



Agenda
Capital Metropolitan
Transportation Authority
Board of Directors

2910 East 5th Street
Austin, TX 78702

Monday, October 25, 2021

12:00 PM

**2910 East 5th Street, Austin, TX
78702**

This meeting will be livestreamed at: <http://www.capmetrotx.legistar.com>

I. Call to Order

II. Recognition

III. Public Comment:

IV. Advisory Committee Update:

1. Customer Service Advisory Committee (CSAC)
2. Access Advisory Committee

V. Board Committee Updates:

1. Operations, Planning and Safety Committee
2. Finance, Audit and Administration Committee
3. CAMPO update
4. Austin Transit Partnership Update

VI. Consent Items

1. Approval of minutes from the September 27th, 2021 Capital Metro board meeting.
2. Approval of a resolution appointing Diana Wheeler to the Customer Satisfaction Advisory Committee.
3. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract with Convergent Technologies for the purchase and installation of cameras and supporting equipment at 31 Rail Signal Houses not to exceed \$422,290.
4. Approval by the Board of Directors of Capital Metro's investment policy and revision of the investment committee composition.

5. Approval of a resolution adopting the FY2022 Internal Audit Services Plan.
6. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute contracts with Bickerstaff Heath Delgado Acosta LLP; Clark Hill PLC; Enoch Kever PLLC; Greenberg Traurig LLP; Hawkins Delafield & Wood LLP; Husch Blackwell LLP; Jackson Lewis P.C.; K&L Gates LLP; Kaplan Kirsch & Rockwell LLP; Kowert, Hood, Munyon, Rankin & Goetzel, P.C.; Orrick, Herrington & Sutcliffe, LLP; Ross Molina Oliveros, PC; Thompson Coburn LLP; and Winstead PC for outside legal counsel services in the aggregate amount not to exceed \$3,600,000 for a three (3) year base term with three (3) one-year renewal options.

VII. Action Items:

1. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract with Structura, Inc. to renovate the first floor of the Capital Metro administrative facility at 2910 E. 5th St., for \$1,767,362 plus \$170,000 in contingency for a total amount not to exceed \$1,937,362.
2. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute contracts with Unity Contractor Services, Inc., Stacy and Witbeck, Inc. and MA Smith Contracting Co., Inc. for Indefinite Delivery Indefinite Quantity (IDIQ) Construction Services for transit facility construction projects for a five (5) year contract for a total amount not to exceed \$50,000,000.
3. Approval of the Capital Metro Board of Directors Public Safety Advisory Committee Charter.

VIII. Discussion Items:

1. Fare Policy Overview and Customer Payment Systems Update
2. Workforce Planning Update
3. Brand Refresh Presentation

IX. Reports:

1. President & CEO Report

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

Section 551.072 for Deliberation regarding Real Estate matters

Section 551.071 for Consultation with an Attorney regarding the terms and conditions of appointment of succeeding Executive Directors and performance evaluation.

Section 551.071 for Consultation with an Attorney related to contract provisions.

XI. Items for Future Discussion:

XII. 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.

BOARD OF DIRECTORS: Wade Cooper, Chair; Jeffrey Travillion, Vice Chair; Eric Stratton, Secretary; Terry Mitchell; Becki Ross; Ann Kitchen, Leslie Pool 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.



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-189

Agenda Date: 8/30/2021

Customer Service Advisory Committee (CSAC)

**Capital Metropolitan Transportation Authority
Customer Satisfaction Advisory Committee (CSAC) Meeting Minutes
Wednesday, October 13th, 2021
Virtual Presentation
6:00 PM – 8:25 PM**

Attendees

Committee Members: Betsy Greenberg, Ruven Brooks, David Foster, Ephraim Taylor, Lu Fangda, David Shapiro

Capital Metro Staff: Edna Parra, Sam Sargent, Tangee Mobley

Welcome / Introductions / Call to Order

6:15 PM

Official Access Committee Begins: Welcome / Introductions / Call to Order

Chair Chris Prentice

Public Communications

Joint Powers Agreement

Sam Sargent - *Austin Transit Partnership Program Strategy Director*

Project Connect Update:

Timeline of Project Connect:

- 2018 – 2020 – Launch of Community Engagement and planning for Project Connect.
- June 2020 – System Plan & Locally Preferred LPAs adopted and supported.
- July & Aug 2020 – Initial Investment and finance & governance model approved; election ordered.
- November 2020 – Project Connect approved by voters
- December 2020 – ATP Articles of Incorporation filed; organization created.
- 2021 – It's Go Time! First ATP Board Meeting / Agreements between parties & more

What is Austin Transit Partnership?

- An independent local government corporation, parented by CapMetro and City of Austin, with the sole purpose of holding onto the money for Project Connect and issue contracts to complete Project Connect.

What is each Partner responsible for?

- Austin Transit Partnership
 - Orange Line, Blue Line, Downtown Tunnel, Green Line (Phase 1), Facilities.
- CapMetro
 - MetroRapid, MetroExpress, Neighborhood Circulators (Pickup) Customer Tech, Red Line (Phase 1)
- City of Austin
 - Transit Supportive Anti-Displacement Investments, Utilities Relocations, Permitting, Right of Way, etc.

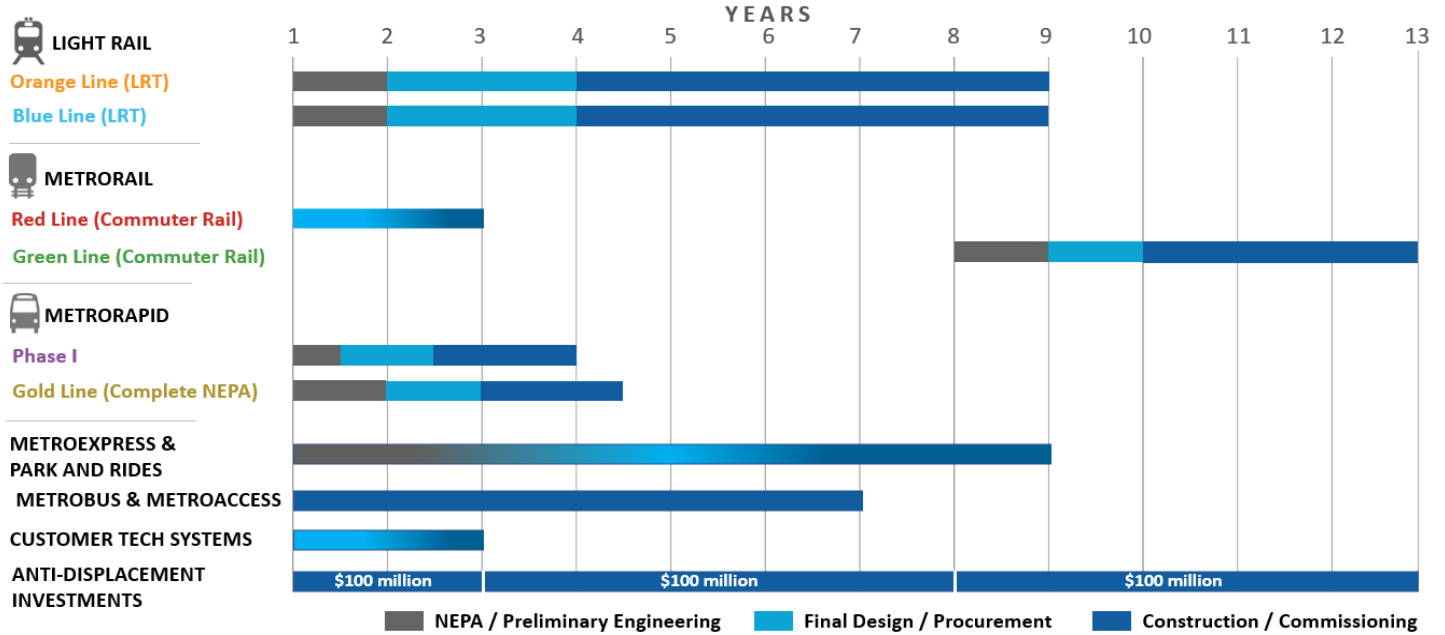
Joint Powers Agreement

Sam Sargent - *Austin Transit Partnership Program Strategy Director*

Project Connect Update: CONTINUED

Sam Sargent:

- A way to conceptualize what the partners are responsible for, is that ATP is responsible for everything that's brand new. CapMetro continues to focus on investments on what CapMetro already does well today. And the City of Austin critical role here is to help with the administration of \$300 Million of the total program for Anti-Displacement Investments, Permitting and re-configuring the streets for Right of Way for the new assets on the streets.



**Timeline of Events:
Light Rail**

- Orange Line**
- 1-2 Years: Preliminary Engineering
 - 2-4 Years: Final Design / Procurement
 - 4-9 Years: Construction / Commissioning

- Blue Line**
- 1-2 Years: Preliminary Engineering
 - 2-4 Years: Final Design / Procurement
 - 4-9 Years: Construction / Commissioning

MetroRail

- Red Line (Commuter Rail)**
- 1-3 Years: Final Design / Construction & Commissioning

- Green Line (Commuter Rail)**
- 8-9 Years: Preliminary Engineering
 - 9-10 Years: Final Design
 - 10-13 Years: Construction / Commissioning

MetroRapid

- Phase 1**
- 1 – 1^{1/2} Years: Preliminary Engineering
 - 1^{1/2} – 2^{1/2} Years: Final Design
 - 2^{1/2} – 4 Years Construction / Commissioning

- Gold Line (Complete NEPA)**
- 1 – 2 Years: Preliminary Engineering
 - 2 – 3 Years: Final Design
 - 3 – 4^{1/2} Years Construction / Commissioning

MetroExpress & Park and Ride - Ongoing Engineering, Procurement and Construction over the next 13 years.
MetroBus & MetroAccess – Construction / Commissioning over the next 7 years.
Customer Tech Systems – Procurement and Commissioning over the next 3 years
Anti-Displacement Investments – Distributed over the next 13 years.

Joint Powers Agreement Timeline

- **Nov 3rd, 2020** – Voter Approval of Project Connect / Initial Investment
- **Spring – Fall 2021** - JPA Drafting by ATP, City of Austin, Capital Metro Staff
- **Oct 4th, 2021** - ATP, Cap Metro, City Council Work Session to Discuss JPA and Other Program Updates
- **Oct 5th, 2021** - Virtual Public Meeting with Invited CAC, TACs, and community
- **Oct 29th, 2021** - ATP, Capital Metro, City Council Meeting to Approve JPA
- **Nov 2021 – 2022** - Approve Other Actions for Project Connect Implementation as Needed

Joint Powers Agreement Actions to Date:

Date	Purpose	Parties
August 2020	Interlocal agreement committing to the creation of the ATP local government corporation.	Capital Metro & City of Austin
December 2020	Joint resolutions creating the ATP, approving and adopting the corporations Articles of Incorporation and Bylaws, and appointing the initial Board (Articles of Incorporation were subsequently filed with the Attorney General’s Office and Bylaws adopted by the ATP Board).	Capital Metro & City of Austin
December 2020	Amendment to the August 2020 Interlocal agreement related to the Project Connect Community Advisory Committee.	Capital Metro & City of Austin
January 2021	Interlocal agreement for Capital Metro to provide certain administrative and corporate support functions to ATP, and for Capital Metro to implement certain projects that are part of the Project Connect program.	Capital Metro & ATP
March 2021	Interlocal agreement to transfer funding from ATP to the City of Austin for the City of Austin’s support in the implementation of the Project Connect transit program.	ATP & City of Austin
March 2021	Interlocal agreement to transfer funding from ATP to the City of Austin for transit-supportive anti-displacement programs, as required by the Contract with Voters.	ATP & City of Austin
July 2021	Interlocal agreement establishing procedures to transfer Proposition A revenue from the City to ATP to implement Project Connect, as required by the Contract with Voters	City of Austin & ATP

Sam Sargent: Joint Powers Agreement does not exist in a vacuum, since August of last year, Capital Metro and the City of Austin have been entering into agreements related to the implementation of Project Connect. JTP is comprised of employees of both CapMetro and CoA.

Documents with JPA Direction

As a commitment to the community and the partners, certain documents required elements or terms to be included in a Joint Powers Agreement between the City of Austin, Capital Metro and Austin Transit Partnership:

- City of Austin Contract with Voters (Aug. 2020)
- Capital Metro Community Commitment Resolution (Aug. 2020)
- Interlocal Agreement between the City of Austin and Capital Metro regarding ATP (Aug. 2020) and Creation of ATP Resolutions (Dec. 2020)

JPA Requirements

City of Austin Contract with Voters	Transfer tax revenue for FY 20-21 from City to ATP and establish a procedure to transfer tax revenue on an annual basis that provides a proportional amount.	Interlocal agreement between the City of Austin and ATP (July 2021).
Capital Metro Community Commitment Resolution	CapMetro to to dedicate the balance of the Capital Expansion Fund and certain revenue as long-term program contribution.	Interlocal agreement between Capital Metro and ATP; and CapMetro’s FY22 Budget Approval, anticipated on September 27, 2021.
	CapMetro to transfer funds received from grant agreements with US DOT to ATP.	CapMetro submitted and was approved to enter into project development for MetroRapid Expo and Pleasant Valley lines, and Orange and Blue Line grant. CapMetro and ATP to develop and execute grant-specific ILAs upon FTA grant approval.
	CapMetro to continue design, construction and implementation and ongoing operation and maintenance of Project Connect in future fiscal years.	CapMetro’s FY 21 and FY 22 budget includes various design and construction contracts to support the program. CapMetro participates in ATP design work to ensure operational readiness. Future ILAs for operations and maintenance will be necessary.

JPA Requirements: CONTINUED

Contract with Voters & Community Commitment Resolution	<p>"A requirement that Austin Transit Partnership participate in the Better Builder Program® or a similar program with worker protections for all construction workers, including City of Austin hiring goals as allowed by federal law and regulations, completion of OSHA 10-hour training, workers' compensation, on-site monitoring independent of construction companies and their affiliates, and in compliance with all applicable state, federal, and local laws."</p>	<p>ATP Board direction is anticipated at 10/20 Board Meeting directing these conditions in ATP construction contracts.</p> <p>CapMetro contracts have livable wage, workers compensation, OSHA training and requirement for on-site monitoring independent of construction companies.</p>
	<p>"A requirement that all contracts awarded by Austin Transit Partnership ensure a living wage as established by the City of Austin or prevailing wage under the Davis-Bacon Act for all workers under the contract, ensure access to healthcare and paid sick leave to the extent possible, and that local workers be afforded a hiring preference where allowed by federal law and regulation."</p>	<p>ATP Board direction is anticipated at 10/20 Board Meeting directing these conditions in construction contracts.</p> <p>CapMetro MetroRapid contract contains livable wage requirement.</p>
	<p>"A requirement that Austin Transit Partnership take steps to address potential impacts to businesses during construction through development and implementation of a business impact mitigation strategy that includes approaches for establishing robust business outreach and communications, supporting business access and operations, and creating effective project scheduling and sequencing that minimizes the length of construction impacts."</p>	<p>Anticipated Board action on 10/20, directing staff to engage the community and businesses and develop a light rail construction mitigation program, to be approved by the ATP Board.</p>
	<p>"A requirement that Austin Transit Partnership develop a comprehensive program that meets the federal Disadvantaged Business Enterprise laws and regulations to ensure that maximum opportunities are available to women, minority, and veteran-owned businesses and small businesses to participate in Project Connect and related projects implemented by Austin Transit Partnership."</p>	<p>The ATP Board adopted a DBE goal during the September 2021 ATP Board meeting.</p> <p>CapMetro Board approved a resolution funding an availability and disparity study to assist CapMetro and ATP on DBE goal development for future procurement.</p> <p>DBE goals may be updated and brought back to ATP Board for approval, based on the study.</p>

JPA Requirements Crosswalk

August 2020 CapMetro / City Interlocal Agreement	<p>ATP to present a management report at an annual joint meeting.</p>	<p>The first annual meeting will be held on October 29, 2021. The ATP Executive Director will work with the partners to schedule and deliver future annual meetings. The ATP Board is in the process of hiring an independent auditor that will report directly to the ATP Board.</p>
	<p>Further delineate roles and responsibilities of Community Advisory Committee.</p>	<p>The Project Connect CAC has formed, held meetings and adopted bylaws, based on City Council and Capital Metro Board direction via Amendment 1 to the ILA related to the CAC.</p>
	<p>The JPA shall include roles and responsibilities included but not limited to the following:</p> <ol style="list-style-type: none"> 1. Establishment of corporate functions, responsibility and costs; 2. Financial policies; 3. Funding allocations and procedures for use of funds for transit-supportive anti-displacement strategies related to the implementation of Project Connect; 4. Term and conditions of appointment of the Capital Metro President & CEO as a succeeding Executive Director of the Joint Local Government Corporation (LGC); 	<ol style="list-style-type: none"> 5. The 7 interlocal agreements executed to date established corporate functions, responsibility and the partners' investment in the Project Connect program. The JPA will reference or restate these agreements as necessary. 6. As independent organizations, ATP, CapMetro and the City shall follow Board- or Council-approved financial policies related to procurements, expenditures, budgeting, etc. of Project Connect components under their responsibility. The JPA will include language relating to the annual review of the integrated financial model for opportunities to potentially accelerate or delay elements of the program. 7. Interlocal agreement between the City of Austin and ATP (March 2021). 8. The CapMetro Board approved extension of new contract w/ CapMetro CEO, which included the job duties and responsibilities of the ATP Executive Director, in December 2020. The CapMetro Board and ATP Board shall define terms & conditions under which the ATP Board will appoint succeeding Executive Directors and evaluate performance.
<p>The JPA shall include roles and responsibilities included but not limited to the following:</p> <ol style="list-style-type: none"> 5. Utility and right of way agreements; 6. Design review and permitting standards; 7. Development of a Disadvantaged Business Enterprise program consistent with federal laws and regulations; 8. Development of worker safety and wage requirements; and 9. A community engagement process. 	<ol style="list-style-type: none"> 5. Staff are developing a Utilities Rules of Practice (UROP); direction to use the UROP is included in the JPA. Additional partnership agreements related to right of way and real estate may be needed as the program progresses. 6. Concurrent action on Oct. 29 will include direction to staff regarding design review and permitting 7. DBE is covered above. 8. Worker safety and wage requirements are covered above. 9. The JPA includes language with principles and commitments related to community engagement for the program. 	

October 29th Action Item Summary

Components of our Partnership:

- ATP Board Action:
 - Resolution supporting COA staff direction & Predictability Ordinance
- Capital Metro Board Action:
 - Resolution supporting COA staff direction & Predictability Ordinance
- City of Austin Action:
 - Resolution directing staff regarding permitting and regulations
 - Predictability Ordinance
- Tri-Party Action:
 - Joint Powers Agreement

Looking Ahead

- October 5th – 28th 2021
 - Meetings with Technical Advisory Committees, Project Connect Community Advisory Committee, stakeholders, etc., regarding the partnership agreements.
- October 5th 2021
 - Virtual Public Meeting for the community to learn more about the partnership agreements.
 - Video of meeting will be posted on www.ProjectConnect.com
- October 6th
 - ATP Engineering, Architecture, Construction (EAC) Technical Advisory Committee (TAC) **and** Capital Metro Access Advisory Committee
- October 7th
 - Community Advisory Committee (CAC) **and** ATP Planning, Sustainability, Equity (PSEC) TAC
- October 13th
 - Capital Metro Customer Satisfaction Advisory Committee
- October 29th
 - Project Connect Ambassador Network (PCAN) meeting
 - Tri-party meeting of the City Council, Capital Metro Board and Austin Transit Partnership Board
 - Presentation of the first annual management report
 - Action on the partnership agreement (JPA) and concurrent items

Questions and Comments

- Feedback@CapMetro.org

Betsy Greenberg: I believe in some areas there will be imminent domain. Is that the responsibility of the City of Austin?
Sam Sargent: The CoA and CapMetro both have imminent domain authority and right now, CapMetro would be the one exercising most of those rights. There may be instances where it would make more sense for the CoA to have authority, but for consistency and because this is a transit project, most of imminent domain will be handled by CapMetro.

Blue Line Design Overview

Sam Sargent - Austin Transit Partnership Program Strategy Director

The Geometry of Transit

- We are expecting 4 million residents in Austin by 2040. Even with EV's or Autonomous vehicles, there isn't enough space for continual car growth, Mass Transit is the most effective option.
- Currently we are at 15% design.
- 2024 – 2028 Construction
- 2028 – 2029 Opening
- Trams should not be placed on too steep of an incline - Maximum of 06% incline
- Smooth turns are a necessity
- Trams get signal priority
- Goes over how intersections would work
- Stations must be straight and not curved
- Designs include traffic management
- Cars are not impeded from performing U-Turns and other cross street turns.
- Airport Section elevated to span over highways

Project Implementation

- Fall 2020
 - Referendum Passed
- 2021 – 2022
 - Scoping (**We Are Here**)
 - Draft Environmental Impact Statement
 - Final Environmental Impact Statement & Record of Decision
- 2023 – 2024
 - Final design and contracting
- 2024 – 2028
 - Construction begins
 - Service and operations testing
- 2028/2029
 - Light Rail service begins

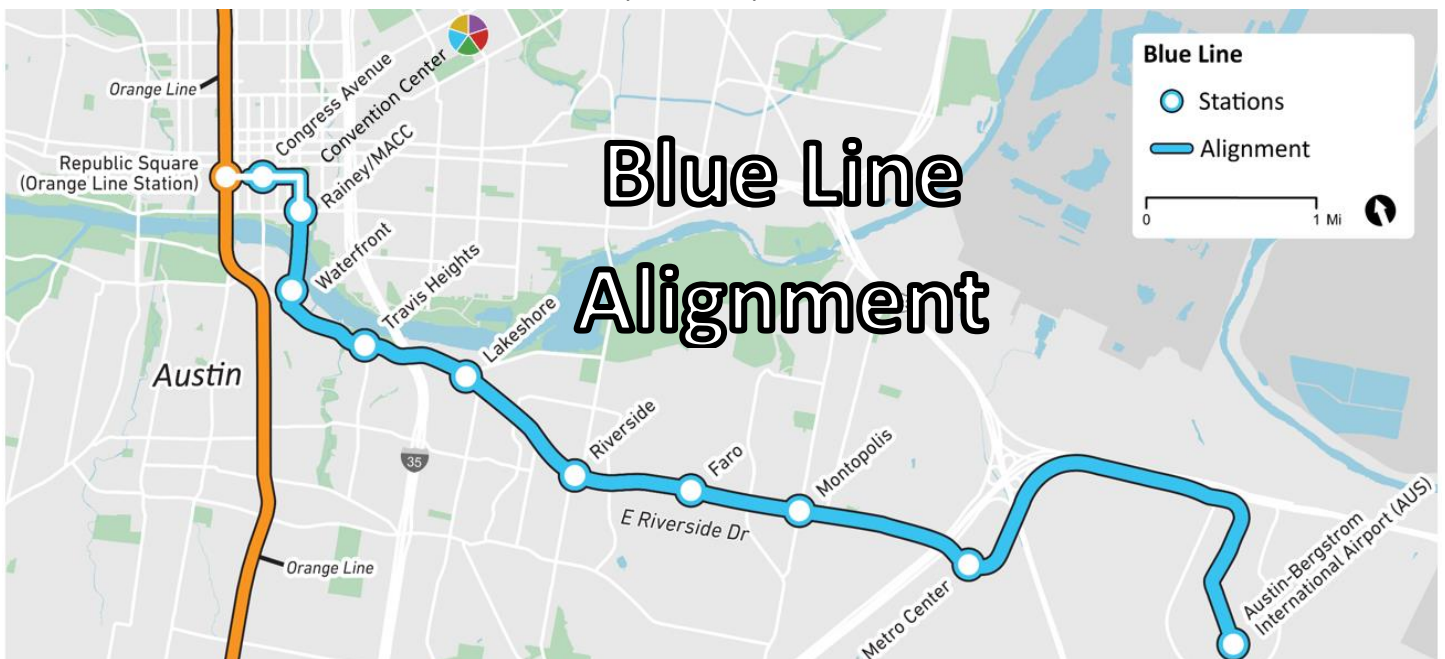
Sam Sargent: Currently we are at 15% design and these next station concepts reflect that 15% number. We are heading into 30% design, but these concepts are subject change as time goes on.

Sam Sargent: There are several requirements when building the station to make sure they are effective, safe, and accessible. The incline of the station must not be greater than 6 degrees. The turning radius of the tracks should be gentle with no sharp bends. We are working with CoA to accommodate intersections that will be the least disruptive as possible. And station distance is under careful consideration to allow customers the ability to walk to stations easily so that there is adequate and reliable connectivity.

Light Rail Transit (Conceptual Image)



Sam Sargent: This is a once in a generation opportunity to rebuild what the streets and corridors will look like and shape the future of land use and how people are getting around in the city. We are committing to accessible streets, that are safer for pedestrians, cyclists, and drivers. We are also under the concept of streetscape. Creating an aesthetic, pleasing street to be on and to look at that adds to the beauty of the city.



AUS Station

- Elevated Transitway
- Connection to future terminal expansion

US 183 Bridge

- Elevated over Hwy. 183
- Center running street level along Riverside Drive
- Bridge construction a possibility to support Light Rail

Metro Center Station (Option 2)

- Evaluating Park and Ride opportunities
 - Would also help airport employees get to and from work
- Center running street level

Montopolis Station

- Center street running
- Center platform station
- Developments in progress

Faro Station

- Center street running
- Center platform station
- Station raised above roadway

Riverside Station

- Evaluating intersection reconfiguration
- Connection to MetroRapid; evaluating transit hub and placemaking potential
- Potential for transit-oriented development
 - Riverside Options Currently Being Designed w/ Community Input
 - Option 1: Blue Line Underpass
 - Landscaped bridge and Pleasant Valley Rd. above transitway
 - MetroRapid stops located north of E Riverside Dr. intersection
 - Through-traffic remains across Pleasant Valley
 - Option 2: At Grade Transit Plaza
 - Blue Line at-grade
 - Blue Line / MetroRapid transit plaza on E Riverside Dr.
 - Pleasant Valley through traffic diverted via elongated roundabout loop

Lakeshore Station

- Center Running, side platform
- Planned development
 - Looking into if we can make this a center platform station. The station itself would take up less space, but would require widening around it, creating a bulb out.

Travis Heights Station

- Center street running
- Station raised above roadway
- Center platform
- Roadway re-alignment
- Connections to Butler hike and Bike Trail and boulevard being evaluated

David Shapiro: This station seems close to the Waterfront Station, and there seems to not be too much foot traffic in this area, so what's the thinking of putting this station here?

Sam Sargent: If you only had the Waterfront and Lakeshore Stations, there would be a massive gap between the two, not making it very accessible to people between the area.

David Shapiro: Have cost benefit analysis been conducted to see if the time stopping at this station is worth the wait and cost associated with having the station here?

Sam Sargent: Though we are at 15% design, station positions are more planted in the design than other aspects. There might be changes in the positions in the future as we continue to get to 30% design. But as of right now, the stations are in their final position.

David Foster: Why is the rail alignment swing so much in the diagram?

Sam Sargent: The road itself will be moved over to keep the rail in the center of the road. Also, the diagram isn't a 1:1 picture of where everything will be. There are still changes being made.

Waterfront Station

- Center street running along East Riverside Drive
- Potential property impacts
- Connections to Butler Hike and Bike Trail and Boardwalk being evaluated
- Side platform
- Station to be coordinated with planned development
- Rail/Bike/Ped signature bridge
- Portal transition into subway and Rainey/MACC Station
- Evaluating neighborhood and trail connections as well as pedestrian access to Rainey/MACC station

Rainey / MACC Station

- Portal to subway
- Pedestrian concourses stations underground

Lu Fangda: The Trinity and 4th street intersection looks sharp, would there be massive interruptions in the surface businesses and residents

Sam Sargent: Depending on the tunneling method we sue, there could be interruptions above ground. We are choosing between Tunnel Boring or Cut and Cover.

Taylor Ephraim: How are the businesses along this line going to be affected?

Sam Sargent: We are working closely with local businesses and property owners and supporting them to make them aware of the changes happening, so they have plans for contingency.

Taylor Ephraim: Will there be connectivity from the bridge to the Hike and Bike trail? I'm just concerned about the pedestrian traffic from the trail also conflicting with the Light Rail Station.

Sam Sargent: We are at a very early stage for the bridge, all we have for certain is its footprint and what we want to put into it. But you are correct. How do we funnel people who aren't using the Rail onto the bridge.

Congress Avenue Station

- Pedestrian concourses connecting stations underground
- Connection to future Gold Line
- Connection to Orange Line

Orange Line Design Overview

Sam Sargent - *Austin Transit Partnership Program Strategy Director*

- The Orange line is the longest line in the system.
- Runs from Slaughter to Tech Ridge
- Currently we are at 15% design.

Orange & Blue Line Key Milestones

- April 2021 – National Environmental Policy Act (NEPA) Notice of Intent
- Summer 2021 – Complete 15% design / Enter FTA Project Development
- Spring 2022 – Draft Environmental Impact Statement (DEIS), Draft 30% Design and Cost Estimates
- Spring – Summer 2022 - Initial FTA Rating / Complete 30% Design and Cost Estimate
- Summer 2022 – End of EIS and 30% Design Comment Phase
- Winter 2022 - Final EIS (FEIS) / FTA NEPA Record of Decision (ROD)

Orange Line Overview:

- 21 miles of alignment with ~2-3 miles of tunnel
- Stations are Fully Accessible; Equity in terms of mobility
- Accessible Design: compliance with ADA regulations, standards and best practices
- Clear, designated accessible routes in Station Areas
- Grade separated platforms served with elevators
- Low Floor Boarding (400 ft of ADA compliant platforms)
- Intermodal connections at Transit Centers
- Community-centered Designs
- Conveniently located neighborhood stations near employment and attractions

Sam Sargent: One of the main goals of this investment is to create a high-quality mobility experience for all, that has always been one of our main goals. How do we create an equitable, sustainable accessible city that creates opportunities for everybody?

Slaughter Station:

- New Park and Ride located off Congress Ave.
- Street level with signaled crossing
- Track and roadway elevated over Boggy Creek

William Cannon Station

- Southbound platform
- Northbound platform
- Track at street level and in the center

Stassney Station

- Shift from middle to side of existing roadway
- New Park and Ride north of Stassney Lane intersection
- Elevated track to avoid Williamson Street
- Transition to center track south of Sheraton

David Shapiro: Why is the Stassney station and as well as stretch of track north and south isn't aligned with the street?

Sam Sargent: Part of it is to create sufficient space for a Park and Ride and also a storage track, so we can more efficiently feed trams into the system.

South Congress Transit Center Station

- Transition to elevated transitway south of St. Elmo Rd.
- Elevated station at South Congress Transit Center
- Transitway stays elevated over SH 71 / Ben White Blvd.

St. Edward's Station

- Tracks return to street level just south of Alpine St.
- Southbound platform
- Northbound platform

Oltorf Station

- Center platform station south of Oltorf St.
- Historical building will not be impacted

SoCo Station – 1 of 2 Options

- Multiple design options under construction which could impact the vertical alignment, station location and location of south portal

Auditorium Shores

- Underground transit way and station throughout viewshed
- Station access point north of 1st street
- Tunnel aligns with Guadalupe

Republic Square Station

- Roadway improvements included
- Underground transitway and station a minimum of three entrances

Government Center / Capitol West Station – 1 of 3 Options

- Underground transitway and station
- Multiple design options under consideration for Government Center / Capitol West Station location

North Portal – 1 of 2 Options

- Multiple design options under consideration which could impact the location of the north portal

UT Mall Station – 1 of 3 Options

- Multiple design options under considerations in Drag area; all options would include some reduction of vehicle travel lanes through the Drag
- All options show UT Mall in the center, in the same general area

Hemphill Park Station – 1 of 3 Options

- Multiple design options under consideration in Drag are continue
- Connection added between Dean Keeton and San Antonio
- Proposed center station
- Reconfiguration of 29th and Guadalupe intersection
- Realignment of 30th Street

David Foster: Would this alignment still be taking out the number of small businesses on this strip?

Sam Sargent: We've contacted the property owners about the alignment, but some of that information gets lost between landlord and tenant. Though we do need to make a better effort on contacting the tenants as well ourselves.

David Foster: If we're extending Dean Keeton for cars, should Project Connect be paying for it? Or should this come from the city's budget?

Sam Sargent: I believe that this cost is built into the Project Connect budget.

Hyde Park Station

- Southbound platform
- Northbound platform
- May leverage Austin state Hospital property

Triangle Station

- Center platform station in the heart of the Triangle development area
- Number of vehicles will stay the same through Triangle and North Guadalupe

Koenig Station

- Street-level and center platform station south of Koenig
- Narrow right if way restricts or eliminates tree / furniture zone in some sections

Crestview Station

- Connects multiple modes; improvements for bikes/peds and vehicles
- Elevated station design to be determined based on stakeholder and community engagement

Taylor Ephraim: How would that impact the Crestview Station for the Red Line

Sam Sargent: It would give you the opportunity to keep the Red Line station in the same location. But lowering the elevation.

North Lamar Transit Center

- Northern terminus of initial investment
- Leverage existing NLTC Park and Ride via pedestrian bridge

Runberg Station

- Southbound platform
- Northbound platform

Parmer Station

- Southbound platform
- Tracks and station at street level
- Northbound platform
- Full and separated bicycle and pedestrian facilities proposed

Tech Ridge Station

- Tracks elevated to cross over I-35
- Tech Ridge Park and Ride Station plans to be developed further in the future

Betsy Greenberg: Peter Mullen is working on placemaking around the station. But I wonder in between station. What attention will they get. Some of the design options where the options are narrow have bikes, pedestrian, but no vegetation. So, I'm concerned about the shade for the pedestrians and bikes.

Sam Sargent: As we work through this part of the design process, a lot of the focus on the engagement process has been on stations. But you are right in bringing that up. There will be consideration made for the in-between areas, that will be addressed closer to procurement.

Lu Fangda: Where is the maintenance facility for the trams going to be?

Sam Sargent: Right now, our focus is finding a piece of land big enough. The minimum we need is 70 acres. That would need to be near the terminus of one of the lines. The most logical are right now near the Airport. We could do Tech Ridge, but that's too far away. In a perfect world, we'd want an area large enough for bus a rail yard and bus charging station.

David Shapiro: How much of the budget is dedicated to acquiring land?

Sam Sargent: I don't know right now, let me get back to you. Based on previous cities acquirement of land, Seattle spent 1/3 of their total budget on real estate costs.

Taylor Ephraim: What does the connection from the Blue Line to the Orange Line look like?

Sam Sargent: There's a lot of work going into the tunnel design, currently, it's going to be a Y shaped junction.

Taylor Ephraim: How would trains get from the rail yard to the Orange Line?

Sam Sargent: It would be a Y, if you were customer on the Blue line, you would ride from the Northbound track to get to the main line. The southbound track would be operations line, not a line with service.

Betsy Greenberg: Is there going to be an attempt to reintroduce legislation in a year and a half?

Sam Sargent: I would image, we may push for the legislation at that point. Though the design would be fairly locked in so it wouldn't be to add a station in the park. Re-introducing the legislation would be to give us flexibility on where we can plan stations.

Meeting Systems Check-in

Edna Parra; Community Engagement & Outreach Manager

Approval of the minutes

Next Full Board Meeting November 10th, 2021



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-190

Agenda Date: 8/30/2021

Access Advisory Committee

Capital Metropolitan Transportation Authority

Access Advisory Committee

Wednesday, October 6th, 2021

Virtual Presentation

6:15PM – 7:15PM

Attendees

Committee Members: Audrea Diaz, Awais Azhar, Chris Prentice, David Foster, Gavino Fernandez, James Bush, John McNabb, Mike Gorse, Paul Hunt, Raul Vela, Glenda Born

Capital Metro Staff: Alvin Livingstone, Chris Mojica, Jacqueline Evans, Jenna Maxfield, Julie Lampkin, Martin Kareithi, Sam Sargent, Suzie Edrington, Tevin Lionel, Chad Ballentine

Welcome / Introductions / Call to Order

6:15 PM

Official Access Committee Begins: Welcome / Introductions / Call to Order

Chair Chris Prentice

Public Communications

Audrea Diaz: I was having difficulty using the Night Owl service. I wanted to know if everything is up and running?

Chris Prentice: We've had service interruptions due to the shortage of drivers and have had to make a service change in September. That may have also impacted your service.

Richard Loera: I've had issues with MetroAccess and the Pick-up service. They don't pick me sometimes or they'll drop me off in non-designated areas. I've made numerous complaints in the past, but nothing ever seems to change.

Chad Ballentine: I am not currently aware of these kinds of complaints, but we will reach back out with you to address these concerns

Chris Prentice: Are these recent complaints?

Richard Loera: Yes.

Chris Prentice: Chad Ballentine will take down your information and follow up with you on that

Chad Ballentine: Yes, I will. This level of service is unacceptable, and we will investigate the problem and rectify it with you.

Glenda Born: Richard, do you know how to use the automated system to call when a ride is late and find out what's going on?

Richard Loera: Yes.

Joint Powers Agreement

Sam Sargent - *Austin Transit Partnership Program Strategy Director*

Project Connect Update:

Timeline of Project Connect:

- 2018 – 2020 – Launch of Community Engagement and planning for Project Connect.
- June 2020 – System Plan & Locally Preferred LPAs adopted and supported.
- July & Aug 2020 – Initial Investment and finance & governance model approved; election ordered.
- November 2020 – Project Connect approved by voters
- December 2020 – ATP Articles of Incorporation filed; organization created.
- 2021 – It's Go Time! First ATP Board Meeting / Agreements between parties & more

What is Austin Transit Partnership?

- An independent local government corporation, parented by CapMetro and City of Austin, with the sole purpose of holding onto the money for Project Connect and issue contracts to complete Project Connect.

What is each Partner responsible for?

- Austin Transit Partnership
 - Orange Line, Blue Line, Downtown Tunnel, Green Line (Phase 1), Facilities.
- CapMetro
 - MetroRapid, MetroExpress, Neighborhood Circulators (Pickup) Customer Tech, Red Line (Phase 1)
- City of Austin
 - Transit Supportive Anti-Displacement Investments, Utilities Relocations, Permitting, Right of Way, etc.

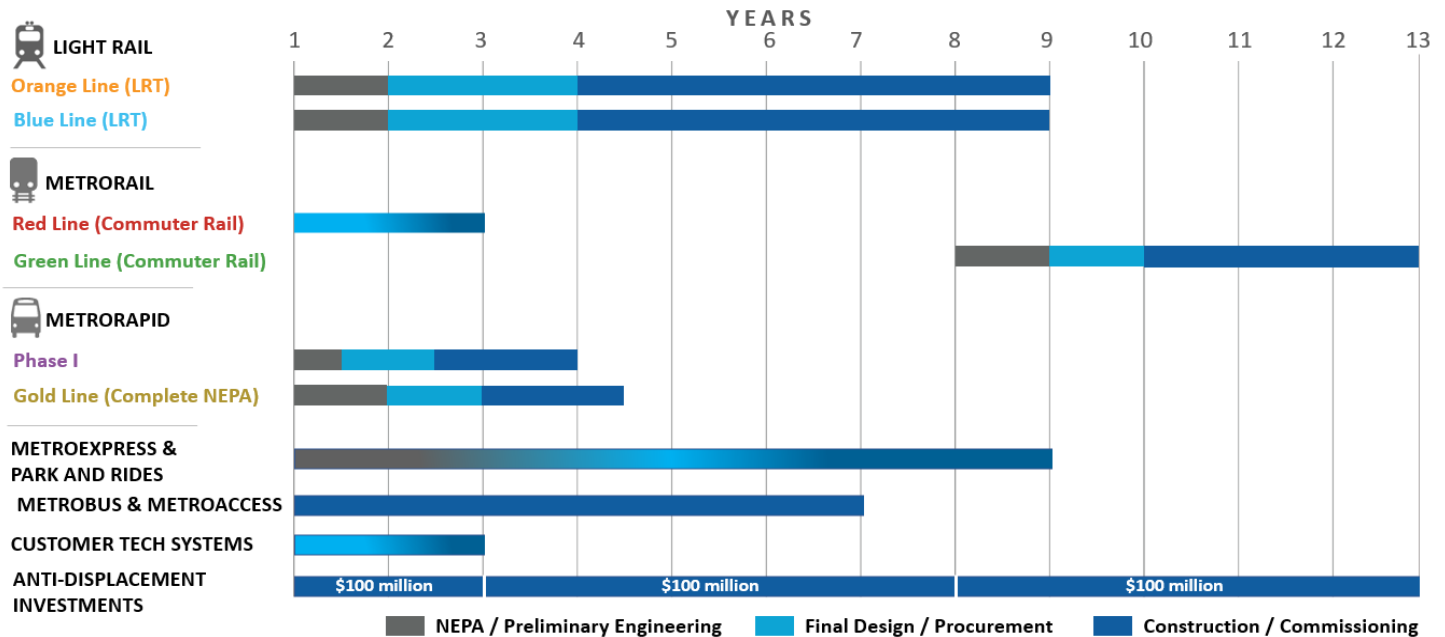
Joint Powers Agreement

Sam Sargent - Austin Transit Partnership Program Strategy Director

Project Connect Update: CONTINUED

Sam Sargent:

- A way to conceptualize what the partners are responsible for, is that ATP is responsible for everything that's brand new. CapMetro continues to focus on investments on what CapMetro already does well today. And the City of Austin critical role here is to help with the administration of \$300 Million of the total program for Anti-Displacement Investments, Permitting and re-configuring the streets for Right of Way for the new assets on the streets.



Timeline of Events:

Light Rail

Orange Line

- 1-2 Years: Preliminary Engineering
- 2-4 Years: Final Design / Procurement
- 4-9 Years: Construction / Commissioning

Blue Line

- 1-2 Years: Preliminary Engineering
- 2-4 Years: Final Design / Procurement
- 4-9 Years: Construction / Commissioning

MetroRail

MetroRapid

Red Line (Commuter Rail)

- Phase 1 1-3 Years: Final Design / Construction & Commissioning
- 1 - 1 1/2 Years: Preliminary Engineering
- 1 1/2 - 2 1/2 Years: Final Design
- 2 1/2 - 4 Years Construction / Commissioning

Green Line (Commuter Rail)

- Gold Line (Complete NEPA)
- 8-9 Years: Preliminary Engineering
- 9-10 Years: Final Design
- 1-2 Years: Preliminary Engineering
- 10-13 Years: Construction / Commissioning
- 2-3 Years: Final Design
- 3 - 4 1/2 Years Construction / Commissioning

MetroExpress & Park and Ride - Ongoing Engineering, Procurement and Construction over the next 13 years.

MetroBus & MetroAccess - Construction / Commissioning over the next 7 years.

Customer Tech Systems - Procurement and Commissioning over the next 3 years

Anti-Displacement Investments - Distributed over the next 13 years.

Joint Powers Agreement Timeline

- Nov 3rd, 2020 - Voter Approval of Project Connect / Initial Investment
- Spring - Fall 2021 - JPA Drafting by ATP, City of Austin, Capital Metro Staff
- Oct 4th, 2021 - ATP, Cap Metro, City Council Work Session to Discuss JPA and Other Program Updates

- **Oct 5th, 2021** - Virtual Public Meeting with Invited CAC, TACs, and community
- **Oct 29th, 2021** - ATP, Capital Metro, City Council Meeting to Approve JPA
- **Nov 2021 – 2022** - Approve Other Actions for Project Connect Implementation as Needed

Joint Powers Agreement Actions to Date:

Date	Purpose	Parties
August 2020	Interlocal agreement committing to the creation of the ATP local government corporation.	Capital Metro & City of Austin
December 2020	Joint resolutions creating the ATP, approving and adopting the corporations Articles of Incorporation and Bylaws, and appointing the initial Board (Articles of Incorporation were subsequently filed with the Attorney General’s Office and Bylaws adopted by the ATP Board).	Capital Metro & City of Austin
December 2020	Amendment to the August 2020 Interlocal agreement related to the Project Connect Community Advisory Committee.	Capital Metro & City of Austin
January 2021	Interlocal agreement for Capital Metro to provide certain administrative and corporate support functions to ATP, and for Capital Metro to implement certain projects that are part of the Project Connect program.	Capital Metro & ATP
March 2021	Interlocal agreement to transfer funding from ATP to the City of Austin for the City of Austin’s support in the implementation of the Project Connect transit program.	ATP & City of Austin
March 2021	Interlocal agreement to transfer funding from ATP to the City of Austin for transit-supportive anti-displacement programs, as required by the Contract with Voters.	ATP & City of Austin
July 2021	Interlocal agreement establishing procedures to transfer Proposition A revenue from the City to ATP to implement Project Connect, as required by the Contract with Voters	City of Austin & ATP

Documents with JPA Direction

As a commitment to the community and the partners, certain documents required elements or terms to be included in a Joint Powers Agreement between the City of Austin, Capital Metro and Austin Transit Partnership:

- City of Austin Contract with Voters (Aug. 2020)
- Capital Metro Community Commitment Resolution (Aug. 2020)
- Interlocal Agreement between the City of Austin and Capital Metro regarding ATP (Aug. 2020) and Creation of ATP Resolutions (Dec. 2020)

JPA Requirements

City of Austin Contract with Voters	Transfer tax revenue for FY 20-21 from City to ATP and establish a procedure to transfer tax revenue on an annual basis that provides a proportional amount.	Interlocal agreement between the City of Austin and ATP (July 2021).
Capital Metro Community Commitment Resolution	CapMetro to to dedicate the balance of the Capital Expansion Fund and certain revenue as long-term program contribution.	Interlocal agreement between Capital Metro and ATP; and CapMetro’s FY22 Budget Approval, anticipated on September 27, 2021.
	CapMetro to transfer funds received from grant agreements with US DOT to ATP.	CapMetro submitted and was approved to enter into project development for MetroRapid Expo and Pleasant Valley lines, and Orange and Blue Line grant. CapMetro and ATP to develop and execute grant-specific ILAs upon FTA grant approval.
	CapMetro to continue design, construction and implementation and ongoing operation and maintenance of Project Connect in future fiscal years.	CapMetro’s FY 21 and FY 22 budget includes various design and construction contracts to support the program. CapMetro participates in ATP design work to ensure operational readiness. Future ILAs for operations and maintenance will be necessary.

JPA Requirements: CONTINUED

Contract with Voters & Community Commitment Resolution	<p>"A requirement that Austin Transit Partnership participate in the Better Builder Program® or a similar program with worker protections for all construction workers, including City of Austin hiring goals as allowed by federal law and regulations, completion of OSHA 10-hour training, workers' compensation, on-site monitoring independent of construction companies and their affiliates, and in compliance with all applicable state, federal, and local laws."</p>	<p>ATP Board direction is anticipated at 10/20 Board Meeting directing these conditions in ATP construction contracts.</p> <p>CapMetro contracts have livable wage, workers compensation, OSHA training and requirement for on-site monitoring independent of construction companies.</p>
	<p>"A requirement that all contracts awarded by Austin Transit Partnership ensure a living wage as established by the City of Austin or prevailing wage under the Davis-Bacon Act for all workers under the contract, ensure access to healthcare and paid sick leave to the extent possible, and that local workers be afforded a hiring preference where allowed by federal law and regulation."</p>	<p>ATP Board direction is anticipated at 10/20 Board Meeting directing these conditions in construction contracts.</p> <p>CapMetro MetroRapid contract contains livable wage requirement.</p>
	<p>"A requirement that Austin Transit Partnership take steps to address potential impacts to businesses during construction through development and implementation of a business impact mitigation strategy that includes approaches for establishing robust business outreach and communications, supporting business access and operations, and creating effective project scheduling and sequencing that minimizes the length of construction impacts."</p>	<p>Anticipated Board action on 10/20, directing staff to engage the community and businesses and develop a light rail construction mitigation program, to be approved by the ATP Board.</p>
	<p>"A requirement that Austin Transit Partnership develop a comprehensive program that meets the federal Disadvantaged Business Enterprise laws and regulations to ensure that maximum opportunities are available to women, minority, and veteran-owned businesses and small businesses to participate in Project Connect and related projects implemented by Austin Transit Partnership."</p>	<p>The ATP Board adopted a DBE goal during the September 2021 ATP Board meeting.</p> <p>CapMetro Board approved a resolution funding an availability and disparity study to assist CapMetro and ATP on DBE goal development for future procurement.</p> <p>DBE goals may be updated and brought back to ATP Board for approval, based on the study.</p>

JPA Requirements Crosswalk

August 2020 CapMetro / City Interlocal Agreement	<p>ATP to present a management report at an annual joint meeting.</p>	<p>The first annual meeting will be held on October 29, 2021. The ATP Executive Director will work with the partners to schedule and deliver future annual meetings. The ATP Board is in the process of hiring an independent auditor that will report directly to the ATP Board.</p>
	<p>Further delineate roles and responsibilities of Community Advisory Committee.</p>	<p>The Project Connect CAC has formed, held meetings and adopted bylaws, based on City Council and Capital Metro Board direction via Amendment 1 to the ILA related to the CAC.</p>
	<p>The JPA shall include roles and responsibilities included but not limited to the following:</p> <ol style="list-style-type: none"> 1. Establishment of corporate functions, responsibility and costs; 2. Financial policies; 3. Funding allocations and procedures for use of funds for transit-supportive anti-displacement strategies related to the implementation of Project Connect; 4. Term and conditions of appointment of the Capital Metro President & CEO as a succeeding Executive Director of the Joint Local Government Corporation (LGC); 	<ol style="list-style-type: none"> 5. The 7 interlocal agreements executed to date established corporate functions, responsibility and the partners' investment in the Project Connect program. The JPA will reference or restate these agreements as necessary. 6. As independent organizations, ATP, CapMetro and the City shall follow Board- or Council-approved financial policies related to procurements, expenditures, budgeting, etc. of Project Connect components under their responsibility. The JPA will include language relating to the annual review of the integrated financial model for opportunities to potentially accelerate or delay elements of the program. 7. Interlocal agreement between the City of Austin and ATP (March 2021). 8. The CapMetro Board approved extension of new contract w/ CapMetro CEO, which included the job duties and responsibilities of the ATP Executive Director, in December 2020. The CapMetro Board and ATP Board shall define terms & conditions under which the ATP Board will appoint succeeding Executive Directors and evaluate performance.
<p>The JPA shall include roles and responsibilities included but not limited to the following:</p> <ol style="list-style-type: none"> 5. Utility and right of way agreements; 6. Design review and permitting standards; 7. Development of a Disadvantaged Business Enterprise program consistent with federal laws and regulations; 8. Development of worker safety and wage requirements; and 9. A community engagement process. 	<ol style="list-style-type: none"> 5. Staff are developing a Utilities Rules of Practice (UROP); direction to use the UROP is included in the JPA. Additional partnership agreements related to right of way and real estate may be needed as the program progresses. 6. Concurrent action on Oct. 29 will include direction to staff regarding design review and permitting 7. DBE is covered above. 8. Worker safety and wage requirements are covered above. 9. The JPA includes language with principles and commitments related to community engagement for the program. 	

October 29th Action Item Summary

Components of our Partnership:

- ATP Board Action:
 - Resolution supporting COA staff direction & Predictability Ordinance
- Capital Metro Board Action:
 - Resolution supporting COA staff direction & Predictability Ordinance
- City of Austin Action:
 - Resolution directing staff regarding permitting and regulations
 - Predictability Ordinance
- Tri-Party Action:
 - Joint Powers Agreement

Looking Ahead

- October 5th – 28th 2021
 - Meetings with Technical Advisory Committees, Project Connect Community Advisory Committee, stakeholders, etc., regarding the partnership agreements.
- October 5th 2021
 - Virtual Public Meeting for the community to learn more about the partnership agreements.
 - Video of meeting will be posted on www.ProjectConnect.com
- October 6th
 - ATP Engineering, Architecture, Construction (EAC) Technical Advisory Committee (TAC) **and** Capital Metro Access Advisory Committee
- October 7th
 - Community Advisory Committee (CAC) **and** ATP Planning, Sustainability, Equity (PSEC) TAC
- October 13th
 - Capital Metro Customer Satisfaction Advisory Committee
- October 29th
 - Project Connect Ambassador Network (PCAN) meeting
 - Tri-party meeting of the City Council, Capital Metro Board and Austin Transit Partnership Board
 - Presentation of the first annual management report
 - Action on the partnership agreement (JPA) and concurrent items

Questions and Comments

- Feedback@CapMetro.org

Paul Hunt: Is there anything in the agreement mentioning that people need to be able to legally be able to work here.

Sam Sargent: Though not mentioned specifically, it is legally required that people who work on the project, must be legal residents and authorized to work in the U.S. In accordance with local regulations.

Orange Line Design Overview

Sam Sargent - *Austin Transit Partnership Program Strategy Director*

- The Orange line is the longest line in the system.
- Runs from Slaughter to Tech Ridge
- Currently we are at 15% design.

Orange & Blue Line Key Milestones

- April 2021 – National Environmental Policy Act (NEPA) Notice of Intent
- Summer 2021 – Complete 15% design / Enter FTA Project Development
- Spring 2022 – Draft Environmental Impact Statement (DEIS), Draft 30% Design and Cost Estimates
- Spring – Summer 2022 - Initial FTA Rating / Complete 30% Design and Cost Estimate
- Summer 2022 – End of EIS and 30% Design Comment Phase
- Winter 2022 - Final EIS (FEIS) / FTA NEPA Record of Decision (ROD)

Orange Line Overview:

- 21 miles of alignment with ~2-3 miles of tunnel
- Stations are Fully Accessible; Equity in terms of mobility
- Accessible Design: compliance with ADA regulations, standards and best practices
- Clear, designated accessible routes in Station Areas

- Grade separated platforms served with elevators
- Low Floor Boarding (400 ft of ADA compliant platforms)
- Intermodal connections at Transit Centers
- Community-centered Designs
- Conveniently located neighborhood stations near employment and attractions

Sam Sargent: One of the main goals of this investment is to create a high-quality mobility experience for all, that has always been one of our main goals. How do we create an equitable, sustainable accessible city that creates opportunities for everybody?

Reimagining the Right of Way – Complete Streets



Sam Sargent: Here is an image of cross-section of an imagined street. We’re trying to make the corridors where light rail will exist as accessible as possible. Tree canopies for pedestrian shade, non-obtrusive tramways, bike paths and sidewalks and roadways for cars. We want to re-create the corridors we’re working through, so they work better for the greatest number of people.

Orange Line Extensions – North

- Initial Investment Begins / Ends at North Lamar Transit Center.
- Future Extension would continue to Tech Ridge
- Until the future extension is complete, the Orange Line Extensions will be served by enhanced MetroRapid.
- Current federal review process (NEPA) includes the Orange Line Extensions to expedite design and implementation once funding is secured.

Sam Sargent: The extensions that are not part of the initial Light Rail investment, we plan on adding MetroRapid so that there is 5 – 10 minute service connecting the North Lamar Transit Center to Tech Ridge so we have the best connectivity between these hubs. This would increase transit reliability for people north of the river.

The Drag – Options*

- LRT / Pedestrians and bikes only
- LRT / Bus / Pedestrians and bikes
- LRT / Bus / Pedestrians and bikes / General Purpose Traffic (one lane in each direction)
- Hybrid – different modes in different sections of the Drag

*All options to be considered with community and local stakeholders through the Drag Working Group.

North Portal Design Options

Sam Sargent: We have a couple design options for the North Portal Design.

- Option A:
 - The Orange and Blue line would run from the middle of the street and then down into the tunnel south of MLK. The disadvantage is that there would be a conflict at MLK.
- Option B:
 - The tunnel would sub-surface at Doby Mall around 20th – 21st street, north of MLK.
- Option C:
 - Similar to the position of the tunnel entrance of Option B, though the next station would be in different streets, underground.

Sam Sargent: All the Tramways in Downtown, would be underground.

South Congress Options A & B

Sam Sargent: We also have some design options for the tunnel south of Congress. Either a long tunnel (Design A) or a short tunnel (Design B). There are operational advantages for staying underground, like lower disruptions to business on the street, but could inflate construction length.

Orange Line Extensions – South

- Initial Investment Begins / Ends at Stassney.
- Future Extension would continue to Slaughter Lane.
- Until the future extension is complete, the Orange Line Extensions will be served by enhanced MetroRapid.
- Current federal review process (NEPA) includes the Orange Line Extensions to expedite design and implementation once funding is secured.

Blue Line Design Overview

Alvin Livingstone - *Austin Transit Partnership Senior Director for Design and Construction*

- Currently we are at 15% design.
- 2024 – 2028 Construction
- 2028 – 2029 Opening
- Trams should not be placed on too steep of an incline - Maximum of 06% incline
- Smooth turns are a necessity
- Trams get signal priority
- Goes over how intersections would work
- Stations must be straight and not curved
- Designs include traffic management
- Cars are not impeded from performing U-Turns and other cross street turns.
- Airport Section elevated to span over highways

AUS Station

- Elevated Transitway
- Connection to future terminal expansion

US 183 Bridge

- Elevated over Hwy. 183
- Center running street level along Riverside Drive.

Metro Center Station (Option 2)

- Evaluating Park and Ride opportunities
- Center running street level

Montopolis Station

- Center street running
- Center platform station
- Developments in progress

Faro Station

- Center street running
- Center platform station
- Station raised above roadway

Riverside Station

- Evaluating intersection reconfiguration
- Connection to MetroRapid; evaluating transit hub and placemaking potential
- Potential for transit oriented development
 - Riverside Options Currently Being Designed w/ Community Input
 - Option 1: Blue Line Underpass
 - Landscaped bridge and Pleasant Valley Rd. above transitway
 - MetroRapid stops located north of E Riverside Dr. intersection
 - Through-traffic remains across Pleasant Valley
 - Option 2: At Grade Transit Plaza
 - Blue Line at-grade

- Blue Line / MetroRapid transit plaza on E Riverside Dr.
- Pleasant Valley through traffic diverted via elongated roundabout loop

Lakeshore Station

- Center Running, side platform
- Planned development
 - Looking into if we can make this a center platform station. The station itself would take up less space, but would require widening around it, creating a bulb out.

Travis Heights Station

- Center street running
- Station raised above roadway
- Center platform
- Roadway re-alignment
- Connections to Butler hike and Bike Trail and boulevard being evaluated

Waterfront Station

- Center street running along East Riverside Drive
- Potential property impacts
- Connections to Butler Hike and Bike Trail and Boardwalk being evaluated
- Side platform
- Station to be coordinated with planned development
- Rail/Bike/Ped signature bridge
- Portal transition into subway and Rainey/MACC Station
- Evaluating neighborhood and trail connections as well as pedestrian access to Rainey/MACC station

Rainey / MACC Station

- Portal to subway
- Pedestrian concourses stations underground

Congress Avenue Station

- Pedestrian concourses connecting stations underground
- Connection to future Gold Line
- Connection to Orange Line

Alvin Livingstone: Most of the stations are double loaded, this allows easier accessibility for both sides of the street and allows people to cross the street easier.

Alvin Livingstone: We are working closely with the City of Austin and coordinating with new developments so we don't run into places where we would need to re-design a street twice. Increasing efficiency with the project and integration with the new developments.

Martin Kareithi: We've had dedicated accessibility meetings with our partners at Adapt, and there will continue to be design workshops throughout the following weeks. A strong goal of ours is to make sure people can access the stations and amenities with ease and confidence.

Paul Hunt: I am absolutely amazed by the project. This is the first time I've gotten a good view of what's going to happen.

Meeting Systems Check-in

Edna Parra; Community Engagement & Outreach Manager

Approval of the minutes

Next Full Board Meeting November 3rd, 2021



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-232

Agenda Date: 10/25/2021

Approval of minutes from the September 27th, 2021 Capital Metro board meeting.



Minutes
Capital Metropolitan
Transportation Authority
Board of Directors

2910 East 5th Street
Austin, TX 78702

Monday, September 27, 2021

12:00 PM

2910 East 5th Street, Austin, TX 78704

I. Call to Order

12:05 p.m. Meeting Called to Order

Present:	Cooper, Travillion, Renteria, Kitchen, Pool, Mitchell, and Ross
Absent:	Stratton

II. Public Comment:

Isaiah Smith, Lauren Scoville, Adawna DeVine, and Cisco Gomes provided public comments.

III. Advisory Committee Updates:

1. Customer Service Advisory Committee (CSAC)
2. Access Advisory Committee

IV. Board Committee Updates:

1. Operations, Planning and Safety Committee
2. Finance, Audit and Administration Committee
3. CAMPO update
4. Austin Transit Partnership Update

Board Member Stratton was not present, so no Austin Transit Partnership report was given.

V. Consent Items

A motion was made by Board Member Pool, seconded by Board Member Mitchell, to approve the Consent Agenda. The motion carried by the following vote:

Aye: Cooper, Travillion, Renteria, Kitchen, Pool, Mitchell, and Ross

1. Approval of minutes from the August 30, 2021 Capital Metro board meeting.

2. Approval of a resolution authorizing the President & CEO, or his designee, to amend the Transit Speed and Reliability Interlocal Agreement with the City of Austin for the design, management, construction, and maintenance of transportation infrastructure projects that will improve transit speed, safety, reliability, and customer comfort ("ILA") by extending the term of the ILA and increasing funding for the ILA in an amount not to exceed \$6 million.
3. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a one-year Interlocal Agreement (ILA) with Travis County for transit services in urbanized areas in unincorporated areas of the county and for continued implementation of the Travis County Transit Development Plan in an amount not to exceed \$237,111 in FTA Section 5307 Funds and \$911,854 in local funds from Travis County per year.
4. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute an Amendment No. 1 to the Interlocal Agreement with the city of Pflugerville for operation of Pickup Pilot service to extend the term of the Pickup Pilot through March 22, 2022 and update the cost allocation for the Pickup Service Pilot.
5. Approval of a resolution authorizing the President & CEO, or his designee, to amend the Interlocal Agreement with the City of Round Rock for operation of transit service and to increase the fees for service by \$388,201 for a total reimbursement not to exceed \$5,246,443.
6. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute an interlocal agreement with Austin Community College for a bus stop at ACC's Cypress Creek Campus on Capital Metro's Route 214 (or its successor route) through September 30, 2026.
7. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute Amendment No. 4 to CARTS Supplement No. 8 to the Master Regional Mobility Agreement with Capital Area Rural Transportation Services (CARTS) for the provision of transit services to the Manor area in an amount not to exceed \$1,206,657.
8. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute Amendment 2 to Supplement No.10 to the Master Regional Mobility Agreement with Capital Area Rural Transportation System (CARTS) for the provision of transit services to Travis County for a period of up to one year in an amount not to exceed \$342,638.
9. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute an Interlocal Agreement with the City of Georgetown for operation of Limited Paratransit Service for an amount not to exceed \$162,684 in FTA funds and \$244,026 in local funds from the City of Georgetown.
10. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute an addendum to the interlocal agreement with Capital Area Rural Transportation System (CARTS) for the provision of Limited Paratransit Service to the City of Georgetown for a period of one year in an amount not to exceed \$387,342.

11. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute Amendment 3 to the Contracted Service Supplement No. 2 with Capital Area Rural Transportation System (CARTS) for the operation of Route 214 Northwest Feeder for a period of one (1) year in an amount not to exceed \$698,000.
12. Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute Amendment No. 3 to CARTS Supplement No. 4 to the Master Regional Mobility Agreement with Capital Area Rural Transportation Services (CARTS) for the provision of transit services to the Manor area in an amount not to exceed \$210,000.

VI. Action Items:

1. Approval of the Fiscal Year 2022 Operating and Capital Budget and Five-Year Capital Improvement Plan

A motion was made by Board Member Pool, seconded by Board Member Kitchen, that this Resolution be adopted. The motion carried by the following vote:

Aye: Cooper, Travillion, Renteria, Kitchen, Pool, Mitchell, and Ross

2. Approval of a resolution authorizing the President & CEO or his designee, to finalize and execute contracts with New Flyer of America Inc. and Proterra Inc., to purchase up to 197 battery electric transit buses, vehicle chargers, and related equipment over a five-year period in a total amount not to exceed \$ 254,984,090.

A motion was made by Vice Chair Travillion, seconded by Board Member Kitchen, that this Resolution be adopted. The motion carried by the following vote:

Aye: Cooper, Travillion, Renteria, Kitchen, Pool, Mitchell, and Ross

3. Approval of a resolution authorizing the President/CEO, or his designee, to finalize and execute a task order contract with Pinnacle Consulting Management Group, Inc. and Stateside Right of Way Services for FTA Consulting and Relocation Assistance Services in the aggregate amount not to exceed \$5,450,000 for the base period of three (3) years and three (3) one-year options.

A motion was made by Board Member Mitchell, seconded by Board Member Pool, that this Resolution be adopted . The motion carried by the following vote:

Aye: Cooper, Travillion, Renteria, Kitchen, Pool, Mitchell, and Ross

VII. Discussion Items:

1. Operations Update
2. Capital Metro 2021 Perception Survey
3. Update on Project Connect.
4. Public Transportation Agency Safety Plan (PTASP) Update

VIII. Reports:

1. President & CEO Update

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

Section 551.071 for Legal Issues related to contract provisions.

Into Executive Session: 2:54 p.m.

Out of Executive Session: 3:36 p.m.

X. Items for Future Discussion:

XI. Adjournment

3:36 p.m. Meeting Adjourned

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.

BOARD OF DIRECTORS: Wade Cooper, Chair; Jeffrey Travillion, Vice Chair; Eric Stratton, Secretary; Terry Mitchell; Becki Ross; Ann Kitchen, Leslie Pool 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.



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-231

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution appointing Diana Wheeler to the Customer Satisfaction Advisory Committee.

FISCAL IMPACT:

This action has no fiscal impact.

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- | | | |
|---|---|--|
| <input type="checkbox"/> 1.1 Safety & Risk | <input type="checkbox"/> 1.2 Continuous improvement | <input type="checkbox"/> 1.3 Dynamic Change |
| <input type="checkbox"/> 1.4 Culture of Innovation | <input type="checkbox"/> 2.1 Be an Employer of Choice | <input checked="" type="checkbox"/> 2.2 Organization Development |
| <input type="checkbox"/> 2.3 Organization Culture | <input type="checkbox"/> 3.1 Resource optimization | <input type="checkbox"/> 3.2 Safety Culture |
| <input type="checkbox"/> 3.3 Environmental Leadership | <input type="checkbox"/> 4.1 Educate & Call to Action | <input checked="" type="checkbox"/> 4.2 Build Partnerships |
| <input type="checkbox"/> 4.3 Value of Transit | <input type="checkbox"/> 4.4 Project Connect | |

EXPLANATION OF STRATEGIC ALIGNMENT: The Customer Satisfaction Advisory Committee (CSAC) provides valuable insight and recommendations to the Board of Directors to assist in making riding Capital Metro services safe, reliable, and accessible.

BUSINESS CASE: Does not apply.

COMMITTEE RECOMMENDATION: This item will be presented to the full board on October 25, 2021.

EXECUTIVE SUMMARY: Pursuant to Section 451.107, Texas Transportation Code, and the Capital Metro Board of Directors Bylaws, the Board of Directors established the Customer Satisfaction Advisory Committee as part of a comprehensive community involvement strategy to provide input to the Board of Directors on decisions that affect the Authority.

Based on a recommendation from the Capital Metro President/CEO each member of the Board of Directors appoints one member of the committee, with the exception of the Chair who appoints two members. At this time, Board Member Pool recommends Diana Wheeler as her appointee to fill the vacant position on CSAC.

DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Community Engagement

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-231

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro are committed to successful and meaningful public involvement; and

WHEREAS, the Capital Metropolitan Transportation Authority board of directors and Capital Metro seek informed consent from the public by providing equitable access to decision making and offering opportunities to provide input from a representative set of the population that reflects the interests of the community when transportation decisions are made; and

WHEREAS, there exists a need to fill a vacant position on the Customer Satisfaction Advisory Committee (CSAC).

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that Diana Wheeler is named to CSAC to serve a term concurrent with the term of Board Member Leslie Pool.

**Secretary of the Board
Eric Stratton**

Date: _____



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-213

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract with Convergent Technologies for the purchase and installation of cameras and supporting equipment at 31 Rail Signal Houses not to exceed \$422,290.

FISCAL IMPACT:

Funding for this action is available in the FY2022 Capital Budget

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk 1.2 Continuous improvement 1.3 Dynamic Change
 1.4 Culture of Innovation 2.1 Be an Employer of Choice 2.2 Organization Development
 2.3 Organization Culture 3.1 Resource optimization 3.2 Safety Culture
 3.3 Environmental Leadership 4.1 Educate & Call to Action 4.2 Build Partnerships
 4.3 Value of Transit 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: This project will enhance the safety and security of the Rail Signal Houses and will focus resources on promoting a culture of safety and risk reduction in alignment with the Capital Metro Strategic plan. The safety and security enhancements for Rail Signal Houses demonstrate to our customers and employees that Capital Metro is taking the necessary steps to mitigate risk and continually improve safety and security. Cameras add business value by providing real-time and recorded information that will allow the agency to make critical decisions that would impact Capital Metro business operations. This information helps Capital Metro's Operation Control Center to make better decisions that will impact our service efficiency and customer experience by consistently providing a safe experience. The project also aligns with Sustainability by optimizing resources and adhering to a State of Good Repair consistent with the agency's Safety Management Plan.

BUSINESS CASE: By adding cameras at 31 Rail Signal House locations that will monitor 48 structures (signal houses and supporting structures), this project will add business value by providing real-time information from the Rail Signal Houses. This real-time video information will allow the agency to make critical decisions that impact Capital Metro business operations. This project aligns with the Capital Metro's strategic objectives by implementing innovative video system technology and enhancements which increase customer safety and Capital Metro efficiency.

COMMITTEE RECOMMENDATION: This item was presented and recommended for approval by the Operations, Planning and Safety Committee on October 13, 2021.

EXECUTIVE SUMMARY: Capital Metro and our service providers employ close to 2,500 people who serve thousands of customers every day. The safety and security of both our customers and employees is a priority for Capital Metro. It is our responsibility to mitigate any security vulnerabilities to our employees, customers, and property as much as practical. The scope of this project is to purchase and install 64 video cameras at the Rail Signal House locations that will provide real time and recorded information.

DBE/SBE PARTICIPATION: No SBE goal is assigned to this procurement due to security reasons and limited subcontracting opportunities.

PROCUREMENT: The contract will utilize the Sourcwell Cooperative Contract No. 300421-CTL held by Convergent Technologies for video surveillance systems.

Sourcwell-awarded contracts are made available for use by Capital Metro via Title 7, Intergovernmental Relations Chapter 791, Interlocal Cooperation Contracts and the Texas Interlocal Cooperation Act.

Purchases made using Sourcwell Cooperative contracts satisfy otherwise applicable competitive bidding requirements. Pricing to provide and install video surveillance cameras for Capital Metro's Rail Signal Houses was determined to be fair and reasonable by the Sourcwell organization during its solicitation and award process.

The following is Convergent Technologies, Inc. lump sum pricing, per their Sourcwell contract:

Description	Convergent Technologies
Lump Sum Amount to Provide Video Surveillance Systems (Cameras) for 31 Rail Signal House locations that will monitor 48 structures (signal houses and supporting structures).	\$422,290.00

The contract is a fixed price contract

RESPONSIBLE DEPARTMENT: Public Safety and Emergency Management

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-213

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

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to install cameras and supporting equipment at 31 Rail Signal Houses.

NOW, THEREFORE, BE IT RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors authorizes the President & CEO, or his designee, to finalize and execute a contract with Convergent Technologies for purchasing and installing cameras at the 31 Rail Signal House locations in an amount not to exceed \$422,290.

Date: _____

**Secretary of the Board
Eric Stratton**



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-214

Agenda Date: 10/25/2021

SUBJECT:

Approval by the Board of Directors of Capital Metro's investment policy and revision of the investment committee composition.

FISCAL IMPACT:

Refer to executive summary for clarification.

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk 1.2 Continuous improvement 1.3 Dynamic Change
 1.4 Culture of Innovation 2.1 Be an Employer of Choice 2.2 Organization Development
 2.3 Organization Culture 3.1 Resource optimization 3.2 Safety Culture
 3.3 Environmental Leadership 4.1 Educate & Call to Action 4.2 Build Partnerships
 4.3 Value of Transit 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: Annual review and approval of this policy is required to comply with the Texas Public Funds Investment Act.

BUSINESS CASE: Capital Metro is required to invest funds in accordance with the Public Funds Investment Act. The governing body of an investing entity is required to review its investment policy and investment strategies no less than annually. The governing body shall adopt a written instrument by rule, order, ordinance, or resolution stating that it has reviewed the investment policy and investment strategies and that the written instrument so adopted shall record any changes made to either the investment policy or investment strategies.

COMMITTEE RECOMMENDATION: This item was presented and recommended for approval by the Finance, Audit and Administration Committee on October 13, 2021.

EXECUTIVE SUMMARY: The proposed policy was reviewed by PFM Asset Management LLC, under contract as Capital Metro's investment advisory firm. Attached is a copy of Capital Metro's investment policy, which complies with the Act.

The Investment Committee composition is being revised in that Reinet Marneweck and Susan Renshaw have been removed as Investment Officers as they are no longer employed with Capital Metro. Catherine Walker has been added as an Investment Officer.

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**

AI-2021-214

WHEREAS, Capital Metro is required to invest funds in accordance with the Texas Public Funds Investment Act; and

WHEREAS, the Texas Public Funds Investment Act requires an annual review of the investment policy and investment strategies and such review has been performed.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the attached Investment Policy, which includes Capital Metro's investment strategies, has been reviewed and it is recommended that we continue with the existing Investment Policy.

NOW, THEREFORE, BE IT FURTHER RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that Donna Simmons and Ilyse Niland will continue to serve on the Investment Committee and Catherine Walker will serve as an Investment Officer.

Date: _____

**Secretary of the Board
Eric Stratton**



Investment Policy

Approved:

Capital Metropolitan Transportation Authority
Board of Directors
October 26, 2020

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APPENDICES

- A. INVESTMENT LEGISLATION
- B. MASTER REPURCHASE AGREEMENT (repurchase agreements not currently utilized, see note in Section IV.B, Ensuring Safety of Principal).
- C. BROKER/DEALER CERTIFICATION

PREFACE

It is the policy of the Capital Metropolitan Transportation Authority (Capital Metro) that all available funds shall be invested in conformance with these legal and administrative guidelines.

Effective cash management is recognized as essential to good fiscal management. An aggressive cash management and investment policy will be pursued to take advantage of investment interest as viable and material revenue to all operating and capital funds. Capital Metro's portfolio shall be designed and managed in a manner responsive to the public trust and consistent with state and federal law.

Investments shall be made with the primary objectives of:

- Preservation of capital and protection of principal
- Maintenance of sufficient liquidity to meet operating needs
- Security of Capital Metro funds and investments
- Diversification of investments to avoid unreasonable or unavoidable risks
- Maximization of return on the portfolio

SECTION I

PURPOSE

I. Purpose

A. Authorization

This Policy is to be authorized by the Capital Metropolitan Transportation Authority's Board of Directors in accordance with Section 5 of the Public Funds Investment Act (Chapter 2256, Texas Government Code) which requires the adoption of a formal written Investment Policy.

B. Scope

This Policy shall govern the investment of all funds of Capital Metro as entrusted to the Board of Directors and other authorized representatives in accordance with Sections 451.101 and 451.104 of the Texas Transportation Code. In addition to this Policy, bond funds, including debt service and reserve funds, shall be managed by their governing resolution and federal law, including the Tax Reform Act of 1986 and subsequent legislation.

C. Review and Amendment

This Policy shall be reviewed annually. Amendments must be authorized by the Capital Metropolitan Transportation Authority's Board of Directors.

SECTION II

INVESTMENT OBJECTIVES

II. INVESTMENT OBJECTIVES

A. Safety of Principal

Capital Metro has as its foremost objective to ensure the safety of principal, considering the portfolio as a whole. The manner in which Capital Metro ensures safety of principal is presented in Section N.B., "Ensuring Safety of Principal".

B. Maintenance of Adequate Liquidity

Capital Metro's investment portfolio must be structured in a manner which will provide the liquidity necessary to pay obligations as they become due. Maintenance of adequate liquidity is described in Section N.C., "Ensuring Liquidity".

C. Return on Investments

Consistent with State law, Capital Metro shall seek to optimize return on investments within the constraints of safety and liquidity. Investments (excluding assets managed under separate investment programs, such as in arbitrage restrictive programs) shall be made in permitted obligations at yields equal to or greater than the bond equivalent yield on United States Treasury obligations of comparable maturity. Other appropriate performance measures will be established by the Investment Committee. Specific policies regarding investment rate of return are presented in Section N.D., "Achieving Investment Return Objectives". For bond issues to which Federal yield or arbitrage restrictions apply, the primary objectives shall be to obtain satisfactory market yields and to minimize the costs associated with investment of such funds.

D. Prudence and Ethical Standards

The standard of prudence used by Capital Metro shall be the "prudent person rule" and shall be applied in the context of managing the overall portfolio within the applicable legal constraints. The prudent person rule is restated below:

"Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence would exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived."

In determining whether the Investment Officer(s) or Investment Advisor under contract has exercised prudence with respect to an investment decision, the determination shall be made taking into consideration the investment of all funds over which the Officer/Advisor had responsibility rather than a consideration as to the prudence of a single investment, and whether the investment decision was consistent with the written Investment Policy of Capital Metro.

Specific policies describing Capital Metro's prudence and ethical standards are found in Section IV.E., "Responsibility and Controls".

SECTION III
INVESTMENT STRATEGY STATEMENT

III. INVESTMENT STRATEGY STATEMENT

Capital Metro maintains portfolios of operating and operating reserve funds. Investment strategies for operating and operating reserve funds have as their primary objective to assure that anticipated cash flows are matched with adequate investment liquidity. The secondary objective is to create a portfolio structure which will experience minimal volatility during economic cycles. This may be accomplished by purchasing quality, short- to medium-term securities that will complement each other in a laddered or barbell maturity structure. The dollar weighted average maturity of 548 days or less will be calculated using the stated final maturity dates of each security. Securities may not be purchased that have a final stated maturity date which exceeds five years.

SECTION IV

INVESTMENT POLICIES

IV. INVESTMENT POLICIES

A. Eligible Investments

Investments described below are those authorized by the Public Funds Investment Act (Chapter 2256, Texas Government Code), as amended, which is included and made a part of this Policy as Appendix A. The following list may not contain all of those securities that are authorized by state statutes, but only those that the Board of Directors wish to include in the Capital Metro's portfolios. The purchase of specific issues may at times be further restricted or prohibited because of current market conditions. Capital Metro funds governed by this Policy may be invested in:

1. Obligations of the United States or its agencies and instrumentalities.
2. Direct Obligations of the State of Texas.
3. Other obligations, the principal and interest on which are unconditionally guaranteed or insured by the State of Texas or the United States or its agencies and instrumentalities.
4. Obligations of states, agencies, counties, cities and other political subdivisions of any state having been rated as to investment quality by a nationally recognized investment rating firm and having received a rating of not less than A or its equivalent.
5. Bankers' Acceptances with a stated maturity of 270 days or less from the date of its issuance that will be, in accordance with its terms, liquidated in full at maturity; is eligible for collateral for borrowing from a Federal Reserve Bank; and is accepted by a bank organized and existing under the laws of the United States or any state, if the short-term obligations of the bank, or of a bank holding company of which the bank is the largest subsidiary, are rated not less than A-1 or P-1 or an equivalent rating by at least one nationally recognized credit rating agency.
6. Commercial paper with a stated maturity of 365 days or less from the date of its issuance that either:
 - a. Is rated not less than A-1, P-1, or the equivalent by at least two nationally recognized credit rating agencies; or,

- b. Is rated at least A-1, P-1, or the equivalent by at least one nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States or any state thereof.
7. Fully collateralized repurchase agreements having a defined termination date, placed through a primary government securities dealer, as defined by the Federal Reserve, or a bank domiciled in Texas, and secured by obligations described by 1 above (the principal and interest on which are guaranteed by the United States or any of its agencies), pledged with a third party selected or approved by Capital Metro and having a market value (including accrued interest) of no less than the principal amount of the funds disbursed.
 8. Other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, this State or the United States or their respective agencies and instrumentalities, including obligations that are fully guaranteed or insured by the Federal Deposit Insurance Corporation or by the explicit full faith and credit of the United States.
 9. SEC-regulated, no load money market mutual funds with a dollar-weighted average stated portfolio maturity of 60 days or less and whose investment objectives include seeking to maintain a stable net asset value of \$1 per share. No more than 50% of Capital Metro's average fund balance may be invested in money market mutual funds, and may not invest funds under its control in an amount that exceeds 10% of the total assets of any individual money market mutual fund. Money market mutual funds are to be rated AAAM or equivalent by on Nationally Recognized Statistical Rating Organization ("NRSRO).
 10. Local government investment pools organized in accordance with the Interlocal Cooperation Act (Chapter 791, Texas Government Act) as amended, whose assets consist exclusively of the obligations that are allowed as a direct investment for funds subject to the Public Funds Investment Act (Chapter 2256, Texas Government Code). A public funds investment pool must be continuously rated no lower than AAA, AAA-m or at an equivalent rating by at least one nationally recognized rating service.

Compensating balances may be held at Capital Metro's depository institution provided that market conditions or other factors, such as the depository institution's earnings credit rate or cost of services, provides an economic benefit to Capital Metro that helps to optimize return while maintaining adequate liquidity.

Investments in collateralized mortgage obligations are strictly prohibited. These securities are also disallowed for collateral positions. Capital Metro will not be required to liquidate investments that were authorized investments at the time of purchase.

Settlement of all investment transactions, except those transactions involving investments in mutual funds or local government investment pools, must be made on a delivery versus payment basis.

B. Ensuring Safety of Principal

Ensuring safety is accomplished through protection of principal and safekeeping.

1. Protection of Principal

Capital Metro shall seek to control the risk of loss due to the failure of a security issuer or guarantor. Such risk shall be controlled by investing only in the safest types of securities as defined in the Policy, by qualifying the broker/dealer and financial institution with whom Capital Metro will transact, by collateralization as required by law, by portfolio diversification and by limiting maturity.

Capital Metro will seek to control the risk of loss due to failure of issuers of commercial paper by monitoring the ratings of portfolio positions to ensure compliance with the rating requirements imposed by the Public Funds Investment Act. Should an issuer experience a single step downgrade of its credit rating by a nationally recognized credit rating agency within 90 days of the position's maturity, the Investment Officer(s) may approve holding the paper to maturity. If the subject paper matures beyond the 90-day period or if the credit rating downgrade exceeds a single step, it will be Capital Metro's policy to convene an emergency meeting of the Investment Committee to determine whether liquidation of the position is warranted. This meeting should take place within 24 hours of notification or discovery of the credit downgrade.

The purchase of individual securities shall be executed "delivery versus payment" (DVP) through the Federal Reserve System. By so doing, Capital Metro funds are not released until Capital Metro has received, through the Federal Reserve wire, the securities purchased.

a. Approved Broker/Dealers/Financial Institutions

Investments shall only be made with those firms and institutions who have acknowledged receipt and understanding of Capital Metro's Investment Policy. The "qualified representative" of the business as defined in Chapter 2256 of the Texas Government Code shall execute a written certification to acknowledge receipt of Capital Metro's Investment Policy and to acknowledge that the organization has implemented reasonable procedures and controls to preclude imprudent investment activities arising out of the investment transactions conducted between the entity and Capital Metro. Should Capital Metro contract with an external investment advisor to execute the Authority's investment strategy, including the negotiation and execution of investment transactions, a managing officer of the investment advisory firm may sign the written certification in lieu of the broker/dealer firms. This certification must be included as part of the investment advisory contract.

Securities, certificates of deposit and share certificates shall only be purchased from those institutions included on Capital Metro's list of broker/dealers, banks, savings banks and credit unions as approved by the Investment Committee. This list of approved investment providers must be reviewed at least annually by Capital Metro's Investment Committee.

b. Master Repurchase Agreement

It is the policy of Capital Metro to require each issuer of repurchase agreements to sign a copy of the Capital Metro Master Repurchase Agreement. An executed copy of this agreement must be on file before Capital Metro will enter into any repurchase agreement with an issuer. (See Appendix B "Master Repurchase Agreement.")

Note: Capital Metro does not currently enter into repurchase agreements. The Master Repurchase Agreement previously attached to the Investment Policy expired in 2009. If Capital Metro's investment officers and advisor recommend the use of repurchase agreements in

the future, a new Master Purchase Agreement will be drafted and brought to the Board of Directors for consideration.

c. Collateralization

Consistent with the requirements of State law, Capital Metro requires all banks, savings banks and credit union deposits to be federally insured or collateralized with eligible securities. Financial institutions serving as Capital Metro Depositories will be required to sign an Agreement with Capital Metro and its safekeeping agent for the collateral, perfecting Capital Metro's rights to the collateral in case of default, bankruptcy or closure. Capital Metro shall not accept, as depository collateral, any security that is not specifically allowed to be held as a direct investment by the Capital Metro portfolio (see W.A.). Repurchase agreements must also be collateralized in accordance with State law. Each issuer of repurchase agreements is required to sign a copy of Capital Metro's Master Repurchase Agreement. An executed copy of this agreement must be on file before Capital Metro will enter into any repurchase agreements with an issuer. (See Appendix B, "Master Repurchase Agreement".)

(1) Allowable Collateral

(a) Certificates of Deposit/Share Certificates

Eligible securities for collateralization of deposits are defined by the "Public Funds Collateral Act" (Chapter 2257, Texas Government Code) which is included and made a part of the Policy as Appendix A. The eligibility of specific issues may at times be restricted or prohibited because of current market conditions.

(b) Repurchase Agreements

Collateral underlying repurchase agreements is limited to U.S. government and agency obligations, which are eligible for wire transfer (i.e. book entry) to Capital Metro's designated safekeeping agent through the Federal Reserve System.

(2) Collateral Levels

Collateral is valued at current market plus interest accrued through the date of valuation.

(a) Certificates of Deposit/Share Certificates

The market value of collateral pledged for certificates of deposit/share certificates must at all times be equal to or greater than the par value of the certificate of deposit plus accrued interest, less the amount insured by the FDIC, FSLIC or the National Credit Union Share Insurance Fund or their successors.

(b) Repurchase Agreements

The market value of collateral required to be pledged for repurchase agreements shall be a percentage of the par value of the agreement plus accrued interest and shall be maintained at the following levels:

<u>Collateral Maturity</u>	<u>U.S. Treasury Securities</u>	<u>U.S. Government Agency</u>
1 year or less	101%	101%
1 year to 5 years	102%	102%
Over 5 years	103%	104%

(3) Monitoring Collateral Adequacy

(a) Certificates of Deposit/Share Certificates

Capital Metro requires monthly reports with market values of pledged securities from all financial institutions with which Capital Metro has certificates of deposit/share certificates. Capital Metro's Investment Advisor will at least weekly monitor the adequacy of collateral.

(b) Repurchase Agreements

Weekly monitoring by Capital Metro's Investment Advisor of all collateral underlying repurchase agreements is required. More frequent monitoring may be necessary during periods of market volatility.

(4) Margin Calls

(a) Certificates of Deposit/Share Certificates

If the collateral pledged for a certificate of deposit or share certificate falls below the par value of the deposit, plus accrued interest less FDIC, FSLIC or National Credit Union Share Insurance, the institution will be notified by Capital Metro or its Investment Advisor and will be required to pledge additional securities no later than the end of the next succeeding business day.

(b) Repurchase Agreements

If the value of the collateral underlying a repurchase agreement falls below the margin maintenance levels specified above, Capital Metro or its Investment Advisor will make a margin call unless the repurchase agreement is scheduled to mature within five business days and the amount is deemed to be immaterial.

(5) Collateral Substitution

Collateral investments, certificates of deposit and share certificates often require substitution of collateral. Any broker or financial institution requesting substitution must contact the Investment Officer(s) or the external Investment Advisor under contract for approval and settlement. The substituted collateral's value will be calculated and substitution approved if its value is equal to or greater than the required value (See IV.B1.c(2)(b)). The Investment Officer(s) or Investment Advisor must give immediate notification of the decision to the bank or the safekeeping agent holding the collateral. Substitution is allowable for all transactions, but should be limited, if possible, to minimize potential administrative problems and transfer expense. The Investment Officer(s) or Investment Advisor may limit substitution and assess appropriate fees if substitution becomes excessive or abusive.

(6) Collateral Reductions

Should the collateral's market value exceed the required amount, any broker or financial institution may request approval from the Investment Officer(s) or the external Investment Advisor under contract to reduce collateral. Collateral reductions may be permitted only if Capital Metro's records indicate that the collateral's market value exceeds the required amount.

d. Portfolio Diversification

Risk of principal loss in the portfolio as a whole shall be minimized by diversifying investment types according to the following limitations. As discussed below, these limitations do not apply to bond proceeds.

Investment Type:	% of Portfolio
• Repurchase Agreements	50%
• Certificate of Deposit	20%
• Share Certificates	5%
• U.S. Treasury Notes/Bond/Bills	100%
• U.S. Agencies	60%
• Money Market Mutual Funds	50%
• Local Government Investment Pools	100%
• Commercial Paper	30%
• Banker's Acceptance	15%

It is the policy of Capital Metro to diversify its investment portfolio so that reliance on any one issuer or broker will not place an undue financial burden on Capital Metro. Generally, Capital Metro should limit its repurchase agreement exposure with a single firm to no more than 15% of the value of Capital Metro's overall portfolio and its commercial paper and bankers' acceptance exposure with a single issuer to no more than 5% of the value of Capital Metro's overall portfolio. To allow efficient and effective placement of proceeds from any bond sales, these limits may be exceeded for a maximum of five business days following the receipt of bond proceeds.

(1) Bond Proceeds

Proceeds of a single bond issue may be invested in a single security or investment if the Investment Committee determines that such an investment is necessary to comply with Federal arbitrage restrictions or to facilitate arbitrage record keeping and calculation.

e. Limiting Maturity

In order to minimize risk of loss due to interest rate fluctuations, investment maturities will not exceed the anticipated cash flow requirements of the funds. Maturity guidelines by funds are as follows:

(1) General Funds

The dollar weighted average days to final stated maturity shall be 548 days or less. The Investment Advisor will monitor the maturity level and make changes as appropriate.

(2) Bond Proceeds, Bond Reserves, Debt Service Funds

The investment maturity of bond proceeds (including reserves and debt service funds) shall be determined considering:

- (a) the anticipated cash flow requirements of the funds, and;
- (b) the "temporary period" as defined by Federal tax law during which time bond proceeds may be invested at an unrestricted yield. After the expiration of the temporary period, bond proceeds subject to yield restriction shall be invested considering the anticipated cash flow requirements of the funds.

2. Safekeeping

a. Safekeeping Agreement

Capital Metro shall contract with a bank or banks for the safekeeping of securities either owned by Capital Metro as a part of its investment portfolio or held as collateral to secure certificates of deposits, share certificates or repurchase agreements.

b. Safekeeping of Certificate of Deposit/Share Certificate Collateral

All collateral securing bank, savings banks and credit union deposits must be held by a third party banking institution approved by Capital Metro, or collateral may be held at the Federal Reserve Bank.

c. Safekeeping of Repurchase Agreement Collateral

The securities which serve as collateral for repurchase agreements with dealers must be delivered to a third-party custodian with which Capital Metro has established a third-party safekeeping agreement.

C. Ensuring Liquidity

Liquidity shall be achieved by investing in securities with active secondary markets and by investing in eligible money market mutual funds (MNIMF's) and local government investment pools (LGIP' s).

A security may be liquidated to meet unanticipated cash requirements, to re-deploy cash into other investments expected to outperform current holdings, or to otherwise adjust the portfolio.

D. Achieving Investment Return Objectives

Investment selection for all funds shall be based on legality, appropriateness, liquidity, and risk/return considerations. The portfolios shall be actively managed to enhance overall interest income. Active management will take place within the context of the 'Prudent Person Rule.' (See Section MD.).

1. Securities Swaps

Capital Metro will take advantage of security swap opportunities to improve portfolio yield. A swap which improves portfolio yield may be selected even if the transaction results in an accounting loss.

2. Competitive Bidding

It is the policy of Capital Metro to require competitive bidding for all individual security purchases except for those transactions with money market mutual funds (MMMF's) and local government investment pools (LGIP's) which are deemed to be made at prevailing market rates, and for government securities purchased at issue through a primary dealer at auction price. Rather than relying solely on yield, investment in MMMF's and LGIP's shall be based on criteria determined by the Investment Committee, including adherence to Securities and Exchange Commission (SEC) guidelines for MMMF's when appropriate.

At least three bidders must be contacted in all transactions involving individual securities. Competitive bidding for security swaps is also required. Bids may be solicited in any manner provided by law. For those situations where it may be impractical or unreasonable to receive three bids for a transaction due to a rapidly changing market environment or to secondary market availability, documentation of a competitive market survey of comparable securities or an explanation of the specific circumstance must be included with the daily bid sheet. All bids received must be documented and filed for auditing purposes.

3. Methods of Monitoring Market Price

The methods/sources to be used to monitor the price of investments that have been acquired with public funds shall be from sources deemed reliable by the Investment Advisor, including primary or regional broker/dealers, market information vendors such as Bloomberg or Telerate and market pricing services.

E. Responsibility and Controls

1. Authority to Invest

The authority to invest Capital Metro funds and the execution of any documentation necessary to evidence the investment of Capital Metro funds is

granted to the Investment Advisory firm under current contract and those Capital Metro personnel authorized as Investment Officers. The Capital Metropolitan Transportation Authority's Board of Directors will designate in writing those Capital Metro personnel ("Investment Officers") authorized to invest on behalf of Capital Metro.

2. Establishment of Internal Controls

The Chief Financial Officer will establish a system of internal controls over the investment activities of Capital Metro and document such control in the Investment Procedures Manual.

3. Prudent Investment Management

The designated Investment Officers shall perform their duties in accordance with the adopted Investment Policy and procedures set forth in the Investment Procedures Manual. Investment Officers acting in good faith and in accordance with these Policies and Procedures shall be relieved of personal liability.

4. Standard of Ethics

The designated Investment Officers shall adhere to Capital Metro's ethics policies.

5. Training and Education

In accordance with the Public Funds Investment Act (Chapter 2256, Texas Government Code), the designated Investment Officers, or those personnel authorized to execute investment transactions, shall attend at least one investment training session annually. State law requires that training relating to investment responsibilities must be provided by an independent source as approved by the Investment Committee. Personnel authorized to execute or approve investment transactions must receive at least 10 hours of investment training within each two-year period.

6. Investment Committee

An Investment Committee shall be established to determine investment guidelines, general strategies, and monitor performance. Members of the Investment Committee will include the Investment officers and a

representative of the external investment advisory firm. The Committee may also include one additional member, as designated by the Capital Metropolitan Transportation Authority's Board of Directors. The Committee shall meet quarterly to review performance, strategy and procedures.

F. Reporting

Investment performance is continually monitored and evaluated by the Investment Advisor. The Investment Advisor will provide detailed reports, as required by the Public Funds Investment Act (Chapter 2256, Texas Government Code), Section 2256.023, for the General Manager, the Chief Financial Officer, the Board of Directors and the Investment Committee on a quarterly basis.

The report will outline conformance to the restrictions of the Policy in the area of diversification and term of maturity. The report will also compare the performance of Capital Metro's portfolio to appropriate benchmarks as determined by the Investment Committee. The report will include an economic summary discussing interest rate trends, investment strategy and any other information deemed appropriate by the Chief Financial Officer or the Investment Committee.

G. Compliance Audit

In conjunction with its annual financial audit, Capital Metro shall perform a compliance audit of management controls on investments and adherence to Capital Metro's established Investment Policies. The results of the audit shall be reported to the Investment Committee and the Capital Metropolitan Transportation Authority's Board of Directors.

H. Certification

A copy of this Investment Policy will be provided to the senior management of any bank, dealer, broker or investment advisor wishing to transact investment business directly with Capital Metro in order that it is apprised of the investment goals of Capital Metro. Before business is transacted with the firm, a certification (Appendix C) must be signed by a senior member of a firm. Should Capital Metro contract with an external investment advisor to execute the Authority's investment strategy, including the negotiation and execution of investment transactions, a managing officer of the investment advisory firm may sign the written certification in lieu of the broker/dealer firms. This certification must be included as part of the investment advisory contract.



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-222

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution adopting the FY2022 Internal Audit Services Plan.

FISCAL IMPACT:

This action has no fiscal impact.

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk 1.2 Continuous improvement 1.3 Dynamic Change
 1.4 Culture of Innovation 2.1 Be an Employer of Choice 2.2 Organization Development
 2.3 Organization Culture 3.1 Resource optimization 3.2 Safety Culture
 3.3 Environmental Leadership 4.1 Educate & Call to Action 4.2 Build Partnerships
 4.3 Value of Transit 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: This plan will ensure good stewardship and internal controls for the agency, and supports the Capital Metro Strategic Plan.

BUSINESS CASE: Does not apply.

COMMITTEE RECOMMENDATION:

This agenda item was presented and recommended for approval at the Finance, Audit and Administration Committee meeting on October 13, 2021.

EXECUTIVE SUMMARY: The Institute of Internal Auditor's International Standards for the Professional Practice of Internal Auditing require risk-based audit plans be developed to determine the priorities of an internal audit activity, consistent with the organization's goals. The proposed FY2022 Internal Audit Plan (the Plan) summarizes the proposed

audits and projects that were identified during a comprehensive risk assessment performed by Capital Metro Internal Audit. The Plan presents audit activities in two categories: Assurance Services, and Advisory & Consulting Services. The Capital Metro Internal Audit Charter requires that the Chief Audit Executive “present for approval to the Finance & Audit Committee a risk-based Audit Plan which documents the priorities of the internal audit function and is consistent with the Authority’s strategic goals and objectives.” After FAA consideration, the plan is taken to the full Board for its review and approval.

DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Internal Audit Department

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-222

WHEREAS, the FY2022 Internal Audit Plan considers the potential risks and opportunities of the Authority; and the FY2022 Internal Audit Plan was prepared in accordance with professional internal auditing standards; and

WHEREAS, the FY2022 Internal Audit Plan provides a mix of audit projects to mitigate risks, develop recommendations for improvement and/or cost savings, and monitor the progress toward implementing past recommendations.

NOW, THEREFORE, BE IT RESOLVED by the Capital Metropolitan Transportation Authority Board of Directors that the FY2022 Internal Audit Plan is adopted and sets a program to provide relevant and useful information to the Board of Directors.

Date: _____

**Secretary of the Board
Eric Stratton**



To: Terry Mitchell, Chair, Finance, Audit & Administrative (FAA) Committee
Wade Cooper, Member, FAA Committee
Becki Ross, Member, FAA Committee
Leslie Pool, Member, FAA Committee

CC: Randy Clarke, President/CEO

From: Terry Follmer, CPA, MBA, CIA, CISA, CISSP
VP, Internal Audit

Date: October 13, 2021

Subject: **Proposed FY2022 Internal Audit Plan**

Purpose

This proposed Capital Metro Internal Audit Plan (Audit Plan) summarizes the planning methodology and the audit projects that Internal Audit recommends performing during FY2022.

FY2022 Audit Plan & Updates

The Institute of Internal Auditor’s (IIA) *International Standards for the Professional Practice of Internal Auditing* require that risk-based plans be developed to determine the priorities of the internal audit activity, consistent with the organization's goals.

The proposed FY22 Internal Audit Plan (Table 1) was developed by performing a comprehensive risk assessment. This included a risk assessment survey sent to management and Board members, management interviews, and discussions with Board members. Additionally, we collaborated and reviewed the audit plans of VIA in San Antonio, METRO in Houston, and DART in Dallas. The Internal Audit Department also reviewed prior external consulting and audit reports (e.g. FTA Triennial, Quadrennial Performance Audit, etc.), operating and capital budgets, organization charts, and the Strategic Plan to help ensure other potential risk and opportunity areas were identified and proposed projects are aligned to address the strategic risks of the Authority.

Based upon the results of the risk assessment, the FY22 Plan has a stronger focus on the periodically required regulatory audits (e.g. Quadrennial, FTA Triennial, QAR) and new system implementations (e.g. Oracle ERP; Infor Asset Management System). Additional areas of focus are IT security, safety, and financial controls. The proposed plan includes three IT projects

which includes the Annual Cybersecurity Review (i.e. IT Penetration and Vulnerability Assessment), NIST Cybersecurity Framework facilitated self-assessment, and a possible review of Microsoft Sharepoint Security. Other projects to highlight from the FY22 Plan include the support of the FTA Triennial Review, the Quality Assessment Review of the Internal Audit Department that is required every three years, and the audit of the P-Card transactions. Internal Audit believes these focus areas together with the other projects in the proposed Audit Plan will appropriately address the risks identified.

The FY22 audit plan also includes a list of contingent projects (Table 2) that will serve as backup projects that will be performed if the original plan is running ahead of schedule or if some of the projects must be delayed or cancelled. Furthermore, the Audit Plan is meant to be a risk based flexible audit plan so as emerging risks arise or priorities change, the Internal Audit Department will bring these future project changes to management and the FAA Committee for approval.

Internal Audit Project Staffing

Staffing for the FY22 Audit Plan will use a combination of internal and external resources to perform the projects. Historically the Internal Audit Department has completed approximately nine audit projects per year. The FY22 plan includes fourteen assurance/advisory projects, and Internal Audit believes these additional projects can be completed through better planning, scoping and coordination with management. The department is currently fully staffed with three full time auditors, and we continue to mature the UT Audit Intern program which started in 2018. This Fall semester we will have three graduate Accounting students from UT's #1 ranked Masters of Professional Accounting program who will be assisting on the Business Continuity (COOP Plan) advisory as part of their required Audit class. This is our seventh semester participating in this highly successful program, and we plan on continuing the UT Audit Intern program with a fresh class in the Spring. Each student in the intern program is providing up to 60 hours of project time for the semester as part of their Audit class at UT. Additionally, the Annual Cybersecurity Review (i.e. IT Penetration and Vulnerability Assessment), is performed by an external consulting firm and it is funded by the IT Department. We believe this mix of internal and external resources is sufficient to perform the projects listed in the FY2022 Audit Plan (see Table 1).

Professional Requirements & Auditor Independence

The Internal Audit Department conducts our audits in conformance with Generally Accepted Government Auditing Standards promulgated by the Comptroller General of the United States and the IIA's International Standards for the Professional Practice of Internal Auditing and Code of Ethics. These standards require that we be independent from any entity or person that we audit or may audit and be objective when conducting such audits. Furthermore, IIA Standard 1110 requires that the CAE confirm to the board, at least annually, the organizational independence of the internal audit activity. Capital Metro Internal Audit is organizationally

independent of management and, as such, remains objective when conducting audits, and our staff have no conflicts of interest with the proposed FY22 Audit Plan.

TABLE 1 – FY2022 Audit Assurance & Advisory Projects

	Audit Project	Risk Area	Audit Type	Audit Objective & Scope	Estimated Hours
1	Semiannual Implementation Status Updates - November 2020	Compliance	Assurance	Monitor and report on implementation status of previously agreed-upon corrective action plans (CAPs). Status updates are performed twice each year (Spring and Fall.)	200
2	Semiannual Implementation Status Updates - May 2021	Compliance	Assurance	Monitor and report on implementation status of previously agreed-upon corrective action plans (CAPs). Status updates are performed twice each year (Spring and Fall.)	200
3	FY2021 Risk Assessment & FY2022 Audit Plan Development	Governance	Continuous Improvement & QC	Develop the annual risk based internal audit services plan to identify audit and non-audit projects and effectively allocate resources. Update and align the plan with changing organizational risks/opportunities.	300
4	FTA Triennial Review	Strategic & Regulatory	Assurance	FTA Mandated	325
5	QAR (Quality Assurance Review) of Internal Audit practices	Quality Control & Assurance	Continuous Improvement & QC	Complete FY2021 external Quality Assurance Review: GAGAS requires an external peer review at least once every 3 years. The external review normally due by October 31, 2020, has been postponed by GAO/ALGA due to COVID-19.	300

6	Saltillo Development Project & Lease Revenues	Operations	Assurance	Review Saltillo contracts and test compliance including revenue sharing agreements.	160
7	Transit Store with Ticket Focus	Financial	Assurance	The physical and accounting controls over both hardcopy and e-tickets.	160
8	NIST Cybersecurity Framework (Facilitated Self Assessment)	IT Assurance	Assurance	Check for compliance with best practices listed in the NIST Cybersecurity Framework	160
9	Business Continuity (COOP) Plan	Strategic	Advisory / Consulting	To reievew COOP plan against best practices and other transit agencies and help management develop a Dependency Map.	120
10	ERP (Oracle) Implementation Advisory	Financial	Advisory / Consulting	Compliance with contractual requirements as well as implementation methodology.	400
11	GRC & Contract Performance Management System Advisory	Operations	Advisory / Consulting	Serve as an advisor in the selection process of a tool that can meet the following two separate IT Capital Projects: Governance Risk & Compliance (GRC); and Contract Performance Mgt System recommended in the Quadrennial Audit Report.	450
12	P-Cards & IT Procurement	Financial	Assurance	Compliance with policies and identify currently unknown IT risks if IT was not consulted and did not perform a security review.	250
13	Public Transportation Agency Safety Plan (PTASP)	Operations	Advisory / Consulting	Compliance with regulatory requirements as well as best practices.	300

14	Annual Cybersecurity Review	IT Assurance	Assurance	Annual Cybersecurity Assessment with outsourced IT Penetration & Vulnerability Assessment	240
15	Benchmarking Policies & Procedures (Structure, Content, Governance & Training)	Strategic, Operations, IT Assurance	Advisory / Consulting	Benchmark CapMetro Policies/Procedures against other transit agencies and best practices in regards to structure, content, governance and training.	250
16	Support to Transit Industry & Professional Organization	Strategic	Continuous Improvement & QC	Internal special projects including support of local and industry professional associations (ISACA, IIA, APTA, ALGA, Toastmaster, etc.), responding to professional exposure drafts, internal training and other internal quality improvement opportunities as needed. UT Audit Intern Program (Fall & Spring).	240
17	Management Requests, Consulting & Special Projects 1) Advisor on various Committees; 2) Investigations; 3) Emerging Risks & Special Projects as requested, etc..	Multiple	Advisory / Consulting	Internal auditing best practices include allocating an undesignated contingency for management requests and other unanticipated special projects.	600
				TOTAL ESTIMATED HOURS	4,655
	Project started in FY2021				
	UT Intern projects Fall 2021				

TABLE 2 – FY22 Contingency Audit Projects (To Be Used as Backups)

	Audit Project	Risk Area	Audit Type	Audit Objective & Scope	Estimated Hours
1	Infor System - post go live review	Strategic, Operations, IT Assurance	Assurance	Review internal controls and functionality of the new Infor enterprise asset management system.	250
2	Salary Adjustment & Merit Process	Strategic, Operations, Financial	Assurance & Advisory	Review the process and controls applied to implement the recommendations from Gallagher consulting.	200
3	Facilities Maintenance - Contract Monitoring & Compliance	Quality Control & Assurance	Assurance	Quality control and contract compliance with Facility Maintenance service providers.	300
4	Paratransit & Demand Response Operations	Operations	Assurance	Review billings and support for compliance with contract terms and conditions.	240
5	United Healthcare & Other Self-Insured Benefits (TPA Payments)	Financial & Human Capital	Assurance	Assessing the Effectiveness and Efficiency of Management Processes to Prevent and Detect insurance overpayments/fraud. Review self-insured TPA (Third Party Administrator) payments.	240

6	Bytemark - Account-Based System	Strategic, Operations, IT Assurance	Assurance	Bytemark system being updated to include customer account based info which increases privacy risks.	240
7	Microsoft Sharepoint & Active Directory	IT Assurance	Assurance	The confidentiality, integrity and availability of the Microsoft Active Directory and Sharepoint.	200
8	Safety Management System (SMS) - Management of Change	Operations	Advisory / Consulting	Compliance with FTA requirements related to safety and "management of change".	400
9	Board Policies/Goals - Monitoring & Reporting (e.g., OTP; Fare Recovery; DBE; Title 6 Equity Analysis; etc.)	Governance	Assurance	Review Board policies/goals to ensure that they are periodically reviewed and updated, and that related performance metrics are tracked and reported.	200
				TOTAL ESTIMATED HOURS	2,270



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-223

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute contracts with Bickerstaff Heath Delgado Acosta LLP; Clark Hill PLC; Enoch Kever PLLC; Greenberg Traurig LLP; Hawkins Delafield & Wood LLP; Husch Blackwell LLP; Jackson Lewis P.C.; K&L Gates LLP; Kaplan Kirsch & Rockwell LLP; Kowert, Hood, Munyon, Rankin & Goetzel, P.C.; Orrick, Herrington & Sutcliffe, LLP; Ross Molina Oliveros, PC; Thompson Coburn LLP; and Winstead PC for outside legal counsel services in the aggregate amount not to exceed \$3,600,000 for a three (3) year base term with three (3) one-year renewal options.

FISCAL IMPACT:

Funding for this action is available in the FY2022 Operating Budget

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- | | | |
|---|--|---|
| <input checked="" type="checkbox"/> 1.1 Safety & Risk | <input checked="" type="checkbox"/> 1.2 Continuous improvement | <input type="checkbox"/> 1.3 Dynamic Change |
| <input type="checkbox"/> 1.4 Culture of Innovation | <input checked="" type="checkbox"/> 2.1 Be an Employer of Choice | <input type="checkbox"/> 2.2 Organization Development |
| <input type="checkbox"/> 2.3 Organization Culture | <input checked="" type="checkbox"/> 3.1 Resource optimization | <input type="checkbox"/> 3.2 Safety Culture |
| <input type="checkbox"/> 3.3 Environmental Leadership | <input type="checkbox"/> 4.1 Educate & Call to Action | <input type="checkbox"/> 4.2 Build Partnerships |
| <input type="checkbox"/> 4.3 Value of Transit | <input type="checkbox"/> 4.4 Project Connect | |

EXPLANATION OF STRATEGIC ALIGNMENT: The provision of quality outside legal counsel services mitigates financial and legal risks to the Authority to support the improved financial health of the agency and provide the best service to the community.

BUSINESS CASE: Outside legal counsel services are required to supplement the available resources of in-house legal counsel to meet agency legal needs in a timely manner, especially in specialized areas of law requiring certain subject matter expertise.

COMMITTEE RECOMMENDATION: This item will be presented to the Finance, Audit and Administration Committee on October 13, 2021.

EXECUTIVE SUMMARY: Capital Metro employs in-house legal counsel to address the need for daily legal advice, counsel and representation of the Authority. In addition to these daily needs, Capital Metro routinely requires the services and expertise of outside legal counsel to supplement the resources of in-house legal staff or to provide services in highly specialized areas of the law.

It is difficult to predict what type of legal services will be required in advance of an immediate need, making the procurement of individual legal services challenging. However, in order to ensure adequate competition and fair and reasonable price assessments for contracts for Outside Legal Counsel Services, Capital Metro solicits and enters into contracts with a variety of law firms in advance of a need for services in order to ensure their availability as they are required.

Law firms proposed their services based on legal practice areas identified by Capital Metro as potential needs as well as on their ability to provide legal services in any area of expertise required. Based on the proposals received, the following recommendations are made:

CONTRACTOR	AREAS OF PRACTICE
Bickerstaff Heath Delgado Acosta LLP	Ethics, Texas Public Information Act, Texas Open Meetings Act and Governance; Real Estate; Eminent Domain/Condemnation; Litigation
Clark Hill PLC	Employment/Labor Law; Ethics, Texas Public Information Act, Texas Open Meetings Act and Governance; Public Transportation Law (Federal and State); Pension and Tax Law; Real Estate
Enoch Keever PLLC	Ethics, Texas Public Information Act, Texas Open Meetings Act and Governance; Intellectual Property and Information Technology
Greenberg Traurig LLP	General Counsel Services; Litigation; Employment/Labor Law
Hawkins Delafield & Wood LLP	Finance for Transit Agencies
Husch Blackwell LLP	Real Estate; Eminent Domain/Condemnation; Public Transportation Law (Federal and State); Finance for Transit Agencies; Litigation
Jackson Lewis P.C	Employment/Labor Law; Public Transportation Law (Federal and State)
K&L Gates LLP	General Counsel Services; Finance for Transit Agencies
Kaplan Kirsch & Rockwell LLP	Real Estate; Public Transportation Law (Federal and State); Finance for Transit Agencies
Kowert, Hood, Munyon, Rankin & Goetzl, P.C.	Intellectual Property and Information Technology
Orrick, Herrington & Sutcliffe, LLP	Finance for Transit Agencies
Ross Molina Oliveros, PC	Real Estate; Eminent Domain/Condemnation

Thompson Coburn LLP	Employment/Labor Law; Public Transportation Law (Federal and State); Pension and Tax Law; Intellectual Property and Information Technology
Winstead PC	Eminent Domain/Condemnation; Intellectual Property and Information Technology

The contracts will be awarded with a total not-to-exceed amount for all contracts of \$3,600,000 for a base period of three (3) years with three (3) one-year options based on historical needs for outside legal counsel services. These will be Task Order contracts and work will be requested and performed as legal needs arise. There is no guarantee that a firm will receive work under these contracts if services in their practice area is not required and no minimum work is guaranteed. In addition, Capital Metro may obtain required legal services during the term of these contracts outside the scope of services or expertise of one of these firms.

DBE/SBE PARTICIPATION: No SBE goal is assigned to this procurement due to limited subcontracting opportunity. However, we will work with the selected vendors for commitment towards small business participation.

PROCUREMENT: On April 26, 2021, a Request for Proposals was issued and formally advertised. By the closing date of May 26, 2021, fourteen (14) proposals were received. The evaluation team used the following factors in the evaluation of proposals:

- (1) The offeror's demonstrated, relevant work experience, past performance, and capabilities of the firm as a whole in the relevant practice areas.
- (2) The qualifications, experience, and past performance of personnel to be assigned to provide legal services in the disciplines offered.
- (3) The offeror's plan for matter management, budget adherence and assignment of law firm personnel and resources for efficiency and responsive, cost-effective, reliable service.
- (4) The offeror's capacity to adequately and timely respond to the legal needs of Capital Metro.
- (5) The offeror's demonstrated, relevant work experience and past performance of the law firm as a whole in the representation of governmental entities.
- (6) The offeror's demonstrated understanding of the needs and legal issues of a public transportation authority.

The evaluation team met on June 14, 2021, to discuss the matrix results of evaluations of all proposals, and the consensus resulted in agreement to recommend all fourteen (14) firms to the Capital Metro Board of Directors:

1. Bickerstaff Heath Delgado Acosta LLP
2. Clark Hill PLC
3. Enoch Kever PLLC
4. Greenberg Traurig LLP
5. Hawkins Delafield & Wood LLP
6. Husch Blackwell LLP

7. Jackson Lewis P.C.
8. K&L Gates LLP
9. Kaplan Kirsch & Rockwell LLP
10. Kowert, Hood, Munyon Rankin & Goetzel, P.C.
11. Orrick, Herrington & Sutcliffe, LLP
12. Ross Molina Oliveros, PC
13. Thompson Coburn LLP
14. Winstead PC

The prices are considered fair and reasonable based on adequate competition.

The resulting fourteen (14) contracts will be indefinite quantity/indefinite delivery contracts for a not-to-exceed amount for all 14 contracts of \$1,800,000 for a three-year base period plus a not-to-exceed amount for all 14 contracts of \$1,800,000 for three (3) Option Periods of 12 months each, for a total not-to-exceed amount for all 14 contracts of \$3,600,000 for six (6) years.

RESPONSIBLE DEPARTMENT: Legal

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-223

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the requirement for outside legal counsel services to be available on an as needed basis; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management desire to have qualified law firms readily available to provide services as the need arises.

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 contracts with Bickerstaff Heath Delgado Acosta LLP; Clark Hill PLC; Enoch Keever PLLC; Greenberg Traurig LLP; Hawkins Delafield & Wood LLP; Husch Blackwell LLP; Jackson Lewis P.C.; K&L Gates LLP; Kaplan Kirsch & Rockwell LLP; Kowert, Hood, Munyon, Rankin & Goetzel, P.C.; Orrick, Herrington & Sutcliffe, LLP; Ross Molina Oliveros, PC; Thompson Coburn LLP; and Winstead PC for outside legal counsel services in the aggregate amount not to exceed \$3,600,000 for a three (3) year base term with three (3) one-year renewal options.

Date: _____

**Secretary of the Board
Eric Stratton**



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-125

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute a contract with Structura, Inc. to renovate the first floor of the Capital Metro administrative facility at 2910 E. 5th St., for \$1,767,362 plus \$170,000 in contingency for a total amount not to exceed \$1,937,362.

FISCAL IMPACT:

Funding for this action is available in the FY2022 Capital Budget

STRATEGIC PLAN:

Strategic Goal Alignment:

- 1. Internal/External Customer Service Excellence
- 2. Stakeholder Engagement
- 3. Financial and Environmental Sustainability
- 4. Staff Development
- 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk
- 1.2 Continuous improvement
- 1.3 Dynamic Change
- 1.4 Culture of Innovation
- 2.1 Be an Employer of Choice
- 2.2 Organization Development
- 2.3 Organization Culture
- 3.1 Resource optimization
- 3.2 Safety Culture
- 3.3 Environmental Leadership
- 4.1 Educate & Call to Action
- 4.2 Build Partnerships
- 4.3 Value of Transit
- 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: The renovation of the Capital Metro facility at 2910 E. 5th Street is required to create an attractive and cohesive workspace for service provider staff, Capital Metro Operations support staff and conference and training rooms to support Capital Metro needs. The renovated office and meeting space will be constructed to create open communications between Operations support staff and service providers in a modern and branded atmosphere. The open and airy workspace will accommodate approximately 18 people. Two new training rooms will be constructed to support initial and ongoing operator training. The new operator’s ready room will facilitate the modern needs of our operators and will include computer rooms, phone rooms, a recreation space and an isolated quiet room. A large multipurpose room will help to accommodate large operator training and larger agency meetings. Updating this space will create different working environments that will help Capital Metro and the service providers retain talent.

BUSINESS CASE: Renovating the Capital Metro facility at 2910 E. 5th St. is necessary to accommodate our current and

continual growth. Creating efficient and usable workspaces will help our operating and support staff perform and excel at their jobs while allowing for space for growth. The funding for this project is included in the FY 2022 capital budget.

COMMITTEE RECOMMENDATION: This item will be presented to the full board on October 25, 2021.

EXECUTIVE SUMMARY: In order to increase efficiency and reliability, the agency has identified the need to modernize and expand our operators and support staff area within the facility at 2910 E. 5th St. To accommodate this modernization, the agency needs to renovate the first floor of the facility at 2910 E. 5th St. to expand the functions currently housed there. In addition to improving the workspace for bus operations and dispatch, the driver ready room and break area will be enhanced. New training areas will be created and restrooms will be improved. Construction is forecast to begin in November of 2021 and conclude in May of 2022.

DBE/SBE PARTICIPATION: The SBE goal is 11%. The prime contractor will exceed the goal utilizing the following SBE subcontractors:

SBE Subcontractors	Race/Gender	Services/Products	SBE Responsive
Eastcreek Designs Dripping Springs, TX	Caucasian/ Female	Window Treatments	0.4%
Spectrum Resources Dallas, TX	Asian/Male	Specialty Services	1.4%
Action Decorating Austin, TX	Hispanic/Male	Painting and Wall Coverings	3.32%
CDMTek Dripping Springs, TX	Caucasian/Male	HVAC	21.49%
			26.61%

PROCUREMENT: On September 14, 2021, an Invitation for Bid was issued and formally advertised. By the closing date of October 14, 2021, six (6) bids were received.

RESPONSIBLE DEPARTMENT: Facility Management

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-125

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to provide administrative workspace that promotes efficient and effective operations and promotes a culture of communication; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to renovate the first floor of the facility at 2910 E. 5th St.

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 with Structura, Inc. to renovate the first floor of the Capital Metro facility at 2910 E. 5th St., for \$1,767,362 plus \$170,000 in contingency for a total amount not to exceed \$1,937,362.

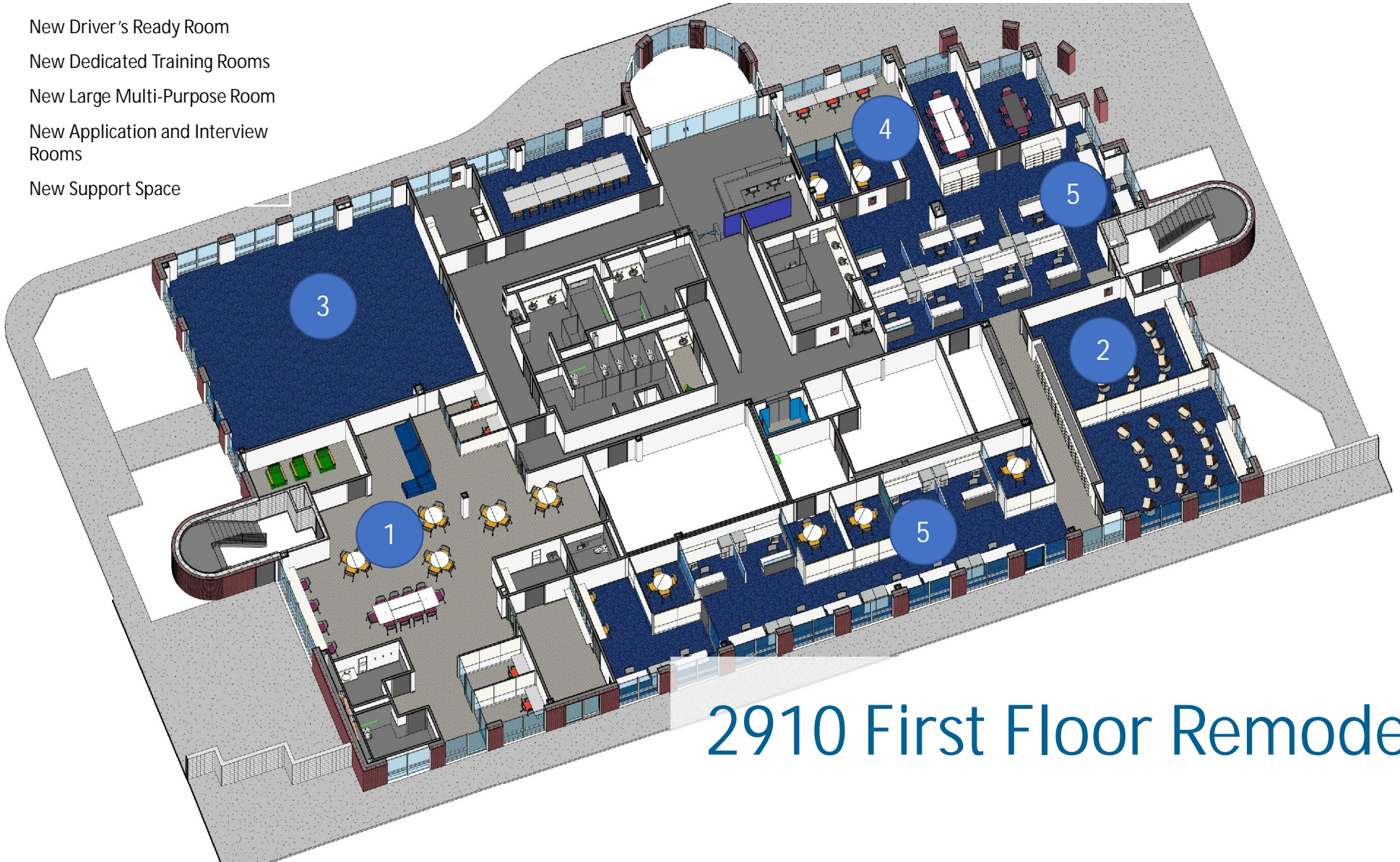
Date: _____

**Secretary of the Board
Eric Stratton**

2910 E. 5th St. Remodel

Providing better space for those who work for us.

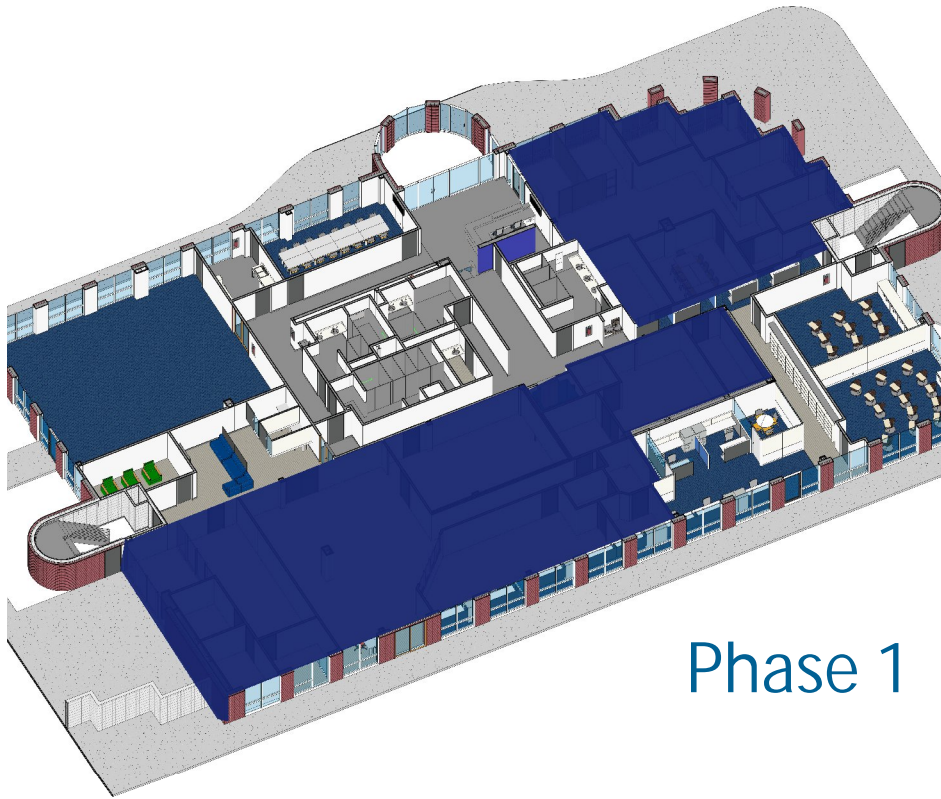
- 1 New Driver's Ready Room
- 2 New Dedicated Training Rooms
- 3 New Large Multi-Purpose Room
- 4 New Application and Interview Rooms
- 5 New Support Space



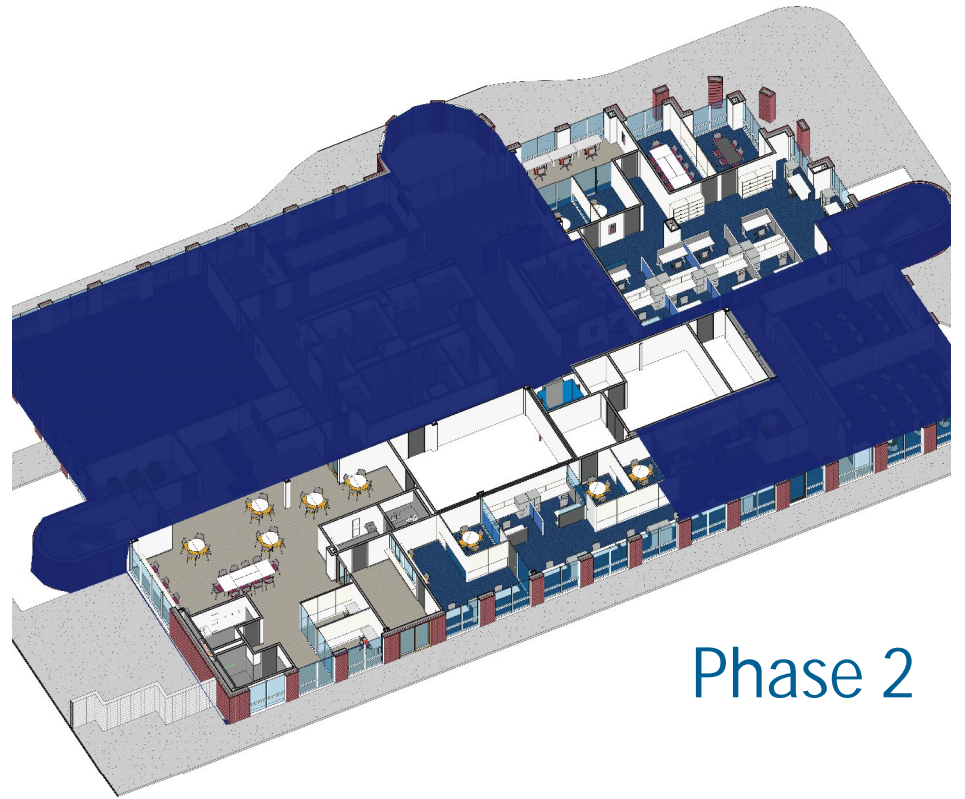
2910 First Floor Remodel

Phasing

This project will be phased so dispatch will continue through construction.



Phase 1



Phase 2

Schedule

	Aug 2021	Sept. 2021	Oct. 2021	Nov. 2021	Dec. 2021	Jan. 2022	Feb. 2022	March 2022	April 2022	May 2022
Demolition	█					█				
Phase 1			█							
Phase 2						█				



METRO

THANK YOU!



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-184

Agenda Date: 10/25/2021

SUBJECT:

Approval of a resolution authorizing the President & CEO, or his designee, to finalize and execute contracts with Unity Contractor Services, Inc., Stacy and Witbeck, Inc. and MA Smith Contracting Co., Inc. for Indefinite Delivery Indefinite Quantity (IDIQ) Construction Services for transit facility construction projects for a five (5) year contract for a total amount not to exceed \$50,000,000.

FISCAL IMPACT:

Funding for this action is available in the FY2022 Capital Budget

STRATEGIC PLAN:

Strategic Goal Alignment:

1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk 1.2 Continuous improvement 1.3 Dynamic Change
 1.4 Culture of Innovation 2.1 Be an Employer of Choice 2.2 Organization Development
 2.3 Organization Culture 3.1 Resource optimization 3.2 Safety Culture
 3.3 Environmental Leadership 4.1 Educate & Call to Action 4.2 Build Partnerships
 4.3 Value of Transit 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: This agenda item is in alignment with delivering the best possible customer experience and ensuring a safe, accessible, attractive quality transit environment by providing the means for constructing transit and amenity improvements and infrastructure at the agency's transit facilities.

BUSINESS CASE: Capital Metro is continuing a construction program to provide improvements to bus stops and transit related facilities. The program includes but is not limited to improvements to passenger amenities, accessibility improvements, and other required infrastructure at transit related facilities of the Authority. In addition, this construction contract will serve as the primary implementation tool for MetroRapid stations and other applicable projects. The funding for this item is included in the FY 2022 capital budget and in the five-year capital improvement plan.

COMMITTEE RECOMMENDATION: This item will be presented to the full board on October 25, 2021.

EXECUTIVE SUMMARY: Capital Metro directly manages construction contracts in order to maintain consistent quality in the development and reconstruction of transit facilities and related system infrastructure. The IDIQ construction services contract has been identified as the primary means for the construction of MetroRapid stations, bus stops and transit related infrastructure. The IDIQ construction services contract will assist in Capital Metro's goal to provide safe, attractive, accessible quality transit facilities.

DBE/SBE PARTICIPATION:

The DBE goal is 17%. The prime contractors will meet/exceed the goal utilizing the following DBE subcontractors:

Prime Contractors	DBE Subcontractors	Race/ Gender	Services / Products	DBE Responsive
Unity Contractor Services	Prime is a certified DBE, Austin, TX	Caucasian Female	Project management	100%
			TOTAL	100%
Stacy and Witbeck				
	JLM Strategic Talent Partners Long Beach, CA	Black/Female	Personnel Staffing	3.27%
	McAllen Signal and Boring LLC McAllen, TX	Hispanic/Female	Bus Shelter Lighting	3.54%
	Texas Trucking Company Georgetown, TX	Hispanic/Male	Trucking	0.53%
	TSIT Engineering and Consulting Leander, TX	Black/Male	Quality Control Testing and Sampling	1.05%
	Accurate Pavement Striping Pflugerville, TX	Hispanic/Female	Roadway Signage and Striping	0.7%
	Consolidated Installation Support San Antonio, TX	Black/Male	Concrete/Flatwork	10.92%
			TOTAL	20.01%
Smith Contracting				
	Alpha Ready-Mix LLC Hutto, TX	Hispanic/Female	Ready Mix Concrete	9%
	Avery's Lawn Care & Landscaping Round Rock, TX	Black/Female	Erosion Control	5%
	KLP Construction Supply Manor, TX	Native American/Female	Rebar	3%

			TOTAL	17%
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PROCUREMENT:

On August 3, 2021, Request for Proposals were issued and formally advertised with a closing date of September 3, 2021. Four (4) responsive and responsible proposals were received from (1) MA Smith Contracting Co., Inc. (2) Muniz Concrete & Contracting, Inc., (3) Stacy and Witbeck, Inc., and (4) Unity Contractor Services, Inc. by the closing date. The following factors were used in the evaluation of the proposals listed in descending order of importance:

- (1) The qualifications, experience, and past performance of the firm.
- (2) The offeror's demonstrated, relevant work experience and capabilities of the firm as a whole and of the proposed project personnel on projects of a similar size, scope, complexity.
- (3) 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.
- (4) The qualifications of the Project Team members.

The solicitation anticipates multiple awards will be made and eventual award of Indefinite-Quantity, Indefinite-Delivery Task Order contracts for the construction services specified to Stacy and Witbeck, Inc., Unity Contractor Services, Inc. and MA Smith Contracting Co, Inc.

The term of the contracts shall be five (5) years from the contract award date for a cumulative not-to-exceed total amount of \$50,000,000.00 for all contracts as followed:

Period	Estimated Expenditures
Contract Year 1	\$10,000,000.00
Contract Year 2	\$10,000,000.00
Contract Year 3	\$10,000,000.00
Contract Year 4	\$10,000,000.00
Contract Year 5	\$10,000,000.00
Estimated Total Not-To-Exceed-All Contract Years	\$50,000,000.00

RESPONSIBLE DEPARTMENT: Capital Construction and Facilities Management

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

Indefinite Delivery Indefinite Quantity (IDIQ) Construction Services

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management endeavor to provide safe, accessible, attractive, quality transit facilities, improvements, and system infrastructure; and

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors and Capital Metro management recognize the need to award these construction service contracts to these firms in order to fulfill this goal,

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 contracts with Unity Contractor Services, Inc., Stacy and Witbeck, Inc. and MA Smith Contracting Co., Inc. for Indefinite Delivery Indefinite Quantity (IDIQ) Construction Services projects for a five (5) year period with for a total cumulative amount not to exceed \$50,000,000.

Date: _____

**Secretary of the Board
Eric Stratton**

MetroRapid Construction Contract

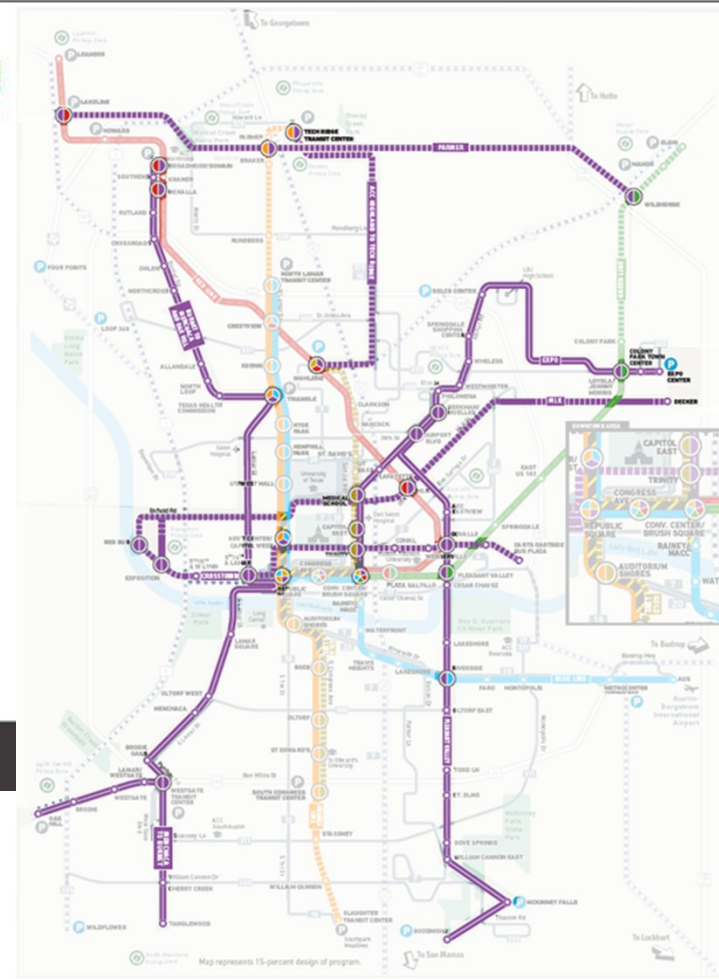
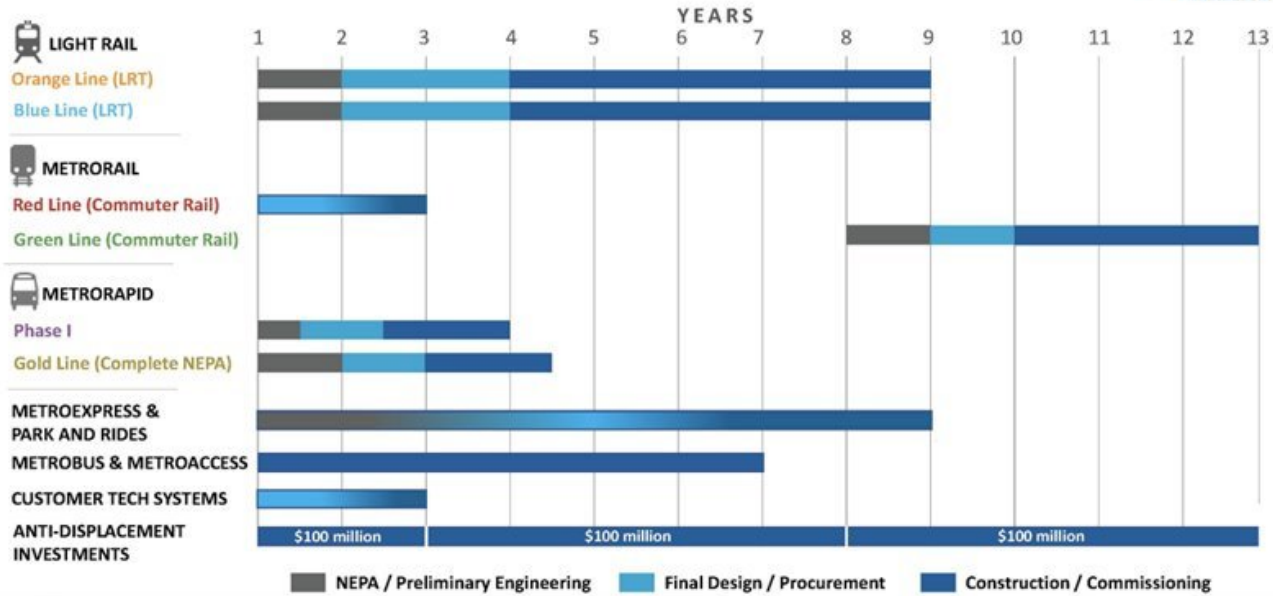


[Initial Investment](#) [System Plan](#) [Funding](#) [Get Involved](#) [Contact Us](#)



Project Connect

Project Connect Program Sequence



2

Project Connect MetroRapid Projects

- ILA with ATP for CapMetro to manage MetroRapid projects
- September MetroRapid Board presentation: implementation overview
- Board awards multiple contracts to support all MetroRapid lines:
 - Sept. 2021: Battery Electric Bus Contract + chargers (\$254,984,090)
 - \$ 61,782,849 for Project Connect MetroRapid expansion
 - Oct. 2021: Indefinite Delivery/Indefinite Quantity (IDIQ) construction contracts for Expo, Pleasant Valley, Menchaca and Oak Hill Extensions and Gold Line MetroRapid construction (\$50 Million)
 - Anticipate January 2022 (target): MetroRapid Shelter contract



Project Connect MetroRapid Projects

FTA "Small Starts" Grant Projects

- Expo and Pleasant Valley Lines
 - Project design and project budget refined during FTA "Project Development" phase until grant agreement executed
 - Federally funded match funds included in President's proposed budget;
 - Small Starts Grant approval process underway
 - Requesting "Letter of no prejudice" from FTA to initiate construction in advance of grant agreement
 - Project Management Oversight Consultant (PMOC)
 - Assigned by FTA

Locally Funded Projects (See Sept. 2021 update memo & presentation)

- Menchaca and Oak Hill Extensions and MetroRapid Gold Line
 - Gold Line – MetroRapid line potentially converted to Light Rail in future

Project Connect MetroRapid Construction

- Building ~106 new stations during the next 3-4 years
- Additional infrastructure projects:
 - Park & Rides
 - Expo, Goodnight, Ranch, McKinney Falls
 - Electric bus charging stations
 - Bus stop improvements
 - Transit Hubs
 - Infrastructure to support Transit Priority Treatments
- Est. \$50M in civil construction work



Construction Services Procurement

- Indefinite Delivery Indefinite Quantity (IDIQ) was most flexible and cost-effective for this construction (civil).
 - Reduced risk to agency
 - Ability to award to multiple contractors (speed, flexibility, risk avoidance,, economic benefits)
- Utilized Request for Proposal (RFP) process to select multiple qualified contractors.

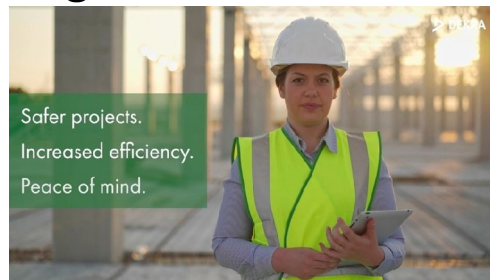


Bid Item No.	Spec. No.	Description
2	104S-A	Remove P.C. Concrete Curb
3	104S-C	Remove P.C. Concrete Driveways
4	104S-AC	Remove Pavement Asphaltic Concrete
5	104S-B1	Remove P.C. Concrete Slab, 0"-8"
6	104S-B2	Remove P.C. Concrete Slab, 0"-14"
7	110S-B	Street Excavation, Plan Quantity
8	111S-A	Excavation (Above Finished Sidewalk Surface)
9	132S-A	Embankment
10	210S-A	Flexible Base, Complete in Place
11	315S-A	Surface Milling
12	315S-D	Edge Milling
13	340S-A	Hot Mix Asphaltic Concrete Pavement, Complete in Place

Construction Services Procurement-Cont.

IDIQ Construction Contract includes:

- Worker safety requirements:
 - 10-hour OSHA training (workers)
 - 30-hour OSHA training (supervisors)
 - On-site monitoring of safety compliance
 - Work stoppage for safety violations
- Disadvantaged Business Enterprise goal is 17%
- Federal Davis-Bacon wage rate compliance
- Assurance and compliance oversight





REQUEST FOR PROPOSALS
NO. 307090
IDIQ FOR CONSTRUCTION SERVICES

RFP Issued:	8/3/2021	
Pre-Proposal Conference via TEAMS Live Event:	8/10/2021	10:00 a.m.
Written Questions and Approved Equivalents / Clarifications Due:	8/13/2021	Prior to 3:00 p.m.
Response to Written Questions and Approved Equivalents / Requests for Clarifications:	8/16/2021	
Proposals Due:	9/3/2021	Prior to 3:00:00 p.m.
DBE Goal:	17%	
Point of Contact:	John Pena (512) 369-6243 (Voice) (512) 389-7594 (Fax) John.Pena@capmetro.org	

NOTICE TO BIDDERS: ANY FURTHER INFORMATION OR AMENDMENTS TO THIS SOLICITATION WILL BE POSTED TO THE CAPITAL METRO WEBSITE UNDER "BID OPPORTUNITIES" AT <https://www.planetbids.com/portal/portal.cfm?CompanyID=39484>. AMENDMENTS WILL NOT BE EMAILED OR MAILED. IT IS THE BIDDER'S RESPONSIBILITY TO CHECK THE WEBSITE FOR ANY SOLICITATION CHANGES DURING THE IFB RESPONSE TIME.

PROCUREMENT DEPARTMENT
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
2910 E. 5th STREET
AUSTIN, TEXAS 78702

Construction Services Contract Compliance

- Safety compliance
 - Contractor safety plan approved by CapMetro and used for on-site audits
 - Contractors must have a full-time on-site safety representative
 - Capital Metro Safety Compliance Manager monitors safety compliance daily
 - Authority to stop work for safety issues
 - Works with Contractor to ensure standards met
- Safety Certification required
- FTA review and audit



Construction Services Contract Compliance

- Wage Rate Compliance
 - In addition to federal Davis-Bacon requirements, established \$15/hour minimum
 - Davis-Bacon wage rates posted at job site
 - Capital Metro staff conduct job site laborer interviews at least quarterly
 - Certified payroll verifies wage compliance prior to each payment
 - Payroll subject to audit at any time
 - This is an area that FTA can review as part of triennial report



Construction Services Contract Compliance

- DBE Compliance
 - 17% Disadvantaged Business Enterprise (DBE) goal established and met
 - DBE utilization and payment compliance reported and analyzed monthly
 - DBE staff ensures agreements between General Contractor and subcontractors honor non-discrimination, prompt payment and other requirements
 - DBE staff assists General Contractors and subcontractors when challenges or compliance concerns occur
 - FTA monitors achievement of DBE contract goals and compliance

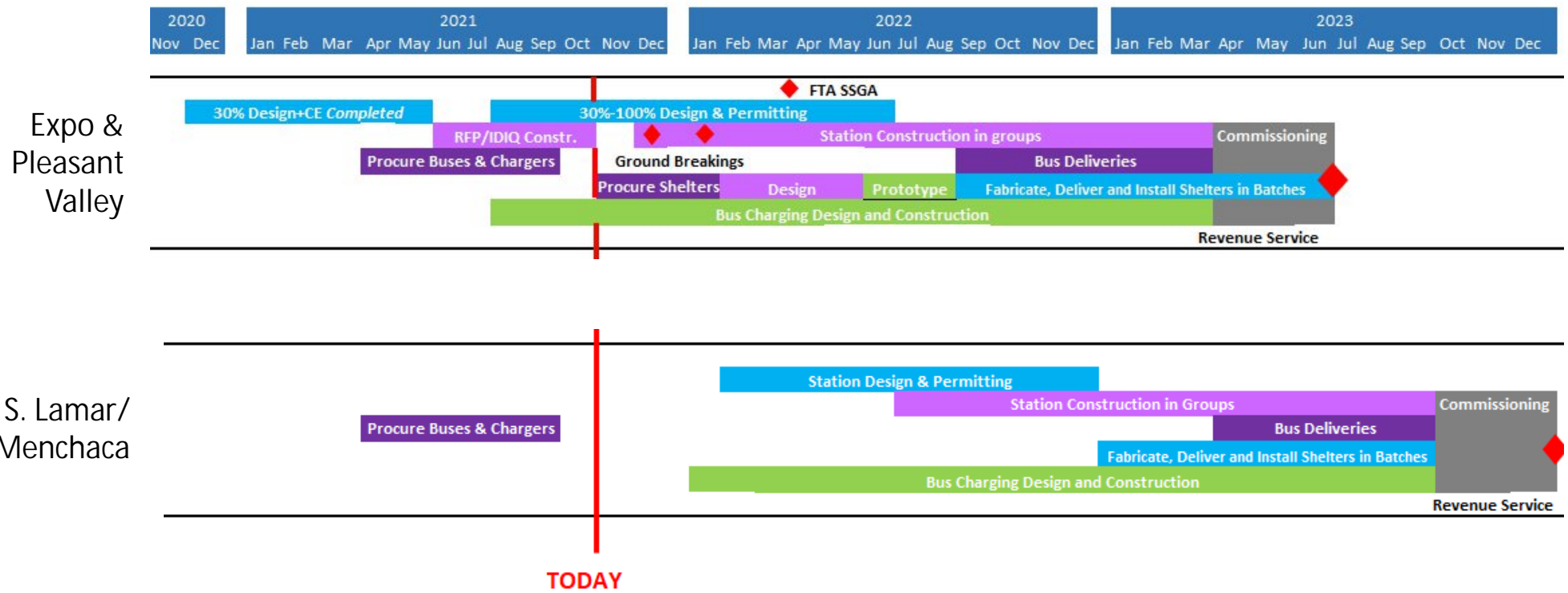


Construction Services Contract + DBE Goal

- Contractors selected based upon qualifications and price
- Recommended contractors:
 - Unity Contractor Services, Inc.
 - Stacy and Witbeck, Inc.
 - MA Smith Contracting, Inc.
- The DBE goal is 17%.
- The prime contractors will meet/exceed the goal utilizing these DBE subcontractors

Prime Contractors	DBE Subcontractors	Race/ Gender	Services / Products	DBE Responsive
Unity Contractor Services	Prime is a certified DBE, Austin, TX	Caucasian Female	Project management	100%
			TOTAL	100%
Stacy and Witbeck				
	JLM Strategic Talent Partners Long Beach, CA	Black/Female	Personnel Staffing	3.27%
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	KLP Construction Supply Manor, TX	Native American/Female	Rebar	3%
			TOTAL	17%

MetroRapid Lines Schedule



*SSGA – Small Starts Grant Award



METRO

THANK YOU!



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-224

Agenda Date: 10/25/2021

SUBJECT:

Approval of the Capital Metro Board of Directors Public Safety Advisory Committee Charter.

FISCAL IMPACT:

This action has no fiscal impact.

STRATEGIC PLAN:

Strategic Goal Alignment:

- 1. Internal/External Customer Service Excellence 2. Stakeholder Engagement
- 3. Financial and Environmental Sustainability 4. Staff Development 5. Agency Growth Management

Strategic Objectives:

- 1.1 Safety & Risk 1.2 Continuous improvement 1.3 Dynamic Change
- 1.4 Culture of Innovation 2.1 Be an Employer of Choice 2.2 Organization Development
- 2.3 Organization Culture 3.1 Resource optimization 3.2 Safety Culture
- 3.3 Environmental Leadership 4.1 Educate & Call to Action 4.2 Build Partnerships
- 4.3 Value of Transit 4.4 Project Connect

EXPLANATION OF STRATEGIC ALIGNMENT: The Public Safety Advisory Committee Charter will provide the Capital Metro Board of Directors and participants on the Public Safety Advisory Committee with guidance needed to form and execute the responsibilities of the Public Safety Advisory Committee. The input provided by this committee will assist Capital Metro in achieving its overall goal of a safe and secure system for its customers and employees.

BUSINESS CASE: An advisory committee providing input and feedback to Capital Metro staff and the Board of Directors will provide valuable insight from stakeholders, the community and staff in developing policies and practices for the Public Safety Department.

COMMITTEE RECOMMENDATION: This item was presented and recommended for approval by both board committees on October 13, 2021.

EXECUTIVE SUMMARY: The safety and security of our customers and staff is our top priority. The customers, staff and community can provide valuable insight into their needs and challenges in utilizing the system and how the Public Safety Program can better meet their needs. In addition, the Capital Metro Board of Directors, has authorized the creation of a transit police department, as one part its Public Safety program. A significant step toward ensuring safety is allowing for public input through the formation of the Public Safety Advisory Committee. The committee, comprised of stakeholders, staff and members of various community-based agencies, will be appointed by the Capital Metro Board and will provide guidance on all facets of the Public Safety program and policies and will review program goals and data for ongoing improvements.

DBE/SBE PARTICIPATION: Does not apply.

PROCUREMENT: Does not apply.

RESPONSIBLE DEPARTMENT: Office of Safety, Occupational Health and Accessible Services

**RESOLUTION
OF THE
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
BOARD OF DIRECTORS**

**STATE OF TEXAS
COUNTY OF TRAVIS**

AI-2021-224

WHEREAS, the Capital Metropolitan Transportation Authority Board of Directors (Board) and Capital Metro management recognize the need to provide its customers, general public, employees, and service providers with the safest possible environment; and

WHEREAS, the Board acknowledges and affirms that the customers, staff and stakeholders who utilize the system are best suited to provide input and feedback on proposed policies and practices for the Public Safety program; and

WHEREAS, the Board desires to establish an advisory committee under Texas Transportation Code, Section 451.109, with membership established by the Board.

NOW, THEREFORE, BE IT RESOLVED that the Capital Metropolitan Transportation Authority Board of Directors approves the attached Public Safety Advisory Committee Charter.

Date: _____

**Secretary of the Board
Eric Stratton**

CAPITAL METRO PUBLIC SAFETY ADVISORY COMMITTEE DRAFT CHARTER

I. PURPOSE and DEFINITIONS

This charter outlines the Public Safety Advisory Committee for Capital Metro (the Agency, CapMetro) and sets forth its purpose, functions, membership, and roles and responsibilities as an advisory body to CapMetro's Board of Directors (Board). The President & CEO, or designee, shall engage this committee regarding topics defined as duties of the Public Safety Advisory Committee, based on this charter. The committee shall comply with state law related to Capital Metro advisory committees, and Capital Metro policy.

A. Duties:

The Public Safety Advisory Committee may provide recommendations to the Agency's Management team and Board regarding the following topics regarding the comprehensive public safety program:

- Input to the Board regarding the creation and review of policies
- Input to staff regarding program creation and review of procedures
- Identifying opportunities for CapMetro to educate and engage the community on public safety topics
- Review and input on quarterly and annual public safety performance goals and metrics
- Input to staff regarding the characteristics that staff shall seek out in Transit Police leadership
- Input to staff on the development of public safety staff training programs
- Input to staff on public safety awareness campaigns and customer information communications
- Other topics relevant to the performance of the comprehensive public safety program.

The advisory committee shall provide reports to the Agency's Board regarding their recommendations on the above topics, in accordance section I.B. below.

B. Integration with Capital Metro Board Meetings:

Committee Committee meeting content will reflect standing quarterly or annual topics such as metric reviews as well as review and input on upcoming items at Capital Metro Board meetings.

The committee chair or other officer will present the committee report at all Board meetings. If unable to attend, public safety staff will report to the Board on behalf of the Committee.

II. STRUCTURE AND APPOINTEES

A. Membership:

The Public Safety Advisory Committee will have 10 total members.

There shall be two (2) standing members appointed by the President & CEO and confirmed by the Board. The standing members shall include:

1. A person to represent the Amalgamated Transit Union (ATU), as recommended by the ATU and affirmed by the President & CEO.
2. A person retired from a law enforcement agency from within the CapMetro service area.

There shall be eight (8) members of the committee appointed by the Capital Metro Board of Directors. Staff shall review applications and generate a list of ~~qualified~~ applicants for Board Member consideration. Each ~~Each~~ Board Member shall nominate one member from the list to be confirmed by the entire Board.

The Agency's Board shall consider the appointment of committee members based on the potential member's application, experience and expertise related to social and criminal justice reform, public safety, social services, community service, professional experience, and personal experience with or relationship to historically marginalized or underserved communities. The Board shall consider applicant's viewpoints, qualifications/experience and demographics with the objective that the committee membership is diverse. The Agency's Board shall prefer the appointment of CapMetro customers (i.e., people who use transit) who also have relevant experience as defined above. Appointed members shall represent themselves individually and not an organization they are affiliated with.

Appointees must not have a conflict of interest that would impede their ability to serve on the committee, ~~including employment at CapMetro, a partner agency, or serve in a leadership role in a stakeholder that the committee may engage.~~

Members shall be committed to providing constructive advisory service to the staff and Board on how best to develop, engage and improve CapMetro's comprehensive customer- and frontline-staff-oriented public safety program.

B. Application for Membership:

Staff shall widely publicize the membership application throughout the CapMetro service area when the advisory committee has a vacancy or vacancies. Recruitment of potential applicants shall occur through the CapMetro website, social media, stakeholder lists, on-board notices, through coordination with community partners and agencies, media notices, etc., as appropriate.

B.C. Terms of Appointment:

The eight (8) members appointed by the Board shall each serve at the pleasure and concurrently

with the nominating Board member.

The standing member who represents the ATU shall serve at the pleasure of ~~the pleasure of~~ the President & CEO and the ATU. If the member is no longer affiliated with the ATU, the organization shall recommend a new person to the President & CEO to represent the ATU on the committee.

The standing member who is a retired law enforcement member shall serve at the pleasure of the President & CEO.

~~C.~~ Meetings

~~The Public Safety Advisory Committee will meet at least quarterly beginning within 60 days after Board appointments are confirmed.~~

D.

i. Meeting Schedule:

The Public Safety Advisory Committee will meet at least quarterly beginning within 60 days after Board appointments are confirmed.

ii. Meetings Open to the Public:

Meetings are open to the public. Meeting agendas and materials shall be made public via the CapMetro website, and meetings shall include minutes and recordings, both of which shall be posted on the CapMetro website.

iii. Location:

A suitable location will be identified to host Public Safety Advisory Committee meetings that is well-connected to transit, centrally located and comfortable. Virtual meetings will be supported to the extent that they comply with Capital Metro policy and applicable laws.

iv. Hospitality:

Food and beverages will be provided for committee meetings conducted in person.

v. Participation by Staff:

Agency staff shall support each of the committee meetings, including securing and setting up meeting rooms, organizing logistics (i.e., virtual meeting links, ordering food, etc.), providing IT and web support for the meetings, compiling agendas and minutes, etc.

CapMetro Public Safety & Advisory Committee Update

October 25, 2021

Gardner Tabon, EVP & Chief Safety Officer

1



Agenda

- Program Update
- Feedback to Date
 - Transit police leadership
 - Advisory committee charter – action requested today

Program Update

3



METRO

Administrative Activities Since Aug. 2021

- Onboarded Wanda Dunham as a special advisor to public safety program
- Hired a financial consultant to assist CapMetro with program long-range financial planning
- Began creation of process to establish transit police function
- Began creating inventory of needed policies and procedures
- Began research of peer agencies
- Continued recruitment and onboarding of public safety ambassadors
- Community intervention specialists began full operations in October

TCOLE requirements for new police departments

Texas Commission on Law Enforcement (TCOLE):

Texas agency responsible for establishing licensing requirements, monitoring reporting required by the state, and certifying creation of new law enforcement agencies.

TCOLE Requirements:

- Must document the need for a police department
- Must identify/articulate funding sources
- Must identify/obtain physical resource for officers
- Must establish facilities (evidence room, dispatch area, public area)
- Must adopt policies
 - Use of Force
 - Vehicle Pursuit
 - Domestic Abuse Protocols
 - Response to missing persons
 - Supervision of part-time officers
 - Impartial Policing
 - Evidence Collection
 - Eyewitness Identification
- Must establish Administrative Structure (Org Chart)
- Must obtain liability insurance
- Must also submit:
 - Documentation of the governing body authorizing creation
 - Resolution
 - Minutes of meeting approving formation

Reviewing Peers and Standards

- DART (Dallas), MARTA (Atlanta), VIA (San Antonio), Austin Police Department (Austin), Denver RTD, BART (Bay area, CA), Tri-MET (Portland)
- CALEA (The Commission on Accreditation for Law Enforcement Agencies)
- Topics: policies and professional standards, integration of ambassadors and social workers, leadership recruitment and job descriptions, experience with creating new transit police function, etc.

Stakeholder Engagement since Aug. 2021

- Stakeholder 1:1 briefings
 - Topics: priorities/opportunities for the public safety program, feedback on draft advisory committee charter, and characteristics staff should seek out in transit police leadership
 - Members of the public may request a 1:1 or small group meeting by emailing Edna.Parra@capmetro.org by Nov. 19
- Customer Service Advisory Committee (CSAC), Access Advisory Committee & Diversity, Equity & Inclusion Council meetings
 - Topics: feedback on draft advisory committee charter, and characteristics staff should seek out in transit police leadership

Community Feedback To Date

8



METRO

Summary of Community Feedback on Leadership

Complete community feedback to date provided as supplemental material

Personality & Leadership Style

- Transparent & accountable
- Leads by example
- Thinks outside of the box; willing to change & be progressive
- Community engagement driven
- Truthful/Honest/Person of Integrity
- Culturally competent and understands social and cultural biases and inequities
- Critical thinker

Professional Experience

- Experience with transit/mobility systems
- Administratively sound
- Build up organization/teams
- Sees value in training
- Understand the cultural environment of Austin
- Collaborative, strategic
- Understands roles and responsibilities
- A servant leader

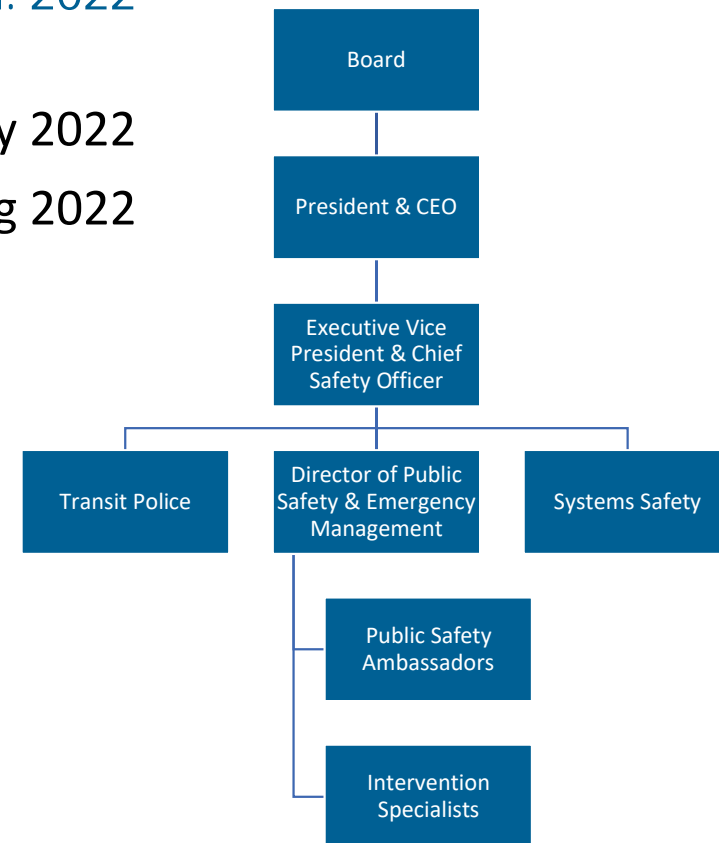
Transit Police Leadership Timeline

- Community discussion of characteristics & peer agency research
- Job posting finalized & recruitment begins
- Hiring of transit police leadership

Sept. – Jan. 2022

January 2022

Spring 2022



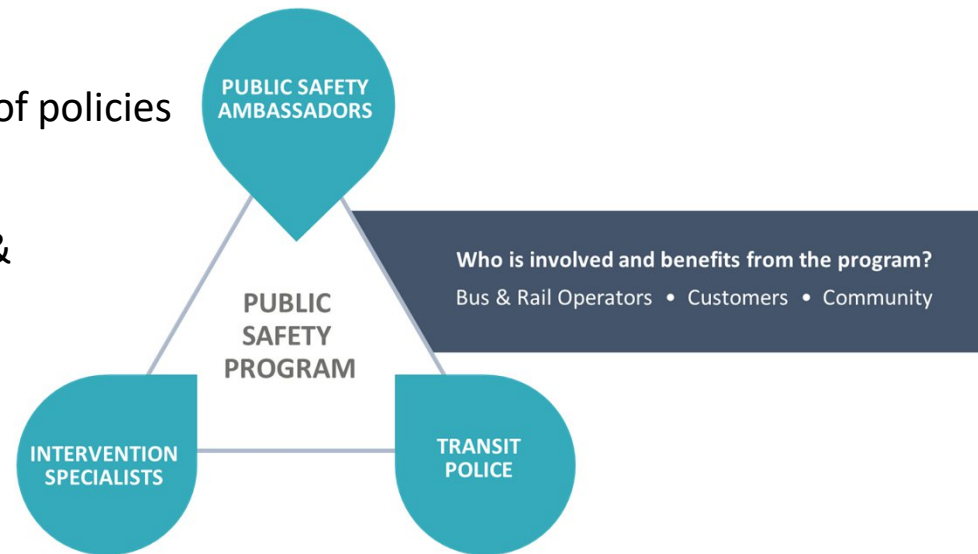
Advisory Committee Charter

- Draft version 3 is latest with staff's suggested edits based on community and policymaker feedback
- Staff engaged community stakeholders during 1:1 meetings, and received feedback from CSAC and Access Committee and DE&I Council

Proposed Advisory Committee Responsibilities

The Public Safety Advisory Committee may provide recommendations to the Agency's Management team and Board regarding the following topics relevant to the comprehensive public safety program:

- Input to the Board regarding the creation & review of policies
- Input to staff regarding program creation & review of procedures
- Identifying opportunities for CapMetro to educate & engage the community on public safety topics
- Review & input on quarterly & annual public safety performance goals/metrics
- Input to staff regarding the characteristics staff shall seek out in Transit Police leadership
- Input to staff on the development of public safety staff training programs
- Input to staff on public safety awareness campaigns & customer information communications



Proposed Membership Structure

The Public Safety Advisory Committee will have 10 total members.

- 8 members appointed by the Board
 - People will apply and staff will compile a list of applicants for the Board to select from.
 - Members should have a variety of experience and expertise related to social and criminal justice reform, public safety, social services, community service, professional experience and personal experience with or a relationship to historically marginalized or underserved communities.
 - The Board is encouraged to appoint members who are CapMetro customers with relevant experience.
 - Appointees must not have a conflict of interest that would impede their ability to serve on the committee.
 - Members shall represent themselves, not an organization.
- 2 standing members appointed by the President & CEO and confirmed by the Board
 - A person to represent the ATU (recommended by ATU leadership)
 - A person retired from a law enforcement agency from within the CapMetro service area

Advisory Committee Meetings

- The Public Safety Advisory Committee will meet at least quarterly beginning within 60 days after Board appointments are confirmed.
- Meetings will be open to the public and recorded, and meeting materials will be posted online.
- A suitable location will be identified to host Public Safety Advisory Committee meetings that is well-connected to transit, centrally located and comfortable.
- Virtual meetings will be supported to the extent that they comply with Capital Metro policy and applicable laws.
- Food and beverages will be provided for committee meetings conducted in person.

Advisory Committee Milestones:

- Review and input on draft charter: Sept. – Oct. 22, 2021
- Board approval of advisory committee charter: Oct. 25, 2021
- Initial application for membership opens & advertised: Nov. 1, 2021
- Initial application for membership closes: Dec. 3, 2021
- Board Member review of initial applicants: Dec. 6 – 10, 2021
- Board appointment of members: Dec. 17, 2021
- Orientation meeting: early January 2021
- First meeting: mid/late January 2021



METRO

THANK YOU!

What characteristics or traits should we seek out in transit police leadership?

Community feedback captured as of 10/19/2021

- Gets along with community groups
- Can build a better culture – must be willing to give and take
- Interpersonal skills
- Trust
- Treat people well
- Athletic
- Experienced team builder/ team work
- Community engagement mindset
- Excited about the job
- Good listener
- Trustworthy
- Has integrity
- Diverse
- Take community seriously
- Partner w/ neighborhood groups/HOAs/civic groups
- Participate in community outreach & events (i.e., community BBQs)
- Engager
- Collaborator
- Understand the climate of Austin
- Will understand the terrain
- Energetic
- Ability to engage with the public
- Transparency/collaboration and partnerships
- Take care of officers under them
- De-escalation training
- Critical thinking skills
- Understand DA and County Attorney
- Clear vision and mission
- Mental health training (crisis intervention, for example)
- Good communication skills
- Servant leader
- Utilize management by walking around skills
- Understands the importance of maintaining training within team
- Willingness to work w/ community and community groups
- Sets the right tone
- Accountable
- Transit user/knowledge
- Knowledge of transit industry
- Transparency
- Does not act like a police chief
- Willing to think outside the box
- Willing to use technology to provide safety and security solutions
- Good listener
- Strong partnership w/ intervention specialists and ambassador functions (function as 1 team)
- Innovative
- Humble
- Creative
- Respectful
- Compassionate
- Empathetic
- Takes Responsibility
- Believes in training
- Real world experience, not just military training
- De-escalation
- Willingness to collaborate w/ engineers
- Have a visible presence
- Awareness
- Engaging
- Outreach
- Community-focused
- Willing to support and advocate for safety ambassadors and intervention specialists
- Equity, diversity and inclusion
- From outside of Austin

- Independent approach to community-based policing
- Prefers diverse candidate
- Prefers someone that understands conscious and unconscious bias
- Encompasses all groups, including LGBTQIA+
- Good leadership leads to good policing
- Improved officer performance
- Culturally responsible
- Human development acumen
- Forward-thinking
- Understands transit and growth
- Committed to transit
- Lead from the back and the front – servant leader
- Conscious of multiple municipalities' needs
- Honesty, personal integrity, spirit of discernment
- Good energy and human touch
- Lead by example
- Good administrator
- Outside the box policing
- Clear understanding of role of transit police versus municipal police
- Relationship builder
- Personable
- Ability to communicate w/ all demographics
- Articulate
- Understand their purpose
- Not afraid to be a spokesperson and voice for what's right
- Public safety experience
- Not entrenched in professional culture / willing & able to change
- Build relationships with community



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-178

Agenda Date: 10/25/2021

Fare Policy Overview and Customer Payment Systems Update

Fare Policy Overview and Customer Payment Systems Update

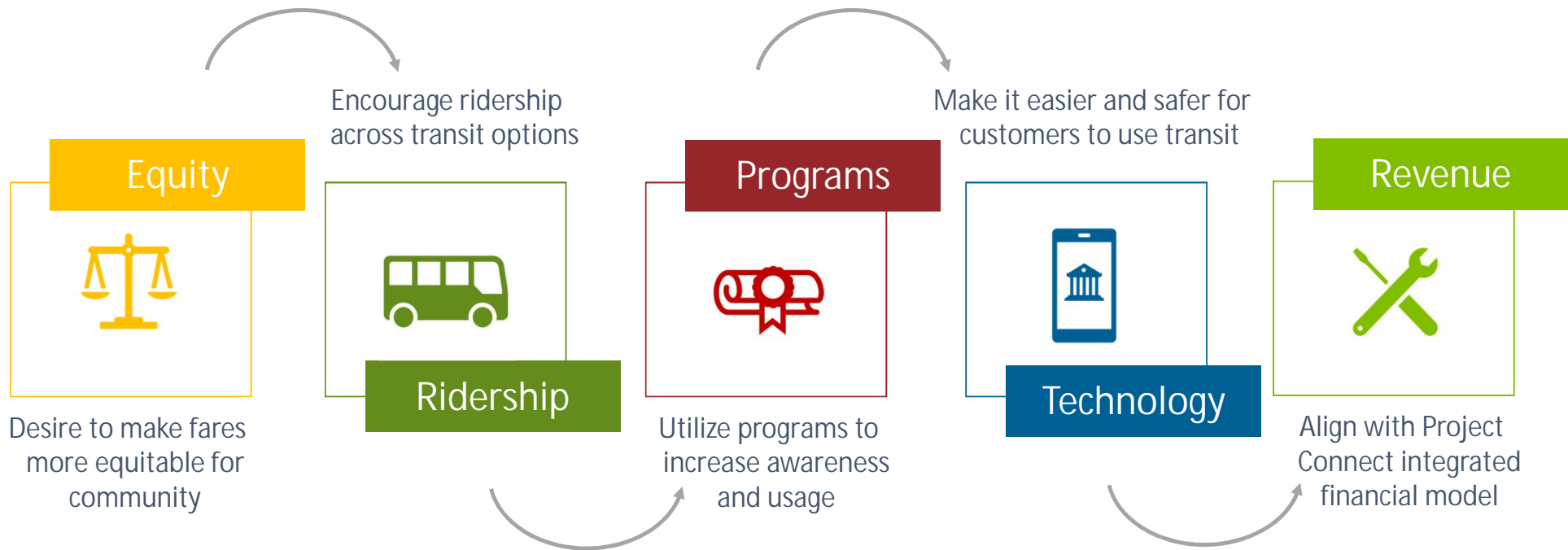
Multi-year technology advances and equitable fare policy review

October 2021 Board Update

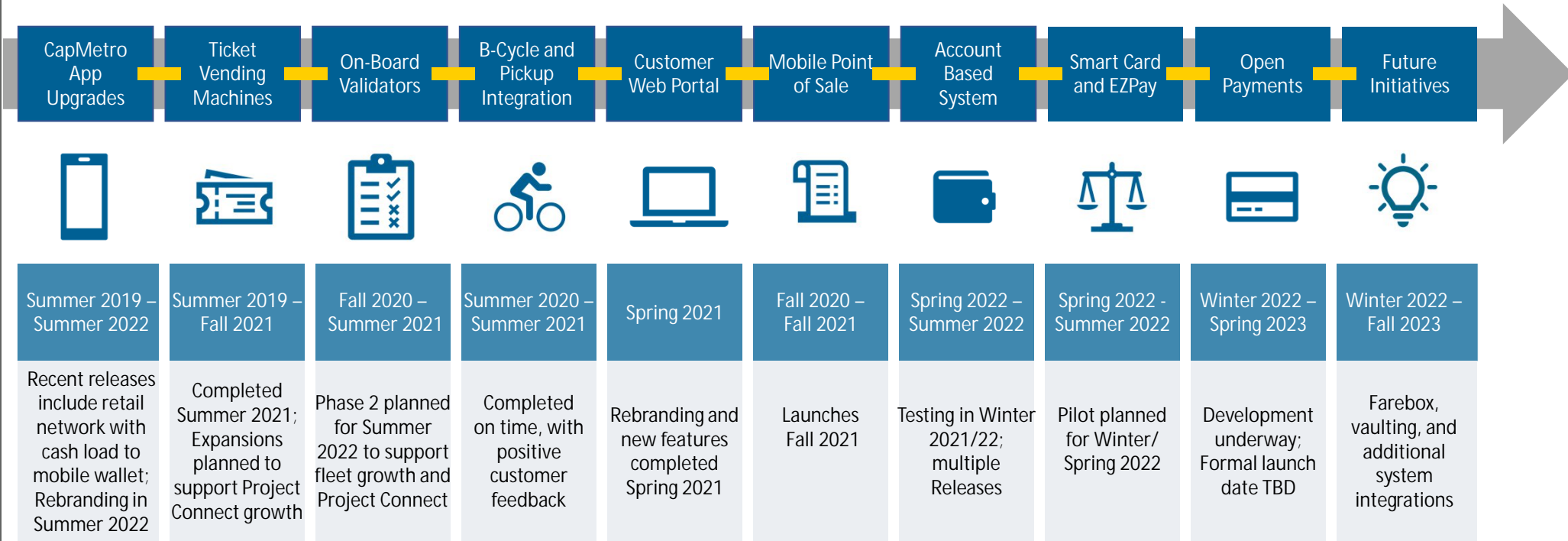
1

 METRO

Equitable Fare Policy Overview



Customer Payment System Roadmap



Customer Payment System Phase 2



Ticket Vending Machines

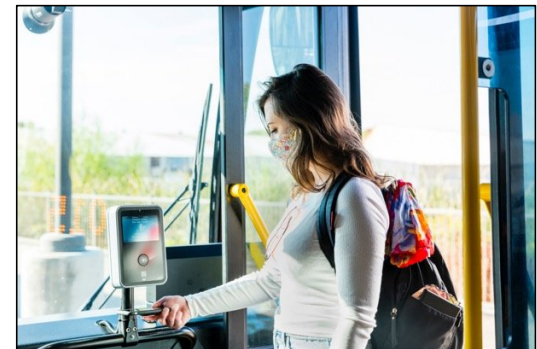


On-Board Validators



Mobile Point of Sale

- Placed additional TVMs into service over the summer
 - June: Republic Square and Eastside Bus Plaza
 - August: Pleasant Valley/Riverside
 - September: North Lamar Transit Center, South Congress Transit Center, and Tech Ridge Park & Ride
- Completed installation of onboard validators fleet-wide summer 2021
- Upgraded mobile point of sale scheduled for release in fall 2021

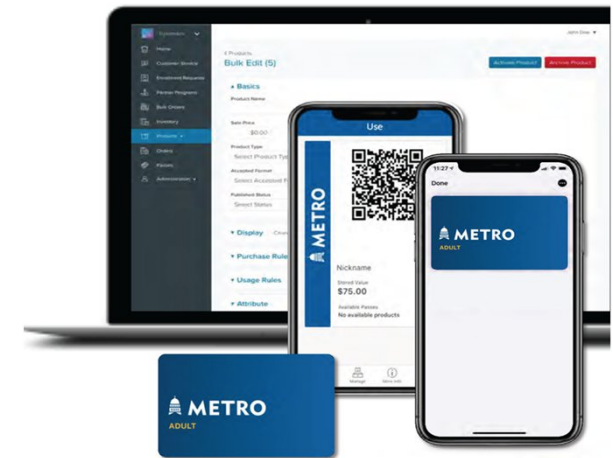


Customer Payment System Phase 3



Account Based System

- Establish accounts for each customer, enabling the use of our app or a branded smart card, both tied back to the same unique account
- Accommodates all customers with or without a smart phone
- Customer Pilot planned for early 2022 prior to full customer roll-out



Customer Payment System Phase 4 and 5



Open Payments



Future Innovations

- Phase 4: Open Payment
 - Allow for “Tap and Pay” functionality with credit cards, smart phones, or smart watches, etc.
- Phase 5: Integrations
 - Customer Relationship Management System
 - Data Warehouse and Business Intelligence
 - Enterprise Resource Planning
- Phase 6: Cash Farebox and Vaulting



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THANK YOU!



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-200

Agenda Date: 10/25/2021

Workforce Planning Update

Capital Metro Board of Directors Meeting

Workforce Planning For Today and Tomorrow

October 25, 2021

Donna Simmons

EVP Administration/Diversity, Equity & Inclusion Officer

1



Workforce Transformation Plan



Bus Operator
Hiring and
Retention



Strategic
Workforce
Analysis



Holistic Strategy
and Action Plan



Solving the Current Labor Shortage

- 90 percent of employers [surveyed by the Society for Human Resource Management](#) (SHRM) said they were struggling to fill open positions this summer, and
- 73 percent are seeing a decrease in applications for hard-to-fill positions.
- 50 percent are seeing an increase in the number of applicants failing to reply to a request for an interview.
- Transit systems are struggling to fill vacant bus operator positions

We need to hire 100 bus operators to deliver full service schedule.

Bus Operator Staffing and Retention Plan

- Gather data
- CapMetro People & Culture Team to supplement MV hiring
- Shorten hiring process
- Deployment of “talent search” teams

 **Capital Metro**
September 12 at 10:15 AM · 🌐

Join a great team of professionals, serve your community and embark on an exciting career in transportation.

Start today: <https://bit.ly/3kFqE0s>



 **JOIN OUR TEAM**

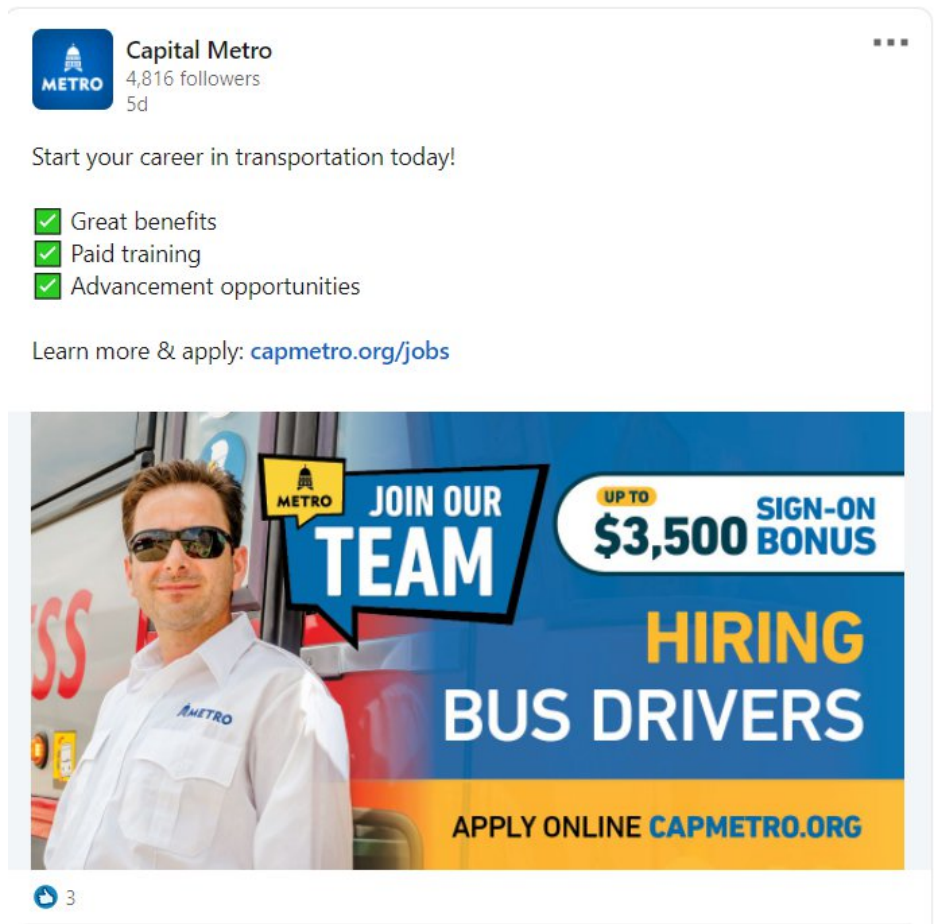
UP TO \$3,500 SIGN-ON BONUS

HIRING BUS DRIVERS

APPLY ONLINE [CAPMETRO.ORG](https://www.capmetro.org)

Bus Operator Staffing and Retention Plan

- Marketing campaign: “It’s A Thing Around Here” to highlight the Employee Value Proposition
- CapMetro Training School
- Improve working environment



The image is a screenshot of a Facebook post from Capital Metro. At the top left is the Capital Metro profile picture and name, with 4,816 followers and a post from 5 days ago. The text of the post says "Start your career in transportation today!" followed by a list of three benefits: "Great benefits", "Paid training", and "Advancement opportunities", each with a green checkmark. Below this is a link to "Learn more & apply: capmetro.org/jobs". The main part of the post is a large blue and yellow graphic. On the left is a photo of a smiling man in a white Metro uniform and sunglasses. To his right, a blue speech bubble says "JOIN OUR TEAM". Further right, a white box with a yellow border says "UP TO \$3,500 SIGN-ON BONUS". Below this, in large yellow and white letters, it says "HIRING BUS DRIVERS". At the bottom of the graphic, it says "APPLY ONLINE CAPMETRO.ORG". At the bottom left of the post, there is a small icon of a speech bubble with the number 3, indicating 3 comments.

Workforce Planning Objectives

Start early enough to develop talent pipelines needed to construct and operate Project Connect

Engage industry experts to project talent and training needs over time

- Boston Consulting Group for operating model and projection of workforce based on expansion and attrition
- HNTB for recommendations on operations training and development

Hire a Director, Workforce Planning

- Engage partners to identify and develop talent pipelines

Contribute to diversity, equity and inclusion commitments

Proactive planning for our future workforce has involved two key areas of focus:

Workforce Projections



- Look at the **size of our frontline workforce** today and project it in the future
- Understand the staffing needs of distinct Project Connect **system components**
- Plan for overall workforce **growth**
- Understand impact of new positions vs. annual attrition on **yearly hiring goals**

Capabilities & Trends Assessment



- Document what **capabilities** are required in our workforce today
- Assess **technologies and other trends** that might impact workforce and skillsets
- Understand **implications** for distinct roles in the organization
- Plan for **future changes** and training needs

CapMetro's growing system will contribute to the creation of over 1,000 jobs in the Austin-area before 2035



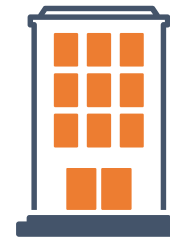
300 - 400 new
MetroBus
jobs



80 - 100 new
Regional Rail
jobs



500+ new
Light Rail
jobs



75+ new
Facilities
jobs



100 - 150 new
MetroAccess & Pickup
jobs

Jobs will be filled over time and in advance of new system components entering revenue service

The workforce & capability assessment highlighted areas of opportunity across the organization



Increase focus on the entire employee lifecycle, from recruiting to retirement, especially for roles heavily impacted by technology and other trends



Establish a culture of excellence, accountability, and learning to reduce attrition, absenteeism, and improve performance



Leverage partnerships to build a talent pipeline for high-need areas i.e., Light Rail, operators, mechanics, and skilled technicians



Considering future cross-staffing or combined management of critical functions in the face of potential talent shortages



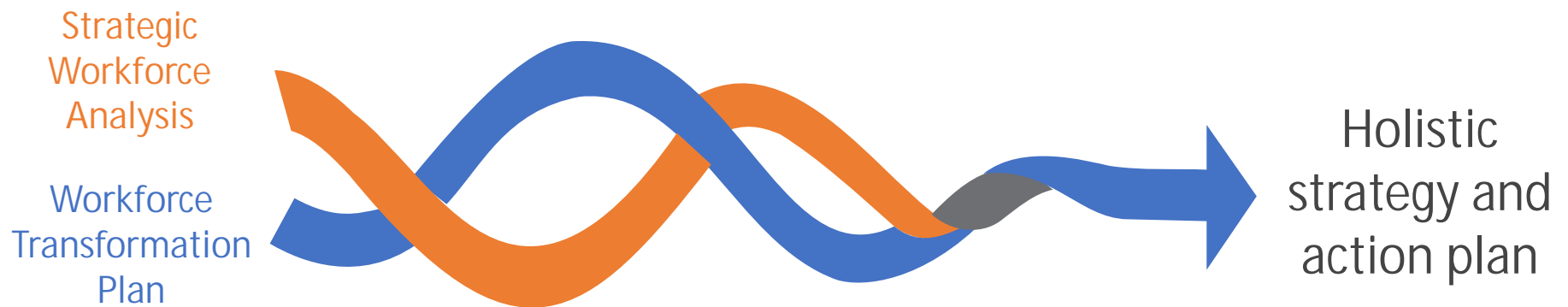
Consider merging functions across modes for increased efficiency and to drive towards vision of "one system"



Foster a hyper focus on customer centricity and define goals for each role that further the organizational vision

Workforce initiatives are building and executing action plans to address these opportunities

Workforce projections & capability assessment are only parts of an overall plan for CapMetro's workforce of the future



What's next?

In order to take CapMetro's Strategic Workforce analysis to the next level, we plan to:

- Hire for talent in key People & Culture workforce roles
- Determine and work toward target operating model
- Workforce and labor coordination forum
- Establish plan, process, and tools for overall Transformation
- Identify workforce initiatives for Transformation plan
- Begin executing workforce initiatives
- Enhance diversity of workforce
- Refine assumptions to improve workforce projections

Focus on Workforce Development

Construction Readiness (External)

- Pipeline for construction trades to build Project Connect
- Build career progression to move from construction to operations career

Operations Readiness (Internal)

- Maintain focus on hiring and retaining bus operators
- Other key operating positions
- Multiple pipelines working with community partners



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THANK YOU!



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-217

Agenda Date: 10/25/2021

Brand Refresh Presentation

CapMetro Brand Refresh

Strategy and Concept Review | 25 Oct 2021

Why are we doing this now?

The Agency and the region are changing. We are at a pivotal moment as Austin becomes a true metropolis.

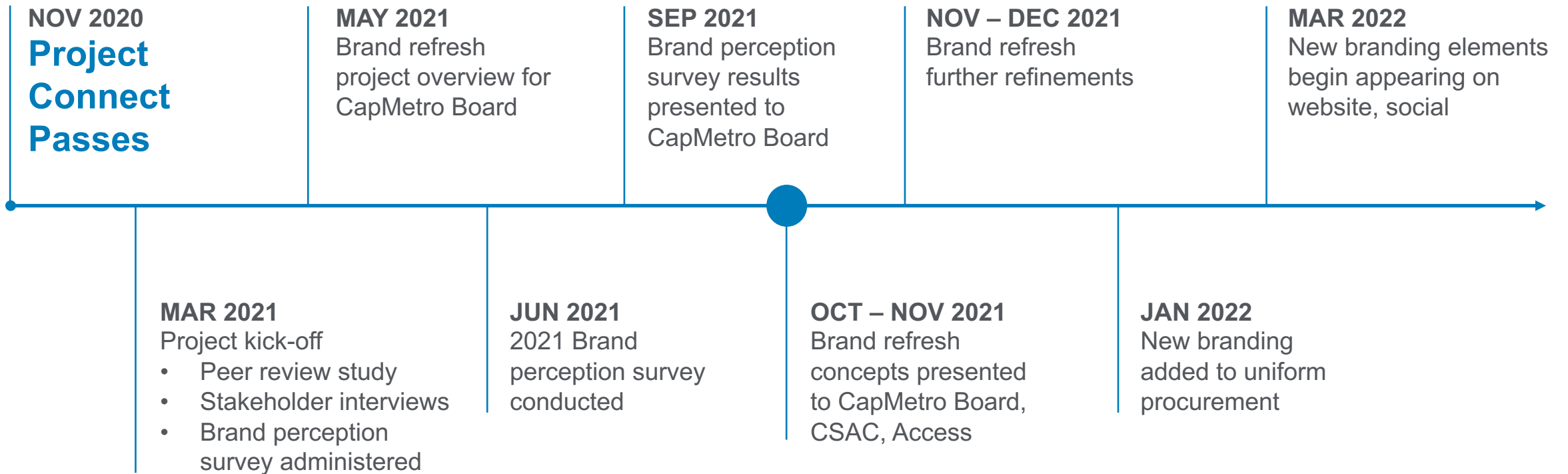
As our organization evolves and new services and infrastructure are developed, so too should our brand.

The current brand identity does not reflect the dynamism of the Agency or the region.

New items like vehicles, stations, and uniforms are being procured soon, so now is an opportune time to apply a brand refresh.

It's the perfect time to pivot toward the future.

Brand Refresh Timeline



Research and Audit

Spring 2021 Brand Refresh Research

CapMetro should be seen as:

Essential and relevant to our customers and community

Innovative

Inclusive

Accessible

Major player

Dynamic and adaptable

Exciting

Future-facing

Peer Audit

Some leverage Metro overtly; mostly wordmarks with logos or single graphic devices.



LA Metro (LA)



RTD (Denver)



Valley Metro (Phoenix)



DART (Dallas)



MARTA (Atlanta)



Tri Met (Portland)

Peer Organization Audit

Marta: simple wordmark + ownable color palette + simple graphic device that scales up and down with need. Net: audience readily associates elements of the system; flexibility is key.

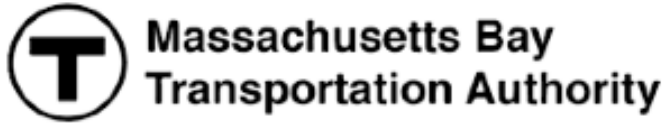


marta



Peer Organization Audit

The T: Shorthand symbol acts as unifier where formal name doesn't work.
Net: audience readily associates elements of the system.



Commercial Organization Audit

jetBlue: conjugate wordmark + limited color palette + pattern variance + voice.

Net: audience readily associates elements of the system; flexibility is key



Strategy

Brand Design Criteria

Flexible design vocabulary for longevity as CapMetro evolves

Timeless wordmark as foundation; evolved from current

Reserve icons and symbols for wayfinding to improve accessibility and inclusivity

Strong base brand color palette with opportunity for accents

Ownable graphic forms

Expansive pattern palette to provide flexibility + community relevance

Communicate the energy and vitality of CapMetro and the community

System needs to scale from facilities, wayfinding and fleet to uniform and pixels

Part of an ecosystem:



Foundational Elements

CapMetro



Wordmark

Own your name; retain legacy batwing M; modernize typeface: precise, reliable, friendly.

The image shows the wordmark for CapMetro. The word "CapMetro" is written in a bold, blue, sans-serif typeface. The letter "M" is stylized with a distinctive batwing shape, which is a legacy element of the brand. The "C" is a simple, rounded letter, and the "ap" and "etro" are also in the same clean, modern font style. The entire wordmark is centered on the page.

Color Palette

Ownable and limited; CapMetro bus blue + punchy electric blue + white

Reserve other colors such as yellow and red for use in wayfinding and service or route IDs



Symbol

Use batwing M as universal symbol to help users connect the dots of our system.



Parking



Hospital

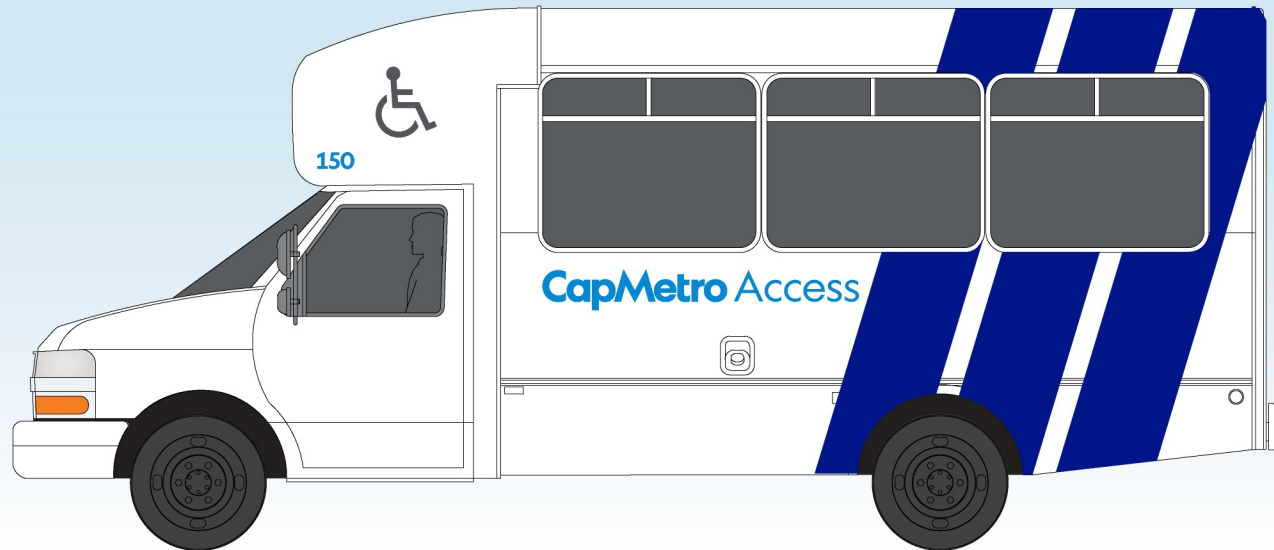
Notional Applications



App icon

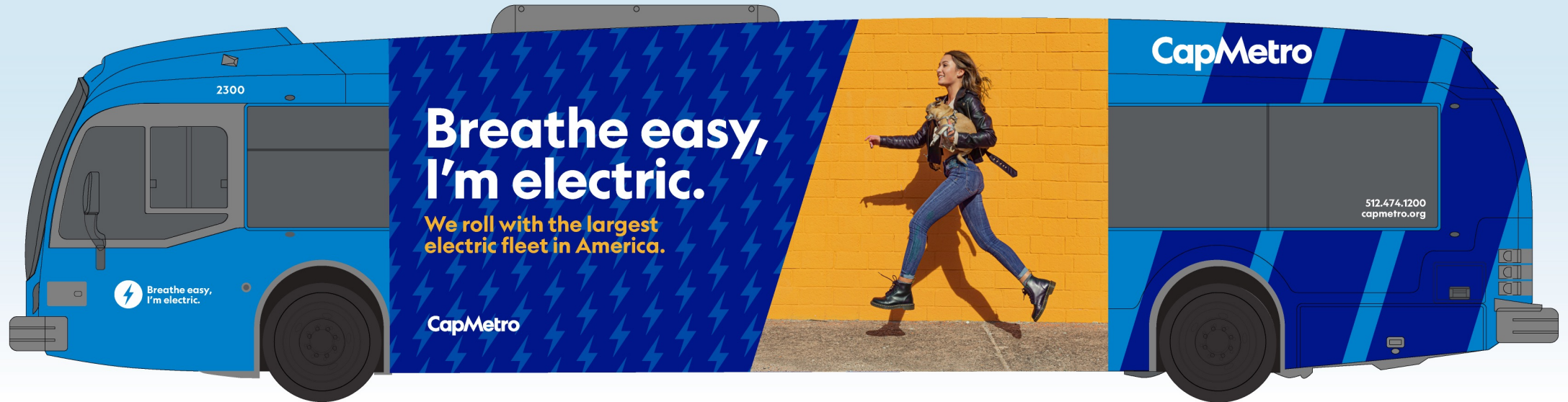


App load screen




CapMetro Access





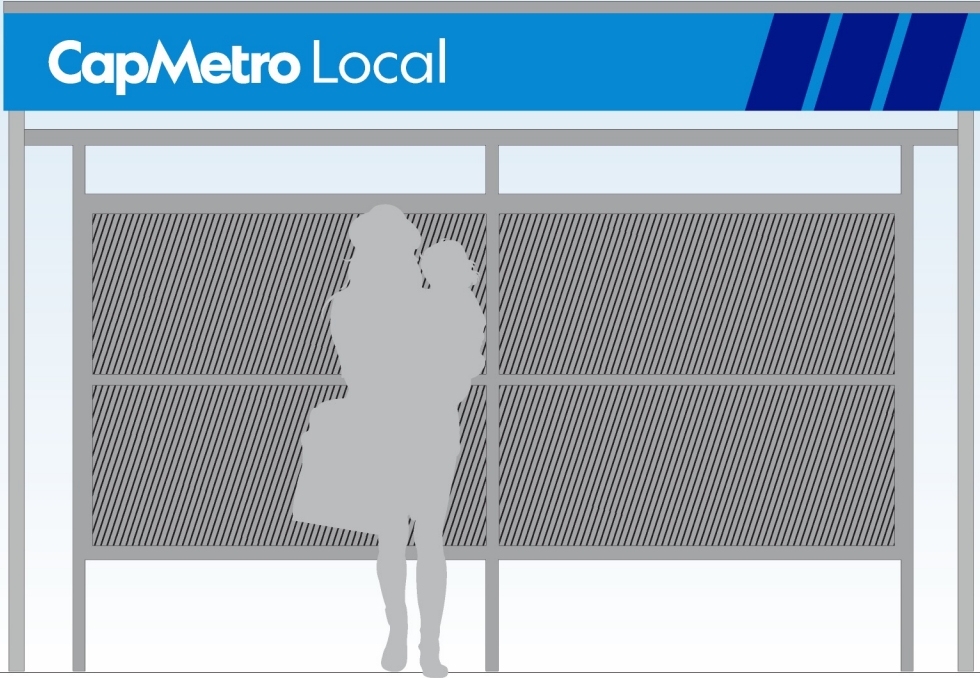
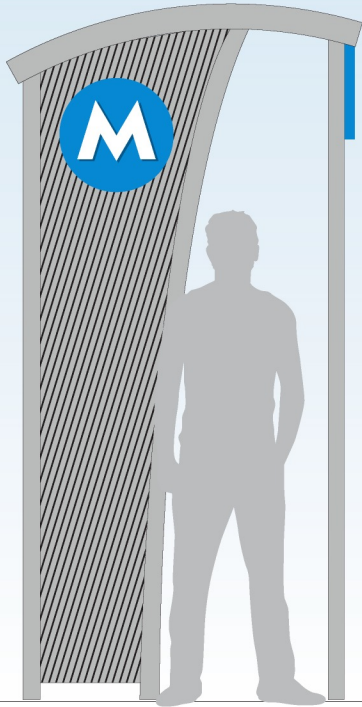
CapMetro Rapid Bus



CapMetro 

103	110	111
127	142	171
935	980	981
982	985	987
990		

© 2014 CapMetro



CapMetro Station

Next Steps

Strategic and Creative Next Steps

Meet with Access, DEI Council, and CSAC for input

Complete study of future use of color, symbols, and naming conventions through the system

Complete study of livery for all existing and known future vehicles

Complete study of signage applications for current and future use

Analyze and coordinate with Operations on timing of vehicle interoperability plan

Thank you.



Capital Metropolitan Transportation Authority

2910 East 5th Street
Austin, TX 78702

Board of Directors

Item #: AI-2021-238

Agenda Date: 10/25/2021

President & CEO Report