I. Public Comment:

II. Action Items:

  1. Approval of Minutes from the May 8, 2019 Finance, Audit and Administration Committee Meeting.

  2. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract modification with Standard Insurance Company for premium payments for life and disability insurance for an additional $61,000 for the total contract not to exceed an amount of $986,971.

  3. Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Travis County for employee transit passes for a period of one year from October 1, 2019, to September 30, 2020.

  4. Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Austin Community College for student and employee transit passes for a period of one year from September 1, 2019, to August 31, 2020, that establishes a flat-fee for paratransit, rail and fixed-route bus services of $429,000 for the term of the extension.

  5. Approval of a resolution authorizing updates to certain policies adopted by the Board of Directors.

III. Presentations:


  2. Internal Audit FY2019 Audit Plan Status
3. Semi-Annual Internal Audit Implementation Status
4. Internal Audit Report on Capital Projects Expenditure Controls
5. Capital Metro Insurance Programs Overview

IV. Items for Future Discussion:

V. Adjournment

ADA Compliance

Reasonable modifications and equal access to communications are provided upon request. Please call (512) 369-6040 or email ed.easton@capmetro.org if you need more information.

Committee Members: Terry Mitchell, Chair; Wade Cooper, Pio Renteria and Eric Stratton.

The Board of Directors may go into closed session under the Texas Open Meetings Act. In accordance with Texas Government Code, Section 551.071, consultation with attorney for any legal issues, under Section 551.072 for real property issues; under Section 551.074 for personnel matters, or under Section 551.076, for deliberation regarding the deployment or implementation of security personnel or devices; arising regarding any item listed on this agenda.
TITLE: Approval of Minutes from the May 8, 2019 Finance, Audit and Administration Committee Meeting.
Call to Order: 10:07 a.m.

I. Public Comment:

There was no public comment this month.

II. Action Items:

1. Approval of Minutes from the April 10, 2019 Finance, Audit and Administration Committee Meeting.

Motion to approve the minutes by Board Member Cooper. Renteria second. Passes 3-0 with Board Member Stratton absent.

2. Approval of a resolution authorizing the President & CEO, or his designee, to approve an ILA with Travis County for a pilot program to purchase discounted passes and distribute passes to Travis County jurors.

CFO Reinet Marneweck presented this item.

This pilot program would allow Travis County to purchase and distribute passes to Travis County jurors with no cost to the jurors. It will cover both physical and digital passes.

Motion to recommend to full board on the Consent Agenda by Board Member Renteria. Cooper second. Passes 3-0.

III. Presentations:

1. Internal Audit FY2019 Audit Plan Status

Vice President of Internal Audit Terry Follmer presented his monthly update.

Terry reviewed items that will be presented in coming months. In June that includes the semi-annual implementation reports on 4 audits; and an insurance review; and a DBE Program report in July. He also reviewed the list of Internal Audit projects and their status.

2. Freight Rail Internal Audit Report

Vice President of Internal Audit Terry Follmer presented the Watco freight revenue compliance review.
Terry's presentation included a review of Watco's contract and the key provisions of it; an explanation of the key controls used in monitoring the contract; and a review of the four audit findings for this review.

Watco currently sends Capital Metro a detailed spreadsheet each month with their freight activity for accounting purposes. The main finding of the audit was that the agency does not currently have an independent dataset to verify that everything Watco submits to us is complete and accurate. Terry has been working with Vice President of Rail Operations Dave Dech to set up an agreement to purchase data from RailLink, a nationwide clearinghouse for freight operators which will be compared to Watco's reports. Dave spoke briefly about the history of RailLink and the level of data that can be expected. Terry also reported that we may also have an option to use Watco's external auditors as another source of independent verification of billing data.

Terry also reported that Watco has not to date provided Capital Metro with copies of their parent company's independent audited financial statements, as we believe are required by the contract. We are currently working with the company to get them to provide these, as well as other reports that are also listed as required documents in the contract.

Other recommendations include future inclusion of liquidated damages provisions for both missing documents/reports and unaddressed track maintenance items if this contract is renegotiated; and that we implement a detailed contract monitoring plan as we have for our other service providers.

3. Proposed FY2020 Budget Calendar
CFO Reinet Marneweck presented an overview and calendar of the FY2020 Budget process.

CFO Reinet Marneweck presented her report, which included the first 6 months of FY2019.

Reinet review major revenue and expense categories. Most items are tracking very close with projections. Sales tax receipts are currently running above expectations. Reinet also reviewed budget transfers, significant budget variances for the period, and a summary of major capital projects.

Board member Renteria asked about receipt of lease payments from the Saltillo project. Reinet answered that those payments will begin in FY2020.

5. Progress Update -- Contracted Bus Operations and Maintenance Services
COO Elaine Timbes presented this item.

Elaine gave an overview and history of the procurement process for this contract. Proposers are being asked to prepare two options -- one to operate services from only the 2910 property, and another where they would operate all of Capital Metro's fixed route service. We are currently in the evaluation phase. She highlighted some of the main questions being asked of each of the proposers in oral interviews and reviewed
DBE aspects of the contract. She presented upcoming milestones leading up to a July board award of the contract.

President Clarke thanked the staff working on this process and highlighted the importance of this contract in improving service delivery, customer service, and the long-term financial health of the agency. We believe this will be the largest bus operating contract in the United States.

IV. Items for Future Discussion:

V. Adjournment

Adjournment: 11:30 a.m.

ADA Compliance

Reasonable modifications and equal access to communications are provided upon request. Please call (512) 369-6040 or email ed.easton@capmetro.org if you need more information.

Committee Members: Terry Mitchell, Chair; Wade Cooper, Eric Stratton and Pio Renteria

The Board of Directors may go into closed session under the Texas Open Meetings Act. In accordance with Texas Government Code, Section 551.071, consultation with attorney for any legal issues, under Section 551.072 for real property issues; under Section 551.074 for personnel matters, or under Section 551.076, for deliberation regarding the deployment or implementation of security personnel or devices; arising regarding any item listed on this agenda.
Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract modification with Standard Insurance Company for premium payments for life and disability insurance for an additional $61,000 for the total contract not to exceed an amount of $986,971.
SUBJECT:
Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract modification with Standard Insurance Company for premium payments for life and disability insurance for an additional $61,000 for the total contract not to exceed an amount of $986,971.

FISCAL IMPACT:
Funding for this action is available in the FY2019 Operating Budget.

STRATEGIC PLAN:
Strategic Goal Alignment:
2. Engaged Workforce

Strategic Objectives:
2.2 Staff Satisfaction

EXPLANATION OF STRATEGIC ALIGNMENT:
Employee Life and Disability benefits are offered as a part of the total benefit package for Capital Metropolitan Transportation Authority employees. The Total Compensation Philosophy is to maintain benefits and compensation at the 50th percentile in relation to the external marketplace. This allows Capital Metro the ability to hire and retain employees reassuring their satisfaction with benefits provided as part of their total compensation.

BUSINESS CASE:
This contract modification is a result of a self-audit related to the billing process conducted by the Human Resources department that identified additional premiums due to Standard.

COMMITTEE RECOMMENDATION:
This agenda item was presented and is recommended for approval by the Finance, Audit and Administration Committee on August 12, 2019.

EXECUTIVE SUMMARY:
The current contract and all option years for life, AD&D, and disability insurance for Capital Metro employees expired on June 30, 2019. Capital Metro completed an audit of the self-paid billing process to close out the contract with Standard Insurance Company. The audit identified premium increases due to salary increases and additional elections of optional supplemental life insurance by employees for the period of October 1, 2017 through March 30, 2018 that need to be paid and will increase the contract amount above the board authorized contract award. The Procurement section below provides the contract and prior modification history.
SBE PARTICIPATION:
No SBE goal was assigned to this project because there was no scope for subcontracting.

PROCUREMENT: On September 28, 2015, following board authorization, Capital Metro awarded a contract to Standard Insurance Company, for basic life insurance, accidental death and dismemberment (AD&D) insurance, long-term disability insurance and FMLA Administration paid by Capital Metro and voluntary life, AD&D, short term disability and long term buy up disability paid by employees in an amount not to exceed $775,971. Modifications to the contract within the Procurement Policy of up to $150,000 above the board award have been made to cover premiums above the original projected employee-paid optional life insurance and short-term disability insurance elections. This proposed modification will increase the total not to exceed amount by an additional $61,000, bringing the not to exceed amount to $986,971.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Term</td>
<td>$511,355</td>
</tr>
<tr>
<td>Option Yr. 1</td>
<td>$264,616</td>
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<tr>
<td>Modifications through June 31, 2019</td>
<td>$150,000</td>
</tr>
<tr>
<td>Subtotal 9/28/15 Board Award</td>
<td>$925,971</td>
</tr>
<tr>
<td>Proposed Modification</td>
<td>$61,000</td>
</tr>
<tr>
<td><strong>Final Not to Exceed Amount-August 2019</strong></td>
<td><strong>$986,971</strong></td>
</tr>
</tbody>
</table>

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

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2019-1075)
Life Insurance Benefit Contract Modification

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to finalize the payments under the contract; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to execute this contract modification to allow Capital Metro to finalize premium payments to Standard Insurance Company.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President & CEO or his designee, is authorized to finalize and execute a contract modification of Contract No. 200004 with Standard Insurance Company for premium payments for life and disability insurance for an additional $61,000 for the total contract not to exceed an amount of $986,971.

________________________  ______________________
Secretary of the Board     Date: ______________________
Eric Stratton

Attachment: Resolution-AI-2019-1075  (4432 : Modification to Contract for Employee Life Insurance)
Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Travis County for employee transit passes for a period of one year from October 1, 2019, to September 30, 2020.
SUBJECT:
Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Travis County for employee transit passes for a period of one year from October 1, 2019, to September 30, 2020.

FISCAL IMPACT:
This action is revenue-generating.

STRATEGIC PLAN:
Strategic Goal Alignment:
4. Valued Community Partner

Strategic Objectives:
4.4 Organizational Partner Satisfaction

EXPLANATION OF STRATEGIC ALIGNMENT:
Extension of the ILA with Travis County will maintain a strong partnership that supports Capital Metro's mission and vision. The ILA extension has the potential to increase ridership on Capital Metro services and increase revenue.

BUSINESS CASE:
The ILA has helped establish a strong partnership with Travis County that supports Capital Metro's strategic objectives. The proposed ILA extension will maintain this relationship. The ILA has been well utilized by Travis County employees, and the proposed extension has the potential to increase the usage of our services by Travis County employees.

COMMITTEE RECOMMENDATION:
This agenda item was presented and is recommended for approval by the Finance, Audit and Administration Committee on August 12, 2019.

EXECUTIVE SUMMARY:
As part of Capital Metro’s desire to build strong community partnerships that further Capital Metro’s mission and vision and as part of Capital Metro's and Travis County's continued joint effort to promote sustainability through transportation alternatives, this agreement is an extension of an Interlocal Agreement (ILA) with Travis County for employee transit passes for a period of one year from October 1, 2019, to September 30, 2020. This extension is the first of three, one-year, optional extensions allowed under the ILA.
DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

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

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2019-1057)
Travis County Interlocal Agreement Extension

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to build strong community partnerships that further Capital Metro’s mission and vision; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to build ridership and increase market share of alternate transit use.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President & CEO, or his designee, is authorized to execute an extension of an Interlocal Agreement (ILA) with Travis County for employee transit passes for a period of one year from October 1, 2019, to September 30, 2020.

__________________________
Date: ______________________

Secretary of the Board
Eric Stratton
AMENDMENT NO. 1 TO THE INTERLOCAL AGREEMENT
BETWEEN
TRAVIS COUNTY AND
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
FOR EMPLOYEE TRANSIT SERVICES

This Amendment No. 1 to the Interlocal Agreement for Employee Transit Services ("Amendment") is entered into by and between Travis County, Texas ("Travis County"), a political subdivision of the State of Texas, and Capital Metropolitan Transportation Authority ("Capital Metro"), a transportation authority and political subdivision organized under Chapter 451 of the Texas Transportation Code. Capital Metro and Travis County are referred to in this Amendment collectively referred the “Parties” and individually as a “Party”.

I. Recitals

1. The Parties entered into that certain Interlocal Agreement for Employee Transit Services dated effective September 26, 2018 under which Capital Metro provides transit services to employees of Travis County (the “Interlocal Agreement”).

2. Article III.1 of the Interlocal Agreement provides the term of the Interlocal Agreement (the “Term”) will initially remain in effect until September 30, 2019 and may be extended for up to three additional 12-month optional renewals.

3. The Parties desire to extend the Term for one (1) twelve (12) month renewal period.

4. In addition, the Parties desire to amend the rates and costs for bus and rail services set forth in the Agreement.

In consideration of mutual covenants and agreements contained herein, the Parties agree to the terms and conditions below as evidenced by the signatures of their respective authorized representatives.

II. Agreement

1. Article III.1 of the Interlocal Agreement provides that all optional renewals and extensions are subject to the review and approval of the Capital Metro Board of Directors and the Travis County Commissioners Court. Pursuant to Article III.1 of the Interlocal Agreement, the Parties hereby agree to renew the Interlocal Agreement for an additional 12-month period from October 1, 2019 through September 30, 2020.

2. As of October 1, 2019, Table 1 in Section 1.1 of the Agreement is deleted in its entirety and replaced with the following:

<table>
<thead>
<tr>
<th>Service</th>
<th>Promotional Fare Price</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Service</td>
<td>Discount Details</td>
</tr>
<tr>
<td>--------------------</td>
<td>-------------------------------------------------------</td>
</tr>
<tr>
<td>Local</td>
<td>30% discount on current standard, published rates</td>
</tr>
<tr>
<td>Commuter</td>
<td>30% discount on current standard, published rates</td>
</tr>
<tr>
<td>MetroAccess (Paratransit)</td>
<td>$46.50 per month</td>
</tr>
</tbody>
</table>

3. Except as otherwise set forth in this Amendment, the Interlocal Agreement will remain in full force and effect in accordance with its original terms and be binding on the Parties and their respective heirs, executors, administrators, successors, and assigns.

4. Capitalized items used in this Amendment and not otherwise defined have the meanings assigned to them in the interlocal Agreement.

IN WITNESS WHEREOF, the Parties have caused this Amendment to be executed by their undersigned, duly authorized representatives to be effective as of the date of the last Party to sign.

**Capital Metropolitan Transportation Authority**

By: ____________________________
Randy Clarke
President/CEO

Date: ____________________________

Approved as to form:
By: ____________________________
CMTA Legal

**Travis County, Texas**

By: ____________________________
Sarah Eckhardt
Travis County Judge

Date: ____________________________

Approved as to form:
By: ____________________________
CMTA Legal
Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Austin Community College for student and employee transit passes for a period of one year from September 1, 2019, to August 31, 2020, that establishes a flat-fee for paratransit, rail and fixed-route bus services of $429,000 for the term of the extension.
SUBJECT:
Approval of a resolution authorizing the President & CEO, or his designee, to extend an Interlocal Agreement (ILA) with Austin Community College for student and employee transit passes for a period of one year from September 1, 2019, to August 31, 2020, that establishes a flat-fee for paratransit, rail and fixed-route bus services of $429,000 for the term of the extension.

FISCAL IMPACT:
This action is revenue-generating.

STRATEGIC PLAN:
Strategic Goal Alignment:
4. Valued Community Partner

Strategic Objectives:
4.4 Organizational Partner Satisfaction

EXPLANATION OF STRATEGIC ALIGNMENT:
Extension of the ILA with Austin Community College will maintain a strong partnership that supports Capital Metro’s mission and vision. The ILA extension has the potential to increase ridership on Capital Metro services and sustain revenue.

BUSINESS CASE:
The ILA has helped establish a strong partnership with Austin Community College that supports Capital Metro’s strategic objectives. The proposed ILA extension will maintain this relationship. The ILA has been well utilized by Austin Community College students and employees, and the proposed extension has the potential to increase the usage of our services by Austin Community College students and employees.

COMMITTEE RECOMMENDATION:
This agenda item was presented and is recommended for approval by the Finance, Audit and Administration Committee on August 12, 2019.

EXECUTIVE SUMMARY:
As part of Capital Metro’s desire to build strong community partnerships that further Capital Metro’s mission and vision and as part of Capital Metro’s and Austin Community College’s continued joint effort to promote sustainability through transportation alternatives, this agreement is an extension of an Interlocal Agreement (ILA) with Austin Community College for student and employee transit passes for a period of one year from September 1, 2019, to August 31, 2020, that establishes a flat-fee for paratransit, rail and fixed-route bus services of $429,000 for the term of the extension. This extension is the first of four, one-year, optional extensions allowed under the ILA.
DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

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

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2019-1046)
ACC Interlocal Agreement Extension

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to build strong community partnerships that further Capital Metro’s mission and vision; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to build ridership and increase market share of alternate transit use;

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the President & CEO, or his designee, is authorized to execute an extension of an Interlocal Agreement (ILA) with Austin Community College for student and employee transit passes for a period of one year from September 1, 2019, to August 31, 2020, that establishes a flat-fee for paratransit, rail and fixed-route bus services of $429,000 for the term of the extension.

________________________
Date: ____________________

Secretary of the Board
Eric Stratton
Results

- Increased Ridership
- Budgetary Stability
- Strengthened Partner Relationship
- Simplified Billing
- Enhanced User Experience
AMENDMENT NO. 1
TO
INTERLOCAL AGREEMENT BETWEEN
AUSTIN COMMUNITY COLLEGE DISTRICT
AND
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

This Amendment No. 1 ("Amendment") is made and entered into by and between Capital Metropolitan Transportation Authority ("Capital Metro"), a transportation authority and political subdivision for the state of Texas organized under Chapter 451 of the Texas Transportation Code, and Austin Community College District ("ACC") a public junior college and political subdivision of the State of Texas and collectively referred to as the “Parties”, upon the premises and for the consideration stated herein.

RECITALS

WHEREAS, Capital Metro and ACC entered into that one certain Interlocal Agreement, dated effective September 1, 2018 ("Agreement") for the provision of Capital Metro’s mass transit services and passes to ACC employees and students and,

WHEREAS, the Agreement provides that the term of the Agreement (the “Term”) will initially remain in effect through August 31, 2019 and may be extended for up to four (4) twelve (12) month extension periods; and,

WHEREAS, the Parties desire to extend the Term for one (1) twelve (12) month extension period; and,

WHEREAS, the Parties further desire to revise the Agreement to reflect ACC’s correct name, Austin Community College District.

NOW, THEREFORE, in consideration for the mutual promises, covenants, obligations, and benefits contained herein and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the Parties agree to the terms and conditions stated herein as evidenced by the signatures of their respective duly authorized representatives below.

AGREEMENT

A. EXTENSION. The Term is extended until August 31, 2020.

B. NAME CORRECTION. All references in the Agreement to Austin Community College are deleted and replaced with Austin Community College District. All references in the Agreement to ACC refer to Austin Community College District.

C. INCORPORATION BY REFERENCE. All defined terms contained in the Agreement shall have the same meaning herein. All terms and conditions contained
in the Agreement are incorporated herein for all purposes. All terms not herein defined have the same meaning as set forth in the Agreement. The Recitals contained in this Amendment are incorporated herein for all purposes.

D. ENTIRE AGREEMENT. This Amendment represents the entire agreement between the Parties concerning the subject matter of this Amendment and supersedes any and all prior or contemporaneous oral or written statements, agreements, and negotiations.

E. RATIFICATION. The Agreement, as modified and amended by this Amendment, is ratified and confirmed in all respects.

F. CONFLICT. In the event of a conflict between the terms of this Amendment and the terms of the Agreement, the provisions of this Amendment shall control.

IN WITNESS WHEREOF, the Parties have caused this Amendment to be executed by their respective undersigned duly authorized representatives as of the date of the last party to sign.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

By: ______________________________________
    Randy Clarke
    President/CEO

Date: ________________________________

AUSTIN COMMUNITY COLLEGE DISTRICT

By: ______________________________________
    Dr. Richard M. Rhodes
    President/CEO

Date: ________________________________
Approval of a resolution authorizing updates to certain policies adopted by the Board of Directors.
SUBJECT:
Approval of a resolution authorizing updates to certain policies adopted by the Board of Directors.

FISCAL IMPACT:
This action has no fiscal impact.

STRATEGIC PLAN:
Strategic Goal Alignment:
1. High Quality Customer Experience
4. Valued Community Partner

Strategic Objectives:
1.2 Ridership
1.5 Capital Projects Performance
4.1 Brand Reputation

EXPLANATION OF STRATEGIC ALIGNMENT:
The policies adopted by the Board of Directors provide strategic direction to the President & CEO and the Authority with regard to policy matters within the purview of the Board.

BUSINESS CASE:
Periodic review and updates to policies adopted by the Board of Directors are prudent in order to ensure they meet the ongoing needs of the Authority.

COMMITTEE RECOMMENDATION:
This agenda item was presented at both board committee meetings and is recommended for approval by the Board of Directors on August 26, 2019.

EXECUTIVE SUMMARY:
Section 8.6 of the Bylaws of the Capital Metro Board of Directors requires the continuous review and update of all policies adopted by the Board of Directors over a five-year period, beginning in 2018. The following actions are recommended for board-adopted policies at this time:

Board Personal Financial Statement Policy
This policy was adopted in 2011 to ensure that board members comply with state laws and best practices related to conflicts of interest. This policy requires board members to complete an annual Statement of Financial Interest and Affiliation no later than January 31st of each year for the prior year for the purpose of disclosing any substantial interests in business and real property. The completed forms are kept by Capital Metro Authority.
and available to the public upon request. Staff recommends changes to the form to ensure compliance with applicable laws and increase ease of use. No changes are recommended to this policy.

**Public Comment Policy and Procedures and Committee Public Comment Policy and Procedures**

These policies were last revised in 2012 to provide more convenient opportunities for the public to comment on items of interest or concern and improve the efficiency of board and committee meetings. Staff recommends additional revisions to the Public Comment Policy and Procedures to comply with the requirements of HB 2840 the 86th Legislative session and further improve the efficiency of board meetings. The changes include removing the limit of speakers at board meetings, removing the requirement to select a representative to speak on behalf of a group, and additional time for comment by non-English speakers using a translator. The revised Public Comment Policy and Procedures applies to board meetings and board committee meetings. Accordingly, staff recommends the board adopt the revised Public Comment Policy and Procedures and rescind the Committee Public Comment Policy and Procedures.

**Community Involvement Policy**

This policy was last revised in 2012 to more accurately reflect agency practices and comply with requirements of SB 650 from the 82nd Legislative session. The policy ensures that Capital Metro integrates, in a meaningful way, the knowledge and opinions of its stakeholders into its decision-making processes. The policy is required by Section 451.138 of the Texas Transportation Code. Staff recommends changes to define what is and what is not a "routine, non-controversial matter" and remove the requirement for staff to provide an annual plan outlining major public comment opportunities.

**DBE/SBE PARTICIPATION:** Does not apply.

**PROCUREMENT:** Does not apply

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

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION (ID # AI-2019-1078)

Updates to Board Policies

WHEREAS, it is prudent to periodically review and update policies adopted by the Board of Directors in order to ensure they continue to meet the needs of Capital Metro; and

WHEREAS, the Board of Directors adopted revised Bylaws in 2017 that require policies adopted by the Board of Directors to be reviewed every five years; and

WHEREAS, the following policies have been identified for review in August 2019: The Board Personal Financial Statement Policy, Public Comment and Procedures, Committee Public Comment and Procedures, and Community Involvement Policy.

NOW, THEREFORE, BE IT RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors approves the attached changes to the Public Comment Policy and Procedures (2012-13) and Community Involvement Policy (2012-68).

NOW, THEREFORE, BE IT FURTHER RESOLVED that no revisions are required to the Board Personal Financial Statement Policy (2011-41).

NOW, THEREFORE, BE IT FURTHER RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors rescinds the Committee Public Comment Policy and Procedures.

__________________________________________
Secretary of the Board
Eric Stratton

Date: ____________________________

Attachment: Resolution-AI-2019-1078 (4435 : Updates to Board Policies)
Updates to Board Policies
Updates to Board Policies

<table>
<thead>
<tr>
<th>Policy</th>
<th>Nature of Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Personal Financial Statement Policy</td>
<td>No Change; Substantive Changes to associated form</td>
</tr>
<tr>
<td>Public Comment Policy and Procedures</td>
<td>Substantive Changes</td>
</tr>
<tr>
<td>Board Committee Public Comment</td>
<td>Rescind – now covered in Public Comment Policy and Procedures</td>
</tr>
<tr>
<td>Community Involvement Policy</td>
<td>Substantive Changes</td>
</tr>
</tbody>
</table>
Board Personal Financial Statement Policy

• No changes to policy
• Changes to Statement of Financial Interest and Affiliation form
  – separate reporting for board member and family
  – Increased ease of use
  – Ensure compliance with applicable laws
Public Comment Policy and Procedures

• Changes made to comply with HB 2840
  – Removes limit on number of speakers
  – Removes requirement to designate one group representative
  – Allows non-English speakers using translators double the time to speak
• Applies to Board and committee meetings
• Additional changes to increase efficiency
Community Involvement Policy

• Changes made to:
  – Define what is and what is not a “routine, non-controversial” matter
  – Remove requirement to present annual plan
  – Add non-exhaustive list of items that staff will always take public comment on
RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS

STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION CMTA-2011-41
Board Personal Financial Statement Policy

WHEREAS, the board of directors desires to ensure that the members of the board comply with state laws and best practices related to conflicts of interest as board members; and

WHEREAS, a Statement of Financial Interest and Affiliation is required of all members of the board of directors to assist in complying with these state laws; and

WHEREAS, it is a best practice to review and update statements annually to ensure that potential conflicts of interest are disclosed.

NOW THEREFORE BE IT RESOLVED, that all members of the Capital Metro board of directors shall complete a Board Member Statement of Financial Interest and Affiliation no later than January 31st of each year for the prior year that shall be kept on file by the Authority and available to the public upon request.

RESULT: ADOPTED [UNANIMOUS]
MOVER: Norm Chafetz, Board Member
SECONDER: Ann Stafford, Board Member
AYES: Chafetz, Silas, Langmore, Fernández, Stafford, Hlista, Martinez, Riley

Date: June 27, 2011

Secretary of the Board
Beverly Silas
SUBJECT: Approval of a resolution requiring all members of the Capital Metro board of directors to complete a Board Member Statement of Financial Interest and Affiliation no later than January 31st of each year for the prior year that shall be kept on file by the Authority and available to the public upon request.

FISCAL IMPACT: This action has no fiscal impact.

COMMITTEE RECOMMENDATION: This agenda item was approved by the finance/audit committee on June 8, 2011.

EXECUTIVE SUMMARY: All members of the board of directors are required to complete a Statement of Financial Interest and Affiliation upon becoming a member of the board. This statement assists the board member and the Authority in identifying potential conflicts of interest that may arise as a result of financial obligations and investments or employment relations. It is a best practice to require the completion and update of the statement annually with any potential conflicts resulting from any activities from the prior year. The form has been updated to reflect any substantial interests from the prior year. Board members will be required to update their statement by January 31st of each year. Statements will be maintained by the Authority and subject to disclosure under the Texas Public Information Act.

ROUTE 2025 STRATEGIC ALIGNMENT: Does not apply.

DBE PARTICIPATION: Does not apply.

RESPONSIBLE DEPARTMENT: Legal

LEGAL COUNSEL SIGNATURE: [Signature]
PART A. EMPLOYMENT DATA

Board Member’s Name: ________________________________

Date of Membership: ________________________________

Definitions as used in this Statement:

"Business Entity" means a sole proprietorship, partnership, limited partnership, firm, corporation, holding company, joint stock company, receivership, trust, or any other entity recognized by law through which business is conducted.

"Immediate Family" means Board Member’s spouse, dependent children including adopted children and step-children, and, in addition, any relative who resides in the Board Member’s residence. A child is considered to be dependent if you are providing more than 50% of the child’s support in a calendar year.

Board Member has a “Substantial Interest” in a business entity or real property if:

(a) the interest is ownership of 10 percent or more of the voting stock or shares of the business entity or ownership of 10 percent or more or $15,000 or more of the fair market value of the business entity;

(b) funds received by the Board Member from the business entity exceed 10 percent of the Board Member’s gross income for the previous year;

(c) the interest in real property is an equitable or legal ownership with a fair market value of $2,500 or more;

(d) an organization which employs, or is about to employ, the Board Member has a substantial interest in the business entity as defined in (1) and (2).
PART B. EMPLOYMENT AND INTERESTS

List the names of any business or other entity with which you were in the last five (5) years an employee, owner, partner, board member, or consultant. If none, write NONE.

1. ___________________________ 5. ___________________________
2. ___________________________ 6. ___________________________
3. ___________________________ 7. ___________________________
4. ___________________________ 8. ___________________________

PART C. SUBSTANTIAL INTEREST FROM EMPLOYMENT RELATIONSHIPS

List the name of any business entities in which you or, to the best of your knowledge, any member of your immediate family have a substantial interest (such as salary, pension or retirement plan, shared income, commitment to hire or rehire, or other arrangement) as a result of any current or past employment, business, or professional relationship. If none, write NONE. Identify by line item which family member's interest is disclosed.

*Note -- Substantial interest includes any entity from which the Board Member or a member of your immediate family received more than 10% of your gross income from the previous year.

1. ___________________________ 5. ___________________________
2. ___________________________ 6. ___________________________
3. ___________________________ 7. ___________________________
4. ___________________________ 8. ___________________________

PART D. OWNERSHIP INTERESTS

List the name of any business entities in which you or, to the best of your knowledge, any member of your immediate family have a substantial interest through the ownership of stock, stock options, bonds, securities, partnership interests, trusts or other arrangement or relationship. If none, write NONE. Identify by line item which family member's interest is disclosed.

*Note -- Substantial interest includes any entity from which the Board Member or a member of your immediate family received more than 10% of your gross income from the previous year.

1. ___________________________ 5. ___________________________
2. ___________________________ 6. ___________________________
3. ___________________________ 7. ___________________________
4. ___________________________ 8. ___________________________
PART E. LOANS

List the name of any individual or business entity (other than members of your immediate family) to which you or, to the best of your knowledge, any member of your immediate family are indebted (do not list credit cards, or Metro or Municipal credit unions). If none, write NONE. Identify by line item which family member's interest is disclosed.

1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 

PART F. INTERESTS IN REAL PROPERTY

List your and/or your immediate family's whole or partial ownership of real property located in or adjacent to the Capital Metro service area, other than property that you occupy as a personal residence. Please indicate (a) the individual who has the interest and his/her relationship to you, if other than yourself; (b) nature of interest, e.g., ownership, mortgage, lien, investment trust; (c) the type of property, e.g., residence, hotel, apartment, farm, undeveloped land; and, (d) address of the real property including county. If none, write NONE.

1. (a) 
   (b) 
   (c) 
   (d) 

2. (a) 
   (b) 
   (c) 
   (d) 

3. (a) 
   (b) 
   (c) 
   (d) 

If more space is needed to fully disclose any item, please type on separate sheets and submit as attachments to this statement.
I have read and understand the requirements of this statement. I certify that the responses I have made are true, complete, and correct to the best of my knowledge and belief.

I acknowledge that I have been provided a copy of the Code of Conduct.

Board Member Signature  

Date

Chief Counsel's Review:

I have reviewed the Statement of Financial Interest and Affiliation of  

(Board Member Name)

and find:

☐ No real or apparent conflict exists.

☐ Real or apparent conflict may exist. Required action:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Chief Counsel  

Date

Attachment: Board Personal Financial Statement Policy (2011-41) (no changes to policy) (4435 : Updates to Board Policies)
PART A. PERSONAL INFORMATION

Board Member’s Name: ____________________________

Date: __________________________________________

PART B. INSTRUCTIONS AND DEFINITIONS

INSTRUCTIONS:
Please read and complete this statement in its entirety. If more space is needed to fully disclose any item, please type on separate sheets and submit as attachments to this statement.

DEFINITIONS:
“Business Entity” means a sole proprietorship, partnership, firm, corporation, holding company, joint-stock company, receivership, trust, or any other entity recognized by law.

“Family Member” means a person related to the Board Member within the first degree by consanguinity or affinity. This includes the Board Member’s spouse, children (including adopted children and stepchildren), parents and stepparents, mother-in-law and father-in-law, son-in-law and daughter-in-law.

“Person” means the Board Member or a Board Member’s Family Member.

With respect to a Business Entity, “Substantial Interest” means:

i. ownership of 10 percent or more of the voting stock or shares of a business entity; or

ii. ownership of either 10 percent or more or $15,000 or more of the fair market value of a business entity; or

iii. receipt of 10% or more of gross income for the previous year from the business entity.

With respect to real property, “Substantial Interest” means ownership of an interest in real property that is an equitable or legal ownership with a fair market value of $2,500.00 or more.
PART C. SUBSTANTIAL INTERESTS IN BUSINESS ENTITIES

I. List all Business Entities in which you have a Substantial Interest. If none, write “NONE”.

<table>
<thead>
<tr>
<th>Name of Business Entity</th>
<th>Nature and Extent of Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
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</tbody>
</table>

II. List all Business Entities in which any Family Member (spouse, children, including adopted and stepchildren, parents and stepparents, mother-in-law, father-in-law, daughter-in-law and son-in-law) has a Substantial Interest. For example, a Board Member has a substantial interest in a Business Entity that employs the Board Member’s daughter and pays her at least ten percent of her previous year’s annual gross income. If none, write “NONE”.

<table>
<thead>
<tr>
<th>Name of Family Member</th>
<th>Relationship to You</th>
<th>Name of Business Entity</th>
<th>Nature and Extent of Interest</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>
PART D. SUBSTANTIAL INTERESTS IN REAL PROPERTY

I. List all properties located in or adjacent to the Capital Metro service area in which you have a Substantial Interest. If none, write “NONE”.

<table>
<thead>
<tr>
<th>Address (including County)</th>
<th>Nature and Extent of Interest (e.g., homestead, rental, business property, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

II. List all properties located in or adjacent to the Capital Metro service area in which a Family Member (spouse, children, including adopted and stepchildren, parents and stepparents, mother-in-law, father-in-law, daughter-in-law and son-in-law) has a Substantial Interest. If none, write “NONE”.

<table>
<thead>
<tr>
<th>Name of Family Member</th>
<th>Relationship to You</th>
<th>Address (including County)</th>
<th>Nature and Extent of Interest (e.g., homestead, rental, business property, etc.)</th>
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</table>
PART E. ATTESTATION

1. I have read and understand the requirements of this statement. I certify that the responses I have made are true, complete, and correct to the best of my knowledge and belief.

2. I acknowledge that I have been provided a copy of the Capital Metro Code of Ethics.

3. I will abstain from participating in a matter if the action on the matter will have, or is reasonably foreseeable to have, a special economic effect (distinguishable from the effect on the public) favorable to me, my Family Member, or a Business Entity or real property related to me or my Family Member, as required by Chapter 171 of the Local Government Code.

4. I understand that, before a vote or decision occurs, I must file a Conflict of Interest Statements (CIS) form (available at https://ethics.state.tx.us/data/forms/conflict/CIS.pdf) with Capital Metro stating the nature and extent of my interest if I have a potential conflict with a contractor or vendor that enters into a contract with Capital Metro or is considering to enter into a contract with Capital Metro, as required by Chapter 176 of the Texas Local Government Code.

5. I understand that, within 10 (ten) days before the date on which property is to be acquired by purchase or condemnation with Capital Metro funds, I must file an affidavit with the county clerk in which I reside and the county clerk of each county in which the property is located, if I have a legal or equitable interest in the property that is to be acquired with Capital Metro funds, as required by Chapter 553 of the Government Code.

______________________________  __________________
Board Member Signature         Date

Chief Counsel’s Review:

I have reviewed the Statement of Financial Interest and Affiliation of
______________________________________________________________ (Board Member Name) and find:

☐ No real or apparent conflict exists.

☐ Real or apparent conflict may exist. Required action: ______________________

______________________________________________________________

______________________________  __________________
Chief Counsel Signature         Date
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS
PUBLIC COMMENT POLICY AND PROCEDURES

POLICY:
It is the policy of the Capital Metro Board of Directors (the “Board”) to value input from the public on matters of Capital Metro’s public business. Interested parties representing various points of view are allowed time to present their views in an orderly manner in accordance with this policy, while permitting the Board to conduct its meetings in an efficient and effective manner. This policy applies to Board meetings and Board committee meetings.

PROCEDURES:

1. Members of the public may sign up to speak on any action item or topic prior to the meeting by completing a Public Comment form. Copies of the posted meeting agenda and Public Comment forms will be available outside the Board meeting room prior to the meeting.

2. Members of the public who plan to make a digital presentation to the Board must submit the presentation to Capital Metro staff for loading and testing at least thirty (30) minutes prior to the start of the meeting. Untimely presentations may not be accepted. Members of the public must bring their own copies of materials they wish to present to the Board/committee; Capital Metro will not make copies of materials.

3. Public comment on general topics will be received as the first item on the meeting agenda. Speakers may choose to address action items EITHER during the public comment section at the beginning of the meeting OR after the staff presentation on the specific action item or topic for Board/committee consideration.

4. Speakers who sign up to address an item on the consent agenda may address the Board EITHER during the public comment section at the beginning of the meeting OR immediately prior to the vote on the consent agenda.

5. Speakers will have three (3) minutes to address the Board. Non-English speakers requiring a translator will have six (6) minutes to address the Board.

6. If more than one member of the public from a particular group is present and has requested to speak, the group may select one representative of the group to present the group’s view. In such a case, the group’s representative will be allowed five (5) minutes to speak.
IN ITS SOLE DISCRETION THE BOARD RESERVES THE RIGHT TO WAIVE THIS POLICY AND THESE PROCEDURES WHEN NECESSARY TO CONDUCT BOARD MEETINGS EFFICIENTLY AND EFFECTIVELY. CAPITAL METRO RESERVES THE RIGHT TO REMOVE PERSONS WHO CAUSE A DISTURBANCE AT AN OPEN MEETING OR TAKE OTHER ACTIONS TO PROMOTE AN ORDERLY MEETING.
CAPITAL METRO BOARD OF DIRECTORS
COMMITTEE
PUBLIC COMMENT
POLICY AND PROCEDURES

POLICY:
It is the policy of the board of directors that input from the public is encouraged. The purpose of this policy is to ensure that interested parties representing various points of view are allowed time to present their views while permitting the Board Committees to conduct their meetings in an efficient and effective manner.

PROCEDURES:

1. Members of the public may sign up to speak on any Action Item or topic outside the committee meeting room PRIOR to the committee meeting. Copies of the posted committee meeting agenda and Request for Comment forms will be available outside the committee meeting room prior to the committee meeting.

2. No more than five (5) members of the public who desire to speak to the committee on any single Agenda Item or topic will be accepted.

3. Speakers may either address the committee at the beginning of the meeting or when an Action Item is before the committee for consideration.

4. Speakers will have three (3) minutes to speak.

5. Speakers who wish to address more than one Action Item or topic may request five (5) minutes when they sign up to speak.

6. If more than one member of the public from a particular group has requested to speak, the group must select one representative of the group to present the group’s view. In such a case, the group’s representative will be allowed five (5) minutes to speak.

IN ITS SOLE DISCRETION THE BOARD COMMITTEES RESERVE THE RIGHT TO WAIVE THIS POLICY AND THESE PROCEDURES WHEN NECESSARY TO CONDUCT BOARD COMMITTEE MEETINGS EFFICIENTLY AND EFFECTIVELY.
PURPOSE:
The Board of Directors believes that effective community involvement improves the quality of decision-making processes and builds trust in Capital Metro. This policy ensures that Capital Metro integrates, in a meaningful way, the knowledge and opinions of its many stakeholders into its decision-making processes.

POLICY:
1. Capital Metro will maintain a comprehensive community involvement program that includes plans for receiving public comments for major decision-making processes including, but not limited to, policy development, strategic planning, budgeting, capital projects planning, fare adjustments and transit service changes. Capital Metro's Community Involvement Program will include:
   a. Methods to provide the public with access to accurate, understandable, and timely information to facilitate effective involvement in the decision-making process;
   b. Methods to ensure a diverse range of stakeholders are engaged in the process;
   c. Methods of providing the community with a sound understanding of the pertinent issues and options Capital Metro is considering;
   d. Methods to ensure information and activities are accessible to stakeholders with disabilities and/or limited English proficiency; and
   e. Methods to ensure that the public has an opportunity to comment on board matters before a vote on the matters occur.

2. The Board of Directors shall not utilize a consent agenda nor expedite consideration of board matters at board meetings unless it is for routine, noncontroversial matters. “Routine, non-controversial matters” for placement on the Board Consent Agenda include, but are not limited to, the following items:
   a. Contracts and agreement for the normal operation of a business, such as business services or furniture purchases, regardless of the dollar value.
   b. All other contracts with a value less than $5 million.

   Items that should not be considered for placement on the Board Consent Agenda include, but are not limited to, the following items:
   c. Substantive changes to Board adopted policies.
   d. Actions requiring a public hearing such as fare and service changes.
3. Capital Metro staff will develop a workplan outlining major opportunities for the public to provide comments on significant board matters. Significant board matters for which Capital Metro will always seek community input include, but are not limited to, significant budgetary matters, service changes, and fare changes.

4. Capital Metro will seek community input that reflects all points of view and will carefully consider this input when making decisions.

5. Capital Metro will work to ensure that decision-making processes are open and accessible to all interested parties, including but not limited to:
   a. Those with limited financial and technical resources
   b. Persons with limited English proficiency
   c. Persons with disabilities
   d. Those with limited past experience participating in transportation decision-making.

THE BOARD OF DIRECTORS RESERVES THE RIGHT TO AIVE THIS POLICY AND THESE PROCEDURES WHEN NECESSARY TO CONDUCT BOARD MEETINGS EFFICIENTLY AND EFFECTIVELY.
Financial Report – Fiscal Year 2019

Year to Date June 30, 2019
Major Highlights

Revenue

- Sales tax remittances received YTD May 2019 are 7.7% higher than YTD May 2018
- Capital contributions and grants are below budget due to timing of processing eligible paid expenses

Operating Expenses

- $182.5 million expended to date, or 68.6% of full year budget
- Year to date diesel cost of $2.00 per gallon is below the budgeted rate of $2.10 per gallon

Capital Projects

- FY2019 capital project budget of $114.5 million
- $45.1 million expended to date, or 39.3% of full year budget
  - Positive Train Control, TIGER Grant Project, Downtown Station, Westgate Transit Center and 24 Transit Buses
- $36.9 million outstanding commitments have been issued, or 32.2% of full year budget
  - TIGER Grant Project, Plaza Saltillo Double Tracking, 28 Commuter Coaches and Bus Stop Enhancements
## Revenue

<table>
<thead>
<tr>
<th>Category</th>
<th>FY18 Jun YTD Actual</th>
<th>FY19 Jun YTD Actual</th>
<th>FY19 Full Year Budget</th>
<th>% of Budget</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sales Tax</td>
<td>$179.6</td>
<td>$192.8</td>
<td>$245.8</td>
<td>78.5%</td>
<td>April actual receipts, May and June accrued</td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>17.2</td>
<td>16.4</td>
<td>22.5</td>
<td>72.9%</td>
<td></td>
</tr>
<tr>
<td>Freight Railroad Revenue</td>
<td>4.1</td>
<td>3.8</td>
<td>4.5</td>
<td>83.4%</td>
<td></td>
</tr>
<tr>
<td>Other Revenue</td>
<td>3.5</td>
<td>6.1</td>
<td>4.6</td>
<td>133.6%</td>
<td>Investment income above budget</td>
</tr>
<tr>
<td>Operating Contributions and Grants</td>
<td>24.8</td>
<td>29.1</td>
<td>29.7</td>
<td>98.0%</td>
<td>Additional sub-recipient grants - CARTS vehicle purchases</td>
</tr>
<tr>
<td>Capital Contributions and Grants</td>
<td>9.3</td>
<td>8.9</td>
<td>28.5</td>
<td>31.2%</td>
<td>Timing of processing of eligible paid expenses</td>
</tr>
<tr>
<td>Total</td>
<td>$238.7</td>
<td>$257.1</td>
<td>$335.6</td>
<td>76.6%</td>
<td></td>
</tr>
</tbody>
</table>
Actual Sales Tax Receipts

<table>
<thead>
<tr>
<th>Month</th>
<th>FY2017</th>
<th>FY2018</th>
<th>FY2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>OCT</td>
<td>17.8</td>
<td>18.5</td>
<td>19.5</td>
</tr>
<tr>
<td>NOV</td>
<td>19.5</td>
<td>19.6</td>
<td>19.6</td>
</tr>
<tr>
<td>DEC</td>
<td>22.8</td>
<td>23.1</td>
<td>24.5</td>
</tr>
<tr>
<td>JAN</td>
<td>17.4</td>
<td>18.5</td>
<td>18.1</td>
</tr>
<tr>
<td>FEB</td>
<td>19.4</td>
<td>20.1</td>
<td>20.3</td>
</tr>
<tr>
<td>MAR</td>
<td>22.3</td>
<td>23.0</td>
<td>23.0</td>
</tr>
<tr>
<td>APR</td>
<td>22.4</td>
<td>21.3</td>
<td>21.3</td>
</tr>
<tr>
<td>MAY</td>
<td>19.1</td>
<td>20.7</td>
<td>20.7</td>
</tr>
<tr>
<td>JUN</td>
<td>21.2</td>
<td>21.2</td>
<td></td>
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<tr>
<td>JUL</td>
<td>21.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AUG</td>
<td>20.3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SEP</td>
<td>21.2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total: $228.7M $243.6M $171.9M
Sales Tax Rolling Average Trend

Capital Metro Six Month Rolling Average Sales Tax Growth Trend

-15.00%
-10.00%
-5.00%
0.00%
5.00%
10.00%
15.00%

Monthly Sales Tax Receipts
## Operating Expense

<table>
<thead>
<tr>
<th>Category</th>
<th>FY18 Jun YTD Actual</th>
<th>FY19 Jun YTD Actual</th>
<th>FY19 Full Year Budget</th>
<th>% of Budget</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Benefits</td>
<td>$30.4</td>
<td>$30.7</td>
<td>$44.4</td>
<td>69.2%</td>
<td>Vacancy savings and timing of benefit payments</td>
</tr>
<tr>
<td>Professional Services</td>
<td>12.9</td>
<td>14.6</td>
<td>27.2</td>
<td>53.6%</td>
<td>Timing of consultation and other professional fee payments</td>
</tr>
<tr>
<td>Materials and Supplies</td>
<td>1.1</td>
<td>0.9</td>
<td>1.1</td>
<td>76.1%</td>
<td></td>
</tr>
<tr>
<td>Fuel and Fluids</td>
<td>8.9</td>
<td>9.1</td>
<td>12.8</td>
<td>71.4%</td>
<td>$460K favorable variance - $2.00 per gallon actual cost</td>
</tr>
<tr>
<td>Utilities</td>
<td>1.9</td>
<td>2.1</td>
<td>3.2</td>
<td>65.8%</td>
<td></td>
</tr>
<tr>
<td>Insurance</td>
<td>0.3</td>
<td>0.5</td>
<td>0.9</td>
<td>54.0%</td>
<td></td>
</tr>
<tr>
<td>Purchased Transportation</td>
<td>112.7</td>
<td>121.1</td>
<td>165.4</td>
<td>73.2%</td>
<td></td>
</tr>
<tr>
<td>Lease/Rentals</td>
<td>1.2</td>
<td>1.0</td>
<td>3.0</td>
<td>32.9%</td>
<td></td>
</tr>
<tr>
<td>Other Expenses</td>
<td>2.2</td>
<td>2.6</td>
<td>8.0</td>
<td>32.1%</td>
<td>Unspent contingency</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$171.6</td>
<td>$182.5</td>
<td>$266.1</td>
<td>68.6%</td>
<td></td>
</tr>
</tbody>
</table>
## Budget Transfers

Consistent with Capital Metro’s Financial Policies, there were five budget transfers to report for the quarter that cumulatively exceeded $150,000.

### April-19

**Transfer #1**

**From:**
- CPG1902 Bus Stop Enhancements
- CPG1712 DT Station - Storm Water Improvements
- CPG1704 MetroRapid - Additional Stations for 801 and 803
- CPG1518 Bus Stop Signage
- CPG1516 Downtown Station Improvements funded by TxDOT

**To:**
- CPG1713 Double-Tracking - NBFR to Plaza Saltillo

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPG1902</td>
<td>Bus Stop Enhancements</td>
<td>508,683</td>
</tr>
<tr>
<td>CPG1712</td>
<td>DT Station - Storm Water Improvements</td>
<td>1,015,511</td>
</tr>
<tr>
<td>CPG1704</td>
<td>MetroRapid - Additional Stations for 801 and 803</td>
<td>60,000</td>
</tr>
<tr>
<td>CPG1518</td>
<td>Bus Stop Signage</td>
<td>250,000</td>
</tr>
<tr>
<td>CPG1516</td>
<td>Downtown Station Improvements funded by TxDOT</td>
<td>433,963</td>
</tr>
<tr>
<td>CPG1713</td>
<td>Double-Tracking - NBFR to Plaza Saltillo</td>
<td>2,268,157</td>
</tr>
</tbody>
</table>

**Notes:** Accelerated funding for Plaza Saltillo double-tracking between infrastructure development projects during Downtown Station rail shut down.

### April-19

**Transfer #2**

**From:**
- FIN1901 Capital Project Contingency

**To:**
- ITS1808 Enterprise Project Portfolio Management

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>FIN1901</td>
<td>Capital Project Contingency</td>
<td>250,000</td>
</tr>
<tr>
<td>ITS1808</td>
<td>Enterprise Project Portfolio Management</td>
<td>250,000</td>
</tr>
</tbody>
</table>

**Notes:** Moved funds from FY2019 contingency for the integration of two new software systems being utilized for Project Connect.

### April-19

**Transfer #3**

**From:**
- 510-5120801-615 Lease-Vehicles
- 510-5030309-220 Other Professional Fees

**To:**

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>510-5120801-615</td>
<td>Lease-Vehicles</td>
<td>170,000</td>
</tr>
<tr>
<td>510-5030309-220</td>
<td>Other Professional Fees</td>
<td>170,000</td>
</tr>
</tbody>
</table>

**Notes:** Funded additional fare consulting fees from unused innovative mobility funds.

### May-19

**Transfer #4**

**From:**
- RRF1502 Crossings Improvements Reimbursed by TxDOT
- RRF1801 Bridge Replacement
- RRC1905 Track Undercutting

**To:**

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRF1502</td>
<td>Crossings Improvements Reimbursed by TxDOT</td>
<td>200,000</td>
</tr>
<tr>
<td>RRF1801</td>
<td>Bridge Replacement</td>
<td>600,000</td>
</tr>
<tr>
<td>RRC1905</td>
<td>Track Undercutting</td>
<td>800,000</td>
</tr>
</tbody>
</table>

**Notes:** Reallocated funds between rail projects to fund new track undercutting project.

### June-19

**Transfer #5**

**From:**
- RRC1904 Rail Capacity Improvements
- RRC1102 Positive Train Control

**To:**

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRC1904</td>
<td>Rail Capacity Improvements</td>
<td>585,000</td>
</tr>
<tr>
<td>RRC1102</td>
<td>Positive Train Control</td>
<td>585,000</td>
</tr>
</tbody>
</table>

**Notes:** Reallocated funds between rail projects for positive train control work related to Plaza Saltillo double-tracking.
Notes:

- Additional funding was allocated to the statutory operating and budget stabilization reserves based on the board approved funding formula. The statutory operating reserve equals 2 months of FY2018 operating expenses. Contributions to the budget stabilization reserve began in February 2016 with $7 million reserved in FY2016 and $3 million in FY2017. An additional contribution of $9.8 million was made in FY2018 to fully fund the budget stabilization reserve. The capital expansion fund was established in FY2019 with $9.6 million reserved as Capital Metro looks forward to future needs in the region.

- Funds for capital investment are required to help address extensive capital needs. The capital budget for FY2019 is $115 million, with $63 million funded by FY2019 income and $52 million from reserves. Due to project delays $76 million of the FY2018 capital budget was carried forward to FY2019. These capital improvements are needed to maintain the state of good repair of the community’s transit infrastructure and to be in compliance with Federal regulations. The City of Austin Mobility Fund was reduced by $6 million in FY2019 to assist with Project Connect preliminary engineering and environmental analysis.
## Statement of Revenue, Expenses and Change in Net Position

<table>
<thead>
<tr>
<th></th>
<th>FY18 Jun YTD Actual</th>
<th>FY19 Jun YTD Actual</th>
<th>FY19 Full Year Budget</th>
<th>% of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating Revenue</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Passenger Fares</td>
<td>$17.2</td>
<td>$16.4</td>
<td>$22.5</td>
<td>72.9%</td>
</tr>
<tr>
<td>Freight Railroad Revenue</td>
<td>4.1</td>
<td>3.8</td>
<td>4.5</td>
<td>83.4%</td>
</tr>
<tr>
<td>Other Revenue</td>
<td>1.9</td>
<td>3.3</td>
<td>3.3</td>
<td>98.0%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>23.3</td>
<td>23.4</td>
<td>30.3</td>
<td>77.2%</td>
</tr>
<tr>
<td><strong>Operating Expenses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salaries and Benefits</td>
<td>30.4</td>
<td>30.7</td>
<td>44.4</td>
<td>69.2%</td>
</tr>
<tr>
<td>Professional Services</td>
<td>12.9</td>
<td>14.6</td>
<td>27.2</td>
<td>53.6%</td>
</tr>
<tr>
<td>Fuel and Fluids</td>
<td>8.9</td>
<td>9.1</td>
<td>12.8</td>
<td>71.4%</td>
</tr>
<tr>
<td>Utilities</td>
<td>1.9</td>
<td>2.1</td>
<td>3.2</td>
<td>65.8%</td>
</tr>
<tr>
<td>Purchased Transportation</td>
<td>112.7</td>
<td>121.1</td>
<td>165.4</td>
<td>73.2%</td>
</tr>
<tr>
<td>Other Expenses</td>
<td>3.6</td>
<td>3.9</td>
<td>10.1</td>
<td>39.0%</td>
</tr>
<tr>
<td>Lease/Rental</td>
<td>1.2</td>
<td>1.0</td>
<td>3.0</td>
<td>32.9%</td>
</tr>
<tr>
<td>Depreciation &amp; Amortization</td>
<td>31.3</td>
<td>33.3</td>
<td>50.7</td>
<td>65.7%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>202.9</td>
<td>215.8</td>
<td>316.8</td>
<td>68.1%</td>
</tr>
<tr>
<td><strong>Operating Income/Loss</strong></td>
<td>(179.7)</td>
<td>(192.4)</td>
<td>(286.4)</td>
<td>67.2%</td>
</tr>
<tr>
<td><strong>Non-Operating Revenue/(Expenses)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales Tax</td>
<td>179.6</td>
<td>192.8</td>
<td>245.8</td>
<td>78.5%</td>
</tr>
<tr>
<td>Investment Income</td>
<td>1.8</td>
<td>3.0</td>
<td>.9</td>
<td>344.7%</td>
</tr>
<tr>
<td>Operating Contributions and Grants</td>
<td>24.8</td>
<td>29.1</td>
<td>30.1</td>
<td>96.7%</td>
</tr>
<tr>
<td>Capital Contributions and Grants</td>
<td>9.3</td>
<td>8.9</td>
<td>28.5</td>
<td>31.2%</td>
</tr>
<tr>
<td>Mobility Interlocal Agreements</td>
<td>(3.9)</td>
<td>(4.6)</td>
<td>(4.6)</td>
<td>100.5%</td>
</tr>
<tr>
<td>Other</td>
<td>(.2)</td>
<td>(.1)</td>
<td>-</td>
<td>0.0%</td>
</tr>
<tr>
<td><strong>Non-Operating Income/(Loss)</strong></td>
<td>211.6</td>
<td>229.0</td>
<td>300.6</td>
<td>76.2%</td>
</tr>
<tr>
<td><strong>Change in Net Position</strong></td>
<td>$31.9</td>
<td>$36.7</td>
<td>$14.2</td>
<td>258.0%</td>
</tr>
</tbody>
</table>
## Budget Variances by Department

<table>
<thead>
<tr>
<th>Department</th>
<th>FY18 YTD Budget</th>
<th>FY19 YTD Budget</th>
<th>FY19 YTD % of Budget</th>
<th>YTD Budget vs. Actual</th>
<th>FY19 Budget Full Year</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>100 - Non-Allocated Benefits</td>
<td>$8,359</td>
<td>$8,067</td>
<td>97.9%</td>
<td>$1,085</td>
<td>$11,049</td>
<td>Timing of admin healthcare expenses and associated fees</td>
</tr>
<tr>
<td>102 - Wellness Center</td>
<td>164</td>
<td>208</td>
<td>91.3%</td>
<td>18</td>
<td>277</td>
<td></td>
</tr>
<tr>
<td>103 - Child Care Center</td>
<td>675</td>
<td>670</td>
<td>104.6%</td>
<td>8</td>
<td>362</td>
<td></td>
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<tr>
<td>105 - Business Center</td>
<td>242</td>
<td>271</td>
<td>97.0%</td>
<td>8</td>
<td>362</td>
<td></td>
</tr>
<tr>
<td>110 - Executive Staff</td>
<td>394</td>
<td>609</td>
<td>76.4%</td>
<td>144</td>
<td>764</td>
<td></td>
</tr>
<tr>
<td>115 - Communications</td>
<td>404</td>
<td>379</td>
<td>92.0%</td>
<td>30</td>
<td>457</td>
<td></td>
</tr>
<tr>
<td>116 - Government Relations</td>
<td>593</td>
<td>849</td>
<td>53.0%</td>
<td>399</td>
<td>1,005</td>
<td></td>
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<tr>
<td>119 - Diversity and Compliance</td>
<td>0</td>
<td>171</td>
<td>91.2%</td>
<td>15</td>
<td>215</td>
<td></td>
</tr>
<tr>
<td>120 - Board Of Directors</td>
<td>181</td>
<td>175</td>
<td>90.5%</td>
<td>17</td>
<td>227</td>
<td></td>
</tr>
<tr>
<td>125 - Internal Audit</td>
<td>177</td>
<td>277</td>
<td>91.2%</td>
<td>25</td>
<td>371</td>
<td></td>
</tr>
<tr>
<td>130 - Strategic Oper Mgt. &amp; Administration</td>
<td>465</td>
<td>636</td>
<td>87.9%</td>
<td>77</td>
<td>810</td>
<td></td>
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<tr>
<td>141 - Security</td>
<td>3,567</td>
<td>3,315</td>
<td>100.1%</td>
<td>(3)</td>
<td>4,366</td>
<td></td>
</tr>
<tr>
<td>150 - Legal</td>
<td>566</td>
<td>880</td>
<td>62.1%</td>
<td>333</td>
<td>1,189</td>
<td></td>
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<tr>
<td>220 - Finance</td>
<td>2,627</td>
<td>5,235</td>
<td>50.0%</td>
<td>2,618</td>
<td>6,929</td>
<td></td>
</tr>
<tr>
<td>230 - Information Technology</td>
<td>6,817</td>
<td>9,215</td>
<td>86.1%</td>
<td>1,277</td>
<td>11,248</td>
<td></td>
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<tr>
<td>250 - Procurement</td>
<td>1,003</td>
<td>1,173</td>
<td>92.3%</td>
<td>91</td>
<td>1,519</td>
<td></td>
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<tr>
<td>275 - Rideshare</td>
<td>1,911</td>
<td>2,401</td>
<td>90.1%</td>
<td>238</td>
<td>3,272</td>
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<tr>
<td>320 - Planning</td>
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<td>2,136</td>
<td>73.6%</td>
<td>564</td>
<td>2,737</td>
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<tr>
<td>330 - Marketing</td>
<td>2,282</td>
<td>1,994</td>
<td>85.6%</td>
<td>287</td>
<td>2,812</td>
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<tr>
<td>331 - Community Engagement</td>
<td>739</td>
<td>970</td>
<td>70.3%</td>
<td>288</td>
<td>1,170</td>
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<tr>
<td>332 - Customer Service</td>
<td>682</td>
<td>799</td>
<td>85.2%</td>
<td>118</td>
<td>1,065</td>
<td></td>
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<tr>
<td>340 - Human Resources</td>
<td>1,484</td>
<td>1,503</td>
<td>93.6%</td>
<td>97</td>
<td>1,996</td>
<td></td>
</tr>
<tr>
<td>420 - Risk Management And Safety</td>
<td>924</td>
<td>1,962</td>
<td>72.2%</td>
<td>552</td>
<td>2,520</td>
<td></td>
</tr>
<tr>
<td>457 - Public Facilities</td>
<td>3,051</td>
<td>3,756</td>
<td>97.0%</td>
<td>421</td>
<td>4,899</td>
<td></td>
</tr>
<tr>
<td>530 - Capital Projects</td>
<td>1,106</td>
<td>1,428</td>
<td>70.5%</td>
<td>421</td>
<td>1,932</td>
<td></td>
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<tr>
<td>540 - Real Estate And Property Mgt.</td>
<td>1,387</td>
<td>1,470</td>
<td>77.8%</td>
<td>327</td>
<td>1,958</td>
<td></td>
</tr>
<tr>
<td>542 - Freight Rail Management</td>
<td>1,225</td>
<td>1,295</td>
<td>92.9%</td>
<td>92</td>
<td>1,609</td>
<td></td>
</tr>
<tr>
<td>544 - Commuter Rail Operations</td>
<td>12,117</td>
<td>15,493</td>
<td>86.8%</td>
<td>2,048</td>
<td>19,898</td>
<td></td>
</tr>
<tr>
<td>546 - Rail Compliance</td>
<td>179</td>
<td>0</td>
<td>0.0%</td>
<td>0</td>
<td>1,893</td>
<td></td>
</tr>
<tr>
<td>550 - Real Estate and Facility Planning</td>
<td>1,619</td>
<td>2,016</td>
<td>62.0%</td>
<td>767</td>
<td>2,674</td>
<td></td>
</tr>
<tr>
<td>600 - Operations and Maintenance Oversight</td>
<td>2,083</td>
<td>100,233</td>
<td>99.2%</td>
<td>758</td>
<td>134,129</td>
<td></td>
</tr>
<tr>
<td>610 - Bus Contract Operations</td>
<td>86,135</td>
<td>1,413</td>
<td>98.1%</td>
<td>28</td>
<td>1,893</td>
<td></td>
</tr>
<tr>
<td>615 - Innovative Mobility</td>
<td>0</td>
<td>2,724</td>
<td>14.1%</td>
<td>2,339</td>
<td>3,490</td>
<td></td>
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<tr>
<td>620 - Paratransit Contract Operations</td>
<td>20,989</td>
<td>20,122</td>
<td>98.5%</td>
<td>304</td>
<td>26,796</td>
<td></td>
</tr>
<tr>
<td>630 - Paratransit Administration</td>
<td>235</td>
<td>0</td>
<td>0.0%</td>
<td>0</td>
<td>0</td>
<td>Department 630 merged to department 620</td>
</tr>
<tr>
<td>640 - Paratransit Reservation &amp; Control</td>
<td>1,358</td>
<td>1,413</td>
<td>98.1%</td>
<td>28</td>
<td>1,893</td>
<td></td>
</tr>
<tr>
<td>650 - Paratransit Eligibility</td>
<td>641</td>
<td>668</td>
<td>94.5%</td>
<td>37</td>
<td>909</td>
<td></td>
</tr>
<tr>
<td>920 - Project Connect</td>
<td>1,263</td>
<td>5,976</td>
<td>47.6%</td>
<td>3,130</td>
<td>7,992</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>171,609</strong></td>
<td><strong>201,407</strong></td>
<td><strong>90.6%</strong></td>
<td><strong>18,916</strong></td>
<td><strong>266,094</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Comments:**
- 100: Timing of admin healthcare expenses and associated fees
- 102: Timing of dues and subscription expense
- 103: Timing Value of Value of Transit outreach
- 105: Timing of consultation fees
- 110: Timing of professional fees for strategic plan
- 115: Timing and savings in external legal services
- 118: Unspent contingency, interest expense savings and timing of professional fees
- 119: Timing of computer software expense and professional fees
- 120: Vacancy savings
- 125: Vacancy savings and timing of consulting fees
- 130: Vacancy savings and timing of consulting fees
- 131: Timing for Community Survey and other services, vacancy savings
- 141: Purchased transportation savings due to fewer hours and timing of bridge analysis
- 150: Vacancy savings
- 210: Department 546 merged to department 544
- 211: Department 630 merged to department 620
- 212: Department 619 merged to department 600
## Capital Projects Summary

<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>
</tr>
</thead>
<tbody>
<tr>
<td>Commuter Rail</td>
<td>$10,425</td>
<td>$1,407</td>
<td>$22,380</td>
<td>52.9%</td>
<td>Positive Train Control</td>
</tr>
<tr>
<td>Vehicles</td>
<td>9,683</td>
<td>19,978</td>
<td>29,623</td>
<td>100.1%</td>
<td>28 Commuter Coaches; 24 Transit Buses</td>
</tr>
<tr>
<td>Information Technology</td>
<td>2,634</td>
<td>2,473</td>
<td>11,665</td>
<td>43.8%</td>
<td>Data Center Modernization; Enterprise Project Portfolio Management</td>
</tr>
<tr>
<td>Facilities</td>
<td>21,019</td>
<td>11,562</td>
<td>37,295</td>
<td>87.4%</td>
<td>TIGER Grant Project; Westgate Transit Center; Bus Stop Enhancements</td>
</tr>
<tr>
<td>Freight Railroad</td>
<td>-</td>
<td>311</td>
<td>1,907</td>
<td>16.3%</td>
<td></td>
</tr>
<tr>
<td>Property and Asset Mgmt</td>
<td>1,127</td>
<td>752</td>
<td>2,430</td>
<td>77.3%</td>
<td>Plaza Saltillo - Plaza Revitalization, Crossings and Signals</td>
</tr>
<tr>
<td>Contingency</td>
<td>-</td>
<td>-</td>
<td>2,000</td>
<td>0.0%</td>
<td></td>
</tr>
<tr>
<td>Strategic Planning</td>
<td>-</td>
<td>-</td>
<td>6,472</td>
<td>0.0%</td>
<td>Delay in North Lamar/Airport Grade Separation</td>
</tr>
<tr>
<td>Security</td>
<td>170</td>
<td>377</td>
<td>757</td>
<td>72.3%</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$45,059</strong></td>
<td><strong>$36,859</strong></td>
<td><strong>$114,530</strong></td>
<td><strong>71.5%</strong></td>
<td></td>
</tr>
</tbody>
</table>

Outstanding commitments are for the purchase orders that have been issued.
THANK YOU!

METRO
TITLE: Internal Audit FY2019 Audit Plan Status
TITLE:  Semi-Annual Internal Audit Implementation Status
TITLE: Internal Audit Report on Capital Projects Expenditure Controls
TITLE: Capital Metro Insurance Programs Overview
Overview

- Cyber
- Errors and Omissions
- Contractor/Service Provider
- Governmental Immunity
- Claims and lawsuits
Coverages

- Cyber: $1M Liability
- Errors & Omissions: $5M Liability
Coverages

Service Providers

Auto

General & Workers Comp

$1M Liability
$5M Umbrella

Commuter Rail

Operations

$100M Liability
$68M DMU Damage

CapMetro retains first $1M in rail liability

Additional $10M rail liability policy
Claims and Lawsuits

Four Year Total (FY15-FY19)

- Workers Compensation (Medical Only)
  13

- Auto (Majority are Minor, >$10K per claim)
  14

- Lawsuits
  2
THANK YOU!

METRO
<table>
<thead>
<tr>
<th>Coverage</th>
<th>Policy Description</th>
<th>Policy Term</th>
<th>Coverage Limits and Deductibles</th>
<th>Insurance Provided By</th>
<th>Premium Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auto Liability: Service Providers</td>
<td>Liability coverage for bodily injury or property damage arising out of the operation of CMTA vehicles.</td>
<td>10/01/2018 to 10/01/2019</td>
<td>$1,000,000 per occurrence</td>
<td>Hartford Insurance Company</td>
<td>$2,800</td>
</tr>
<tr>
<td>General Liability Contractors</td>
<td>Liability coverage for bodily injury or property damage arising out of the operation of CMTA vehicles.</td>
<td>10/01/2018 to 10/01/2019</td>
<td>$1,000,000 Aggregation</td>
<td>Hartford Insurance Company</td>
<td>$2,800</td>
</tr>
<tr>
<td>Workers’ Compensation</td>
<td>Compensation for workers’ compensation claims arising out of the employment and scope of employment.</td>
<td>10/01/2018 to 10/01/2019</td>
<td>Limits of Liability:</td>
<td>Hartford Insurance Company</td>
<td>$2,800</td>
</tr>
<tr>
<td>Railroad Liability (ROW Hazard)</td>
<td>Liability coverage provided for an injury or death of a rail employee, passenger or third party due to the negligence of CMTA.</td>
<td>10/01/2018 to 10/01/2019</td>
<td>Limits of Liability:</td>
<td>Hartford Insurance Company</td>
<td>$2,800</td>
</tr>
<tr>
<td>DMU Physical Damage Insurance</td>
<td>Physical damage coverage for DMUs owned by CMTA.</td>
<td>10/01/2018 to 10/01/2019</td>
<td>Limits of Liability:</td>
<td>Hartford Insurance Company</td>
<td>$2,800</td>
</tr>
</tbody>
</table>