td>
<td>39.0%</td>
<td></td>
</tr>
<tr>
<td>Other Expenses</td>
<td>1.1</td>
<td>4.9</td>
<td>23.3%</td>
<td>Delayed timing of advertising exp and $1M contingency</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$109.8</strong></td>
<td><strong>$248.2</strong></td>
<td><strong>44.2%</strong></td>
<td></td>
</tr>
</tbody>
</table>

Cost per Revenue Hour $120.44 $127.45
### Budget Transfers

Consistent with Capital Metro’s financial policies, there were four budget transfers to report for Quarter 2 for the period ending March 31, 2017 that cumulatively exceeded $150,000.

#### January 17

<table>
<thead>
<tr>
<th>Transfer #1</th>
<th>From:</th>
<th>To:</th>
<th>Description</th>
<th>Amounts</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRC1501</td>
<td>RRC1515</td>
<td>Commuter Operation Risk Reduction</td>
<td>$771,150</td>
<td>Align funds according to individual projects in contract</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Transfer #2</th>
<th>From:</th>
<th>To:</th>
<th>Description</th>
<th>Amounts</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>FIN1702</td>
<td>CPG1712</td>
<td>Capital Project Committed Contingency</td>
<td>$500,000</td>
<td>Funding needed for storm water improvements the City is requiring related to the Downtown Station project</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Transfer #3</th>
<th>From:</th>
<th>To:</th>
<th>Description</th>
<th>Amounts</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITS1502</td>
<td>S10-5030303-330</td>
<td>Mobile Applications</td>
<td>$100,000</td>
<td>Reclassify budget from Capital to Operating, following FY16 audit review</td>
<td></td>
</tr>
<tr>
<td>ITS0402</td>
<td>ITS1203</td>
<td>Intelligent Transportation Systems (ITS) Project</td>
<td>$77,319</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ITS1501</td>
<td>ITS1504</td>
<td>IT Infrastructure Equipment</td>
<td>$172,283</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ITS1602</td>
<td>ITS1603</td>
<td>Customer Relationship Management System</td>
<td>$149,973</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S10-5049979-230</td>
<td>S10-5049979-420</td>
<td>Non-Capital Projects - Finance department</td>
<td>$721,752</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1606</td>
<td>S10-5049979-420</td>
<td>Fitness Equipment</td>
<td>$7,130</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1607</td>
<td>S10-5049979-420</td>
<td>Non-Capital Projects - Risk Management &amp; Safety department</td>
<td>$7,130</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1417</td>
<td>ITS1203</td>
<td>Rail Maintenance Floor Deflection</td>
<td>$7,979</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1507</td>
<td>CPG1510</td>
<td>2910 Cafeteria and 1st Floor Breakroom</td>
<td>$1,394</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1510</td>
<td>CPG1515</td>
<td>Convert Payroll Office into Conference Room</td>
<td>$3,260</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1515</td>
<td>CPG1517</td>
<td>North Operations Building Office Reconfiguration</td>
<td>$96,198</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1517</td>
<td>CPG1518</td>
<td>Bus Stop Litter Containers</td>
<td>$72,769</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1518</td>
<td>CPG1519</td>
<td>Bus Stop Signage</td>
<td>$9,288</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1519</td>
<td>CPG1522</td>
<td>Bus Bencches</td>
<td>$17,220</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1522</td>
<td>CPG1607</td>
<td>Bus Stop Accessibility Improvements</td>
<td>$1,126,620</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPG1607</td>
<td>S10-5049979-530</td>
<td>Facility Improvement Projects</td>
<td>$143,251</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S10-5049979-530</td>
<td>PAM1502</td>
<td>Non-Capital Projects - Capital Projects department</td>
<td>$1,477,989</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAM1502</td>
<td>PAM1504</td>
<td>2910 E 5th St Paving</td>
<td>$17,966</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAM1504</td>
<td>PAM1514</td>
<td>2910 E 5th St Re-striping</td>
<td>$14,581</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAM1514</td>
<td>PAM1607</td>
<td>Thompson Lane Various Projects</td>
<td>$12,100</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAM1607</td>
<td>S10-5049979-540</td>
<td>Thompson Lane Parking Lot Repairs</td>
<td>$8,358</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S10-5049979-540</td>
<td>S10-5049979-540</td>
<td>Non-Capital Projects - Real Estate &amp; Property Management department</td>
<td>$53,005</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### March 17

<table>
<thead>
<tr>
<th>Transfer #4</th>
<th>From:</th>
<th>To:</th>
<th>Description</th>
<th>Amounts</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPG1710</td>
<td>CPG1516</td>
<td>DT Station-Infrastructure</td>
<td>$2,000,000</td>
<td>Merge two projects into one</td>
<td></td>
</tr>
</tbody>
</table>
Note:

- Additional funding was allocated to the statutory operating and budget stabilization reserves based on the Board approved funding formula. The statutory operating reserve equals two months of FY 2016 operating expenses. Contributions to the budget stabilization reserve began in February 2016 and $7 million was reserved in FY 2016, with an additional contribution of $3 million budgeted for FY 2017 in quarterly installments of $750,000.

- Funds for future capital investment will be required to help address extensive 2017 capital needs. The capital budget for 2017 is $158 million, with $69 million funded by FY 2017 Income and $89 million from reserves. These capital improvements are needed to get caught up with the state of good repair of the community's transit infrastructure and to be in compliance with Federal regulations.
## Statement of Revenue, Expenses and Changes in Net Position

Through Mar 31, 2017

<table>
<thead>
<tr>
<th>Operating Revenue</th>
<th>FY17 Mar YTD</th>
<th>FY17 Full Year</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passenger Fares</td>
<td>$8.4</td>
<td>$18.4</td>
<td>45.7%</td>
</tr>
<tr>
<td>Third Party Fares</td>
<td>3.4</td>
<td>6.6</td>
<td>50.5%</td>
</tr>
<tr>
<td>Freight Railroad Revenue</td>
<td>2.1</td>
<td>4.3</td>
<td>48.4%</td>
</tr>
<tr>
<td>Other Revenue</td>
<td>1.1</td>
<td>3.7</td>
<td>28.2%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>14.9</strong></td>
<td><strong>33.2</strong></td>
<td><strong>45.1%</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>FY17 Mar YTD</th>
<th>FY17 Full Year</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Benefits</td>
<td>18.6</td>
<td>39.3</td>
<td>47.3%</td>
</tr>
<tr>
<td>Professional Services</td>
<td>7.2</td>
<td>21.6</td>
<td>33.1%</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>.3</td>
<td>1.7</td>
<td>17.7%</td>
</tr>
<tr>
<td>Fuel and Fluids</td>
<td>5.6</td>
<td>20.4</td>
<td>27.4%</td>
</tr>
<tr>
<td>Utilities</td>
<td>1.3</td>
<td>3.1</td>
<td>41.3%</td>
</tr>
<tr>
<td>Insurance</td>
<td>.4</td>
<td>.9</td>
<td>39.7%</td>
</tr>
<tr>
<td>Taxes</td>
<td>.5</td>
<td>.0</td>
<td>0.0%</td>
</tr>
<tr>
<td>Purchased Transportation</td>
<td>73.9</td>
<td>154.0</td>
<td>48.0%</td>
</tr>
<tr>
<td>Other Expenses</td>
<td>1.1</td>
<td>4.5</td>
<td>24.3%</td>
</tr>
<tr>
<td>Interest Expenses</td>
<td>.0</td>
<td>.4</td>
<td>11.4%</td>
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<tr>
<td>Lease/Rental</td>
<td>.9</td>
<td>2.3</td>
<td>39.0%</td>
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<tr>
<td>Depreciation &amp; Amortization</td>
<td>18.6</td>
<td>36.4</td>
<td>51.0%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>128.4</strong></td>
<td><strong>284.6</strong></td>
<td><strong>45.1%</strong></td>
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</table>

<table>
<thead>
<tr>
<th>Operating Income/Loss</th>
<th>FY17 Mar YTD</th>
<th>FY17 Full Year</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>(113.4)</strong></td>
<td></td>
<td><strong>(251.5)</strong></td>
<td><strong>45.1%</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Operating Revenue/(Expenses)</th>
<th>FY17 Mar YTD</th>
<th>FY17 Full Year</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sales Tax</td>
<td>114.6</td>
<td>231.1</td>
<td>49.6%</td>
</tr>
<tr>
<td>Investment Income</td>
<td>.7</td>
<td>1.0</td>
<td>71.1%</td>
</tr>
<tr>
<td>Operating Contributions and Grants</td>
<td>18.5</td>
<td>30.0</td>
<td>61.7%</td>
</tr>
<tr>
<td>Capital Contributions and Grants</td>
<td>9.9</td>
<td>41.4</td>
<td>23.8%</td>
</tr>
<tr>
<td>Mobility Interlocal Agreements</td>
<td>(1.5)</td>
<td>(15.9)</td>
<td>9.2%</td>
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<tr>
<td>Other</td>
<td>.0</td>
<td>.0</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Non-Operating Income/(Loss)</strong></td>
<td><strong>142.2</strong></td>
<td><strong>287.6</strong></td>
<td><strong>49.4%</strong></td>
</tr>
</tbody>
</table>

| Change in Net Position          | $28.8        | $36.1          | 79.7%       |
## Budget Variances by Department

<table>
<thead>
<tr>
<th>Department</th>
<th>FY17 Mar YTD Actual</th>
<th>FY-2017 Budget</th>
<th>YTD % of Budget</th>
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</thead>
<tbody>
<tr>
<td>100 - Non-Allocated Benefits</td>
<td>$4,767</td>
<td>$10,268</td>
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</tr>
<tr>
<td>102 - Wellness Center</td>
<td>117</td>
<td>276</td>
<td>42.4%</td>
</tr>
<tr>
<td>103 - Child Care Center</td>
<td>342</td>
<td>832</td>
<td>41.1%</td>
</tr>
<tr>
<td>105 - Business Center</td>
<td>97</td>
<td>354</td>
<td>27.4%</td>
</tr>
<tr>
<td>110 - Executive Staff</td>
<td>335</td>
<td>873</td>
<td>38.4%</td>
</tr>
<tr>
<td>115 - Communications</td>
<td>372</td>
<td>849</td>
<td>43.8%</td>
</tr>
<tr>
<td>118 - Government Relations &amp; Comp</td>
<td>387</td>
<td>1,237</td>
<td>31.3%</td>
</tr>
<tr>
<td>120 - Board Of Directors</td>
<td>122</td>
<td>303</td>
<td>40.3%</td>
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<tr>
<td>125 - Internal Audit</td>
<td>165</td>
<td>414</td>
<td>39.9%</td>
</tr>
<tr>
<td>130 - Strategic Oper Mgt. &amp; Administr</td>
<td>369</td>
<td>798</td>
<td>46.8%</td>
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<tr>
<td>141 - Security</td>
<td>2,047</td>
<td>4,002</td>
<td>51.1%</td>
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<tr>
<td>150 - Legal</td>
<td>570</td>
<td>935</td>
<td>61.0%</td>
</tr>
<tr>
<td>220 - Finance</td>
<td>1,293</td>
<td>4,154</td>
<td>31.1%</td>
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<tr>
<td>230 - Information Technology</td>
<td>4,409</td>
<td>9,112</td>
<td>48.4%</td>
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<tr>
<td>250 - Procurement</td>
<td>590</td>
<td>1,312</td>
<td>45.0%</td>
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<tr>
<td>275 - Rideshare</td>
<td>1,165</td>
<td>2,740</td>
<td>42.5%</td>
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<tr>
<td>320 - Planning</td>
<td>1,114</td>
<td>3,658</td>
<td>30.5%</td>
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<tr>
<td>330 - Marketing</td>
<td>1,164</td>
<td>3,757</td>
<td>31.0%</td>
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<tr>
<td>331 - Community Involvement</td>
<td>272</td>
<td>1,067</td>
<td>25.5%</td>
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<tr>
<td>332 - Customer Service</td>
<td>617</td>
<td>1,675</td>
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<tr>
<td>340 - Human Resources</td>
<td>795</td>
<td>1,725</td>
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<td>420 - Risk Management And Safety</td>
<td>845</td>
<td>2,172</td>
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<tr>
<td>457 - Public Facilities</td>
<td>1,908</td>
<td>4,953</td>
<td>38.5%</td>
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<tr>
<td>530 - Capital Projects</td>
<td>609</td>
<td>2,097</td>
<td>29.0%</td>
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<tr>
<td>540 - Real Estate And Property Mgt.</td>
<td>776</td>
<td>1,874</td>
<td>41.4%</td>
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<tr>
<td>542 - Freight Rail Management</td>
<td>60</td>
<td>247</td>
<td>24.3%</td>
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<tr>
<td>544 - Commuter Rail Operations</td>
<td>9,520</td>
<td>21,190</td>
<td>44.9%</td>
</tr>
<tr>
<td>550 - Real Estate and Facility Planning</td>
<td>1,510</td>
<td>3,654</td>
<td>41.3%</td>
</tr>
<tr>
<td>600 - Bus And Paratransit Services</td>
<td>1,691</td>
<td>3,914</td>
<td>43.2%</td>
</tr>
<tr>
<td>610 - Bus Contract Operations</td>
<td>56,036</td>
<td>122,571</td>
<td>45.7%</td>
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<tr>
<td>620 - Paratransit Contract Operations</td>
<td>14,230</td>
<td>30,565</td>
<td>46.6%</td>
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<tr>
<td>630 - Paratransit Administration</td>
<td>131</td>
<td>366</td>
<td>35.8%</td>
</tr>
<tr>
<td>640 - Paratransit Reservation &amp; Cont</td>
<td>812</td>
<td>1,798</td>
<td>45.2%</td>
</tr>
<tr>
<td>650 - Paratransit Eligibility</td>
<td>395</td>
<td>947</td>
<td>41.7%</td>
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<tr>
<td>920 - Central Corridor Development</td>
<td>142</td>
<td>1,558</td>
<td>9.1%</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>$109,774</strong></td>
<td><strong>$248,237</strong></td>
<td><strong>44.2%</strong></td>
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</table>
## Capital Projects Summary

### Through Mar 31, 2017

<table>
<thead>
<tr>
<th>Project Category</th>
<th>Expended</th>
<th>Outstanding Commitments</th>
<th>Budget</th>
<th>Expended &amp; Committed as % of Budget</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>Commuter Rail</td>
<td>$11,625</td>
<td>$21,150</td>
<td>$63,550</td>
<td>51.6%</td>
<td>Progress payment on 4 New Trains, Tiger Grant project and Rail Replacement</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Bus Replacements; 6 Additional Commuter Buses and 19 Additional Paratransit Vans</td>
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<tr>
<td>Vehicles</td>
<td>30,208</td>
<td>108</td>
<td>52,005</td>
<td>58.3%</td>
<td>Bus Replacements; 6 Additional Commuter Buses and 19 Additional Paratransit Vans</td>
</tr>
<tr>
<td>Information Technology</td>
<td>978</td>
<td>2,601</td>
<td>8,287</td>
<td>43.2%</td>
<td>Intelligent Transportation Systems Project</td>
</tr>
<tr>
<td>Real Estate</td>
<td>34</td>
<td>46</td>
<td>344</td>
<td>23.0%</td>
<td>Lakeline Parking, Downtown Station &amp; Bus Stop Accessibility</td>
</tr>
<tr>
<td>Facilities</td>
<td>2,923</td>
<td>4,778</td>
<td>20,645</td>
<td>37.3%</td>
<td>Accessibility</td>
</tr>
<tr>
<td>Freight Railroad</td>
<td>150</td>
<td>65</td>
<td>3,680</td>
<td>5.9%</td>
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<tr>
<td>Property and Asset Mgmt</td>
<td>273</td>
<td>82</td>
<td>2,583</td>
<td>13.8%</td>
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<tr>
<td>Contingency</td>
<td>-</td>
<td>-</td>
<td>6,550</td>
<td>0.0%</td>
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<tr>
<td>Security</td>
<td>14</td>
<td>8</td>
<td>897</td>
<td>2.4%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$46,204</strong></td>
<td><strong>$28,838</strong></td>
<td><strong>$158,541</strong></td>
<td><strong>47.3%</strong></td>
<td></td>
</tr>
</tbody>
</table>

Outstanding commitments are for the purchase orders that have been issued.
Questions/Discussion
TITLE: Capital Projects Mid-Year Report
To: Capital Metro Board of Directors  
CC: Linda Watson, President/CEO  
From: Elaine Timbes Deputy CEO/COO  
Date: May 12, 2017  
Subject: Capital Projects Update

The purpose of this memo is to provide you with the mid-year update on the Capital Projects for FY 2017. The Board of Directors receives a semi-annual report on the financial and project status for all the projects approved for FY 2017.

Financial Information

In FY 2017, the Board of Directors authorized $158,541,000 to be allocated for the Capital Improvement Projects (CIP) budget. Approximately $75,804,275 or 47% of the allocated funds have been committed or spent on budgeted projects through the mid fiscal year timeline.

Project Status

The CIP includes a total of 115 projects of which 103 of the total project portfolio have a budget over $50,000. The analysis indicates that 89% of the projects are completed, started or will start in FY 2017 and 11% have not started or will not start this fiscal year. The majority of the project delays are due to staff resources or procurement schedules.

Key Projects

Some of the key projects in the FY 2017 include the construction of the Downtown Station, Positive Train Control, Bus Fleet Replacements and investments in technology infrastructure. A complete list of projects and their status is attached.

If you have any further questions, please feel free to call me at 512-389-7519.
Capital Projects
Mid-Year Update FY2017
FY 2017 Projects Financial Data

- FY 2017 Funding: $158,541,000
- Budget Amendments: 0
- Budget: $158,541,000
- Commitment: $46,204,312
- Actual Spending: $28,837,685
- Total: $75,041,997 (47%)
FY 2017 Projects Schedule Data

- TOTAL PROJECTS: 116
- Total Projects Over $50,000: 103
- Complete: 7 (7%)
- Will Complete FY2017: 21 (20%)
- Started: 64 (62%)
- Not Started: 6 (6%)
- Will Not Start: 5 (5%)
## Capital Projects

<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>COMPLETE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>CPG1417 Rail Maintenance Floor Deflection</td>
<td>$212,294</td>
<td>$192,420</td>
<td>$19,874</td>
<td>Y</td>
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<tr>
<td></td>
<td>CPG1515 North Operations Building Office Reconfiguration</td>
<td>$11,012</td>
<td>$579</td>
<td>$10,433</td>
<td>Y</td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>WILL COMPLETE FY 2017</strong></td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td></td>
<td>CPG1502 Howard Lane Parking Spaces</td>
<td>$394,369</td>
<td>$35,112</td>
<td>$359,257</td>
<td>Y</td>
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<tr>
<td></td>
<td>CPG1503 Lakeline Additional Parking</td>
<td>$2,044,708</td>
<td>$757,259</td>
<td>$1,287,449</td>
<td>Y</td>
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<td></td>
<td>CPG1601 North Operations Warehouse Reconfiguration</td>
<td>$21,606</td>
<td>$399</td>
<td>$21,208</td>
<td>Y</td>
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<tr>
<td></td>
<td>RRC1604 North Operations Improvements to Accommodate New Rail Cars</td>
<td>$954,325</td>
<td>$73,406</td>
<td>$880,919</td>
<td>Y</td>
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</tr>
<tr>
<td></td>
<td><strong>STARTED</strong></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>CPG1501 Bus Stop Improvements - Rebranding Effort Upgrades</td>
<td>$400,000</td>
<td>$62,502</td>
<td>$337,498</td>
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<td>CPG1516 Downtown Station Improvements funded by TxDOT</td>
<td>$7,125,000</td>
<td>$954,165</td>
<td>$6,170,835</td>
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<td>CPG1517 Bus Stop Litter Containers*</td>
<td>$102,232</td>
<td>$0</td>
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<td>CPG1518 Bus Stop Signage*</td>
<td>$700,000</td>
<td>$121,357</td>
<td>$578,643</td>
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<td>CPG1519 Bus Benches*</td>
<td>$107,780</td>
<td>$21,375</td>
<td>$86,405</td>
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<td>CPG1520 Bus Shelters*</td>
<td>$301,000</td>
<td>$0</td>
<td>$301,000</td>
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<td>CPG1522 Bus Stop Accessibility Improvements*</td>
<td>$940,463</td>
<td>$580,869</td>
<td>$359,594</td>
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<tr>
<td></td>
<td>CPG1602 North Operations SERTA Demolition/Paving</td>
<td>$125,000</td>
<td>$0</td>
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<td>CPG1603 Hybrid Beacons at Bus Stops</td>
<td>$138,000</td>
<td>$0</td>
<td>$138,000</td>
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<td>CPG1605 Westgate Transit Center Park and Ride</td>
<td>$2,300,000</td>
<td>$94,538</td>
<td>$2,205,462</td>
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<td>CPG1607 Facility Improvement Projects*</td>
<td>$279,000</td>
<td>$17,164</td>
<td>$261,836</td>
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<td></td>
<td>CPG1703 Leander Trail</td>
<td>$100,000</td>
<td>$5,055</td>
<td>$94,945</td>
<td>Y</td>
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<td>CPG1706 South Congress Transit Center Parking Expansion</td>
<td>$75,000</td>
<td>$0</td>
<td>$75,000</td>
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<td>CPG1708 Leander Rail Maintenance Facility (Phase 1)</td>
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<td>CPG1712 DT Station - Storm Water Improvements</td>
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<td>RRC1407 TIGER Grant Project</td>
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<td>$659,668</td>
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<tr>
<td></td>
<td><strong>NOT STARTED</strong></td>
<td></td>
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<tr>
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<td>CPG1709 DT Station-Pedestrian Crossings</td>
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<td>$0</td>
<td>$500,000</td>
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<td>RRC1705 Double Tracking-Design</td>
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<tr>
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<td>RRC1706 Double Tracking-Construction</td>
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<td>$0</td>
<td>$0</td>
<td>N</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>WILL NOT START</strong></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>CPG1702 Lakeline Park and Ride Exit Improvements</td>
<td>$12,000</td>
<td>$0</td>
<td>$12,000</td>
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<td>CPG1705 North Lamar Transit Center Redevelopment</td>
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<td>$225,000</td>
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<tr>
<td></td>
<td>CPG1707 Loyola Bus Operations Facility</td>
<td>$1,145,803</td>
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<td>$1,145,803</td>
<td>Y</td>
</tr>
</tbody>
</table>

*Annually funded programs
## Information Technology

<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WILL COMPLETE FY2017</strong></td>
<td></td>
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</tr>
<tr>
<td>ITS1103</td>
<td>Interactive Voice Response (IVR) System Replacement</td>
<td>$35,388</td>
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<tr>
<td>ITS1404</td>
<td>Cisco Network Upgrades</td>
<td>$204,909</td>
<td>$37,232</td>
<td>$167,678</td>
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<tr>
<td>ITS1701</td>
<td>Audio Visual Improvements - Boardroom</td>
<td>$150,000</td>
<td>$0</td>
<td>$150,000</td>
<td>N</td>
</tr>
<tr>
<td><strong>STARTED</strong></td>
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<tr>
<td>ITS0402</td>
<td>Intelligent Transportation Systems (ITS) Project</td>
<td>$2,947,967</td>
<td>$763,627</td>
<td>$2,184,340</td>
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<tr>
<td>ITS1203</td>
<td>Productivity Software</td>
<td>$249,227</td>
<td>$75,305</td>
<td>$173,922</td>
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<tr>
<td>ITS1304</td>
<td>Financial System</td>
<td>$1,251,460</td>
<td>$69,405</td>
<td>$1,182,055</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1501</td>
<td>IT Infrastructure Equipment*</td>
<td>$214,981</td>
<td>$0</td>
<td>$214,981</td>
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</tr>
<tr>
<td>ITS1502</td>
<td>Mobile Applications</td>
<td>$200,000</td>
<td>$23,333</td>
<td>$176,667</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1504</td>
<td>Other Legacy Systems Replacements</td>
<td>$152,533</td>
<td>$607</td>
<td>$151,926</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1505</td>
<td>Fare Collection System Rollout to Fleet</td>
<td>$500,000</td>
<td>$0</td>
<td>$500,000</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1601</td>
<td>Dynamic Message Signs for Fixed Route and Commuter Rail</td>
<td>$250,000</td>
<td>$0</td>
<td>$250,000</td>
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</tr>
<tr>
<td>ITS1604</td>
<td>Real Estate Software</td>
<td>$200,000</td>
<td>$0</td>
<td>$200,000</td>
<td>N</td>
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<tr>
<td>ITS1607</td>
<td>Transit Station IT Infrastructure Renovation</td>
<td>$250,000</td>
<td>$5,095</td>
<td>$244,905</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1702</td>
<td>Data Center Modernization</td>
<td>$1,000,000</td>
<td>$0</td>
<td>$1,000,000</td>
<td>Y</td>
</tr>
<tr>
<td>ITS1703</td>
<td>Positive Train Control IT Support</td>
<td>$200,000</td>
<td>$0</td>
<td>$200,000</td>
<td>Y</td>
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<tr>
<td>ITS1704</td>
<td>Scheduling Systems Upgrade</td>
<td>$100,000</td>
<td>$0</td>
<td>$100,000</td>
<td>N</td>
</tr>
<tr>
<td><strong>NOT STARTED</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ITS1402</td>
<td>Data Warehousing</td>
<td>$250,000</td>
<td>$0</td>
<td>$250,000</td>
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</tr>
</tbody>
</table>

*Annually funded programs
<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRC1511</td>
<td>Public Crossing Surface Renewal Program - Commuter Rail</td>
<td>$402,000</td>
<td>$231,880</td>
<td>$170,120</td>
<td>Y</td>
</tr>
<tr>
<td>RRC1516</td>
<td>West-East Haul Road Crossing Surface Rehabilitation</td>
<td>$285,000</td>
<td>$233,372</td>
<td>$51,628</td>
<td>Y</td>
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<tr>
<td>RRC1606</td>
<td>Private Crossing Surface Program</td>
<td>$120,000</td>
<td>$64,183</td>
<td>$55,817</td>
<td>Y</td>
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<tr>
<td>RRC1608</td>
<td>East Parmer Crossing in Manor</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>Y</td>
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<tr>
<td>RRF1602</td>
<td>Public Crossing State of Good Repair</td>
<td>$158,000</td>
<td>$130,512</td>
<td>$27,488</td>
<td>Y</td>
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<tr>
<td>RRC1507</td>
<td>Four New Diesel Multiple Units</td>
<td>$20,364,014</td>
<td>$7,895,135</td>
<td>$12,468,879</td>
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<tr>
<td>RRC1508</td>
<td>Engineering for Existing Diesel Multiple Units</td>
<td>$418,000</td>
<td>$0</td>
<td>$418,000</td>
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<tr>
<td>RRC1102</td>
<td>Positive Train Control</td>
<td>$10,000,000</td>
<td>$68,478</td>
<td>$9,931,522</td>
<td>Y</td>
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<tr>
<td>RRC1302</td>
<td>Crossings Improvements Reimbursed by TxDOT</td>
<td>$500,000</td>
<td>$0</td>
<td>$500,000</td>
<td>Y</td>
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<tr>
<td>RRC1501</td>
<td>Commuter Operation Risk Reduction</td>
<td>$428,850</td>
<td>$16,350</td>
<td>$412,500</td>
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<tr>
<td>RRC1502</td>
<td>Central Subdivision Electric Locks</td>
<td>$285,000</td>
<td>$0</td>
<td>$285,000</td>
<td>N</td>
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<tr>
<td>RRC1503</td>
<td>Central Subdivision Quiet Zone</td>
<td>$2,163,769</td>
<td>$18,130</td>
<td>$2,145,639</td>
<td>Y</td>
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<tr>
<td>RRC1509</td>
<td>Nearside Crossing Gate Downtime Reduction</td>
<td>$703,000</td>
<td>$0</td>
<td>$703,000</td>
<td>Y</td>
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<tr>
<td>RRC1510</td>
<td>Private Crossing Signalization Commuter Rail Corridor</td>
<td>$1,667,000</td>
<td>$0</td>
<td>$1,667,000</td>
<td>Y</td>
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<tr>
<td>RRC1512</td>
<td>Rail Drainage Improvements</td>
<td>$586,000</td>
<td>$166,652</td>
<td>$419,348</td>
<td>Y</td>
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<tr>
<td>RRC1513</td>
<td>Rail Replacement Program - Commuter Corridor</td>
<td>$2,850,000</td>
<td>$802,415</td>
<td>$2,047,585</td>
<td>Y</td>
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<tr>
<td>RRC1515</td>
<td>Timber and Surface Program - Commuter Rail</td>
<td>$1,970,150</td>
<td>$1,046,400</td>
<td>$923,750</td>
<td>Y</td>
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<tr>
<td>RRC1609</td>
<td>High-wide and Flood Detectors</td>
<td>$300,000</td>
<td>$0</td>
<td>$300,000</td>
<td>N</td>
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<tr>
<td>RRC1614</td>
<td>Rail Vehicle Engineering and Commissioning Support</td>
<td>$1,559,460</td>
<td>$172,509</td>
<td>$1,386,951</td>
<td>Y</td>
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<tr>
<td>RRC1615</td>
<td>Bridge Load Capacity Upgrade</td>
<td>$1,500,000</td>
<td>$6,445</td>
<td>$1,493,555</td>
<td>N</td>
</tr>
<tr>
<td>RRC1701</td>
<td>Laptops - Commuter Rail Vehicle Maintenance</td>
<td>$150,000</td>
<td>$0</td>
<td>$150,000</td>
<td>Y</td>
</tr>
<tr>
<td>RRC1702</td>
<td>Safety Upgrades to Existing Rail Cars</td>
<td>$1,000,000</td>
<td>$0</td>
<td>$1,000,000</td>
<td>N</td>
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<tr>
<td>RRC1703</td>
<td>Upgrades to Existing Rail Vehicles (G1 to G4)</td>
<td>$780,000</td>
<td>$170,400</td>
<td>$609,600</td>
<td>N</td>
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<tr>
<td>RRC1704</td>
<td>Timber Bridge Inspection and Treatment</td>
<td>$630,000</td>
<td>$0</td>
<td>$630,000</td>
<td>N</td>
</tr>
<tr>
<td>RRF1501</td>
<td>East Subdivision Quiet Zone</td>
<td>$1,000,000</td>
<td>$19,898</td>
<td>$980,102</td>
<td>Y</td>
</tr>
<tr>
<td>RRF1502</td>
<td>Crossings Improvements Reimbursed by TxDOT</td>
<td>$707,000</td>
<td>$0</td>
<td>$707,000</td>
<td>Y</td>
</tr>
<tr>
<td>RRF1601</td>
<td>Crossing Gate Mechanism Changeout</td>
<td>$30,000</td>
<td>$0</td>
<td>$30,000</td>
<td>Y</td>
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<tr>
<td>RRF1701</td>
<td>Bertram Scale Upgrades</td>
<td>$750,000</td>
<td>$0</td>
<td>$750,000</td>
<td>Y</td>
</tr>
<tr>
<td>RRF1702</td>
<td>Out of service infrastructure repairs</td>
<td>$25,000</td>
<td>$0</td>
<td>$25,000</td>
<td>Y</td>
</tr>
<tr>
<td>RRF1703</td>
<td>Timber Bridge Inspection and Treatment</td>
<td>$960,000</td>
<td>$0</td>
<td>$960,000</td>
<td>Y</td>
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</tbody>
</table>
# Bus & Paratransit Services

<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td>BPS1406</td>
<td>Paratransit Vehicle Replacement</td>
<td>$2,163,000</td>
<td>$1,723,551</td>
<td>$439,449</td>
<td>Y</td>
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<tr>
<td>BPS1701</td>
<td>Rapid Buses - Service Enhancements</td>
<td>$10,152,000</td>
<td>$0</td>
<td>$10,152,000</td>
<td>N</td>
</tr>
<tr>
<td>BPS1501</td>
<td>Bus Replacements</td>
<td>$33,958,000</td>
<td>$24,609,802</td>
<td>$9,348,198</td>
<td>Y</td>
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<tr>
<td>BPS1601</td>
<td>Commuter Coaches - Service Enhancements</td>
<td>$3,754,000</td>
<td>$3,665,440</td>
<td>$88,560</td>
<td>Y</td>
</tr>
<tr>
<td>BPS1602</td>
<td>Vehicle Camera Systems</td>
<td>$500,000</td>
<td>$0</td>
<td>$500,000</td>
<td>Y</td>
</tr>
<tr>
<td>BPS1603</td>
<td>Senior Route Vans</td>
<td>$678,000</td>
<td>$0</td>
<td>$678,000</td>
<td>N</td>
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<tr>
<td>BPS1403</td>
<td>Non-revenue Vehicle Replacement</td>
<td>$800,164</td>
<td>$208,972</td>
<td>$591,192</td>
<td>Y</td>
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<tr>
<td>BPS1702</td>
<td>Transit Buses - Service Enhancements</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>Y</td>
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</tbody>
</table>

**WILL COMPLETE FY 2017**

**STARTED**

**NOT STARTED**

**WILL NOT START**
# Real Estate & Asset Management

<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAM1502</td>
<td>2910 E 5th St Paving</td>
<td>$11,399</td>
<td>$11,399</td>
<td>$1</td>
<td>Y</td>
</tr>
<tr>
<td>PAM1404</td>
<td>Fuel System Upgrade at Thompson Lane</td>
<td>$123,000</td>
<td>$0</td>
<td>$123,000</td>
<td>N</td>
</tr>
<tr>
<td>PAM1508</td>
<td>2910 Water Quality Pond</td>
<td>$173,799</td>
<td>$1,230</td>
<td>$172,569</td>
<td>Y</td>
</tr>
<tr>
<td>PAM1608</td>
<td>Thompson Lane Roofing Repairs</td>
<td>$50,000</td>
<td>$0</td>
<td>$50,000</td>
<td>N</td>
</tr>
<tr>
<td>PAM1613</td>
<td>Fuel Management System at East 5th Facility</td>
<td>$147,002</td>
<td>$130,236</td>
<td>$16,766</td>
<td>N</td>
</tr>
<tr>
<td>PAM1708</td>
<td>Portable Bus Lifts (North Operations Facility)</td>
<td>$150,000</td>
<td>$57,118</td>
<td>$92,882</td>
<td>N</td>
</tr>
<tr>
<td>REA1102</td>
<td>Saltillo Track Relocation</td>
<td>$40,000</td>
<td>$14,347</td>
<td>$25,653</td>
<td>Y</td>
</tr>
<tr>
<td>REA1419</td>
<td>Maintenance Facility</td>
<td>$54,264</td>
<td>$19,269</td>
<td>$34,995</td>
<td>Y</td>
</tr>
<tr>
<td>PAM1517</td>
<td>North Operations Reconstruct Extraction Fans</td>
<td>$400,000</td>
<td>$0</td>
<td>$400,000</td>
<td>N</td>
</tr>
<tr>
<td>PAM1611</td>
<td>Saltillo Crossings and Signals</td>
<td>$600,000</td>
<td>$0</td>
<td>$600,000</td>
<td>Y</td>
</tr>
<tr>
<td>PAM1701</td>
<td>Diesel Particulate Filter Filter Cleaner for Buses (North Op)</td>
<td>$70,000</td>
<td>$67,945</td>
<td>$2,055</td>
<td>N</td>
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<tr>
<td>PAM1703</td>
<td>Dynamic Brake Tester (North Operations Facility)</td>
<td>$400,000</td>
<td>$0</td>
<td>$400,000</td>
<td>N</td>
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<tr>
<td>PAM1706</td>
<td>Fuel System Upgrade (North Operations Facility)</td>
<td>$250,000</td>
<td>$0</td>
<td>$250,000</td>
<td>N</td>
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<tr>
<td>PAM1710</td>
<td>Water Boilers Replacement (East 5th Street Facility)</td>
<td>$75,000</td>
<td>$0</td>
<td>$75,000</td>
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<tr>
<td>REA1601</td>
<td>Real Estate Acquisition</td>
<td>$250,000</td>
<td>$0</td>
<td>$250,000</td>
<td>N</td>
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</tbody>
</table>

- **COMPLETE**
- **WILL COMPLETE FY 2017**
- **STARTED**
- **WILL NOT START**
<table>
<thead>
<tr>
<th>Project Number</th>
<th>Project Description</th>
<th>FY2017 Costs</th>
<th>FY2017 Expenditures</th>
<th>Remaining Balance</th>
<th>Multi-Year</th>
</tr>
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<tbody>
<tr>
<td>CPG1521</td>
<td>MetroRapid Project</td>
<td>$1,664,097</td>
<td>$70,088</td>
<td>$1,594,009</td>
<td>Y</td>
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<tr>
<td>CPG1704</td>
<td>MetroRapid - Additional Stations for 801 and 803</td>
<td>$400,000</td>
<td>$9,976</td>
<td>$390,024</td>
<td>Y</td>
</tr>
</tbody>
</table>

**Start**

- **CPG1521 MetroRapid Project**: Will complete FY2017
- **CPG1704 MetroRapid - Additional Stations for 801 and 803**: Started
## Security & Risk

<table>
<thead>
<tr>
<th>PROJECT NUMBER</th>
<th>PROJECT</th>
<th>FY2017 COSTS</th>
<th>FY2017 EXPENDITURES</th>
<th>REMAINING BALANCE</th>
<th>MULTI-YEAR</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEC1701</td>
<td>Electronic Security System Replacements and Improvements</td>
<td>$300,000</td>
<td>$0</td>
<td>$300,000</td>
<td>N</td>
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<tr>
<td>SEC1501</td>
<td>Cameras and Access Controls</td>
<td>$151,659</td>
<td>$13,589</td>
<td>$138,070</td>
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<tr>
<td>SEC1702</td>
<td>Property Perimeter Hardening and Enhancements</td>
<td>$445,000</td>
<td>$0</td>
<td>$445,000</td>
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</tr>
</tbody>
</table>

**WILL COMPLETE FY 2017**

**NOT STARTED**

**STARTED**

9.1.b Packet Pg. 209
TITLE: FTE Vacancy Report
TO: Capital Metro Board of Directors
FROM: Donna Simmons, VP, Administration & Risk Management Compliance Office
CC: Linda Watson, President/CEO
Elaine Timbes, Deputy CEO/COO
DATE: May 22, 2017
SUBJECT: Full Time Employee (FTE) Vacancy Report (First Quarter FY 2017)

The attached FTE vacancy report is provided to keep the Board of Directors informed of the status of vacancies. There are 27.5 vacancies, There are 20.5 of the 27.5 vacancies that are replacements due to turnover, and 7 are newly budgeted positions or temporary positions that were converted to regular positions.

In summary, as of December 31, 2016, the vacancy breakdown is as follows:

<table>
<thead>
<tr>
<th></th>
<th>New FTEs (FY2016/2017 Budget)</th>
<th>Replacement FTEs</th>
<th>Total FTEs</th>
</tr>
</thead>
<tbody>
<tr>
<td>In selection process</td>
<td>3</td>
<td>12.5</td>
<td>15.5</td>
</tr>
<tr>
<td>Open/posted</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Not yet posted</td>
<td>4</td>
<td>6</td>
<td>10</td>
</tr>
<tr>
<td>Total vacancies</td>
<td>7</td>
<td>20.5</td>
<td>27.5</td>
</tr>
</tbody>
</table>

Total percentage vacancies 8%

If you have any questions, please feel free to call me at (512) 389-7520.

NOTE: This report does not account for Security Officer FTEs as they are filled outside of our standard competitive process.
<table>
<thead>
<tr>
<th>Dept.</th>
<th>Position Title</th>
<th>Recruiting Status</th>
<th>Type of Position</th>
<th>Part/Full Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Projects</td>
<td>Technical Program/Project Manager</td>
<td>Not Posted</td>
<td>New</td>
<td>1.00</td>
</tr>
<tr>
<td>Communications</td>
<td>Communications Specialist II</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Community Involvement (B&amp;CD)</td>
<td>CI Specialist I</td>
<td>Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Community Involvement (B&amp;CD)</td>
<td>CI Support Specialist II</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Customer Service</td>
<td>Supervisor, Customer Service</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Customer Service</td>
<td>Customer Service Rep I PT</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>0.50</td>
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<tr>
<td>Customer Service</td>
<td>Customer Service Rep I</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Facility Maintenance</td>
<td>Facility Installer</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Finance</td>
<td>Manager, Revenue &amp; Fares</td>
<td>Not Posted</td>
<td>New</td>
<td>1.00</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Training Coordinator</td>
<td>Offer pending</td>
<td>New</td>
<td>1.00</td>
</tr>
<tr>
<td>IT</td>
<td>Network Administrator III</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Marketing</td>
<td>Marketing Coordinator</td>
<td>Interviewing</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Metro Access/Paratransit</td>
<td>Paratransit CSR I</td>
<td>Interviewing</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Metro Access/Paratransit</td>
<td>Service Coordinator II</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Planning</td>
<td>Data Collection Specialist I</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Planning</td>
<td>Data Analyst</td>
<td>Not Posted</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Procurement</td>
<td>Buyer</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Procurement</td>
<td>Contracts Administrator II (Exp Start Date 4/17/17)</td>
<td>Accepted Offer</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Rail</td>
<td>Director, Rail Systems</td>
<td>Applications Under Review</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Rail</td>
<td>Civil Engineer</td>
<td>Interviewing</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Rail</td>
<td>Technical Proj Controls Specialist, Rail Ops</td>
<td>Offer pending</td>
<td>New</td>
<td>1.00</td>
</tr>
<tr>
<td>Security</td>
<td>Director, Security</td>
<td>Interviewing</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
<tr>
<td>Security</td>
<td>Fare Inspector</td>
<td>Offer pending</td>
<td>Replacement</td>
<td>1.00</td>
</tr>
</tbody>
</table>

**Vacancy Rate** 6%

(Based on 348.5 Budgeted FTEs less Security Officers)

**Total FTEs** 22.50

NOTE: This report does not account for Security Officers FTEs as they are filled outside of our standard competitive process.

CMTA - FTE Vacancy Report as of March 31, 2017