



Board of Directors Regular Meeting

April 22, 2021 | 10:00 a.m.

To be held by Zoom Video Conference

NOTICE IS HEREBY GIVEN that the members of the DCTA Board of Directors will be meeting via video conference using Zoom. The meeting will be made available to the public at the following web address <https://zoom.us/j/97970032573> or by joining via telephone by dialing the following number: +1 346 248 7799; Meeting ID: 979 7003 2573

CALL TO ORDER

INVOCATION

INTRODUCTIONS

PUBLIC COMMENT

This agenda item provides an opportunity for citizens to address the DCTA Board of Directors on any agenda item(s) or other matters relating to DCTA. Each speaker will be given a total of three (3) minutes to address any item(s). Anyone wishing to speak shall be courteous and cordial. Any person who wishes to address the DCTA Board of Directors regarding any item(s) may do so by utilizing the "raise hand" function of the Zoom meeting at this time. Citizens that are not able to connect virtually to the Zoom meeting must email his or her public comment to kmorris-perkins@dcta.net no later than 3:00 pm on Wednesday, April 21, 2021 to ensure the comment will be read. The Board of Directors is not permitted to take action on any subject raised by a speaker during Public Comments. However, the DCTA Board of Directors may have the item placed on a future agenda for action; refer the item to the DCTA Administration for further study or action; briefly state existing DCTA policy; or provide a brief statement of factual information in response to the inquiry.

CONSENT AGENDA

1. Consider Approval of March 10, 2021 Meeting Minutes

(packet pages 1-6)

Action Item

Backup Information: Exhibit 1: March 10, 2021 Meeting Minutes

2. Consider Approval of March 31, 2021 Joint DCTA/NTMC Special Called Meeting Minutes

(packet pages 7-9)

Action Item

Backup Information: Exhibit 1: March 31, 2021 Meeting Minutes

3. Consider Approval of April 7, 2021 Special Called Meeting Minutes

(packet pages 10-14)

Action Item

Backup Information: Exhibit 1: April 7, 2021 Meeting Minutes

4. Consider Approval of Cybersecurity Policies

(packet pages 15-49)

Action Item

Backup Information: Memo
Exhibit 1: Acceptable Use Policy
Exhibit 2: Access Management Policy
Exhibit 3: Data Protection Policy
Exhibit 4: Security Policy
Exhibit 5: Third Party Risk Management Policy

5. Consider Authorizing the CEO to Execute a Contract for Rider Alert/Email Marketing System

(packet pages 50-59)

Action Item

Backup Information: Memo
Exhibit 1: Rider Alert/Email Marketing Scope of Work
Exhibit 2: DIR-TSO-4288 Contract

6. Consider Authorizing the CEO to Execute a Contract for Brand Ambassador Services

(packet pages 60-145)

Action Item

Backup Information: Memo
Exhibit 1: Request for Proposals
Exhibit 2: PS-Stearns, Inc. Proposal

7. Consider Approval of Assignment of Ground Lease from Eastsky Hebron Phase 3 and 4 Owner LLC ("Assignor") to Eastsky Hebron Phase 3 and 4 Owner LLC; Eastsky Hebron Phase 3 and 4 Owner II LLC; and Eastsky Hebron Phase 3 and Phase 4 Owner III LLC as Tenants in Common ("Assignee")

(packet pages 146-153)

Action Item

Backup Information: Memo
Exhibit 1: Assignment of Ground Lease

REGULAR AGENDA

1. Consider Approval of Monthly Financial Statements for February and March 2021 and Quarterly Reports for Q2 FY21

(packet pages 154-189)

Action Item

Presenter: Marisa Perry, CFO/VP of Finance
Backup Information: Memo 1
Exhibit 1(a): Monthly Financial Statements – February 2021
Exhibit 1(b): Capital Projects Budget Report – February 2021
Memo 2
Exhibit 2(a): Monthly Financial Statements – March 2021
Exhibit 2(b): Capital Projects Budget Report – March 2021

Memo 3

Exhibit 3(a): Quarterly Investment Report Q2 FY21

Memo 4: Quarterly Grants Report Q2 FY21

2. Consider Authorizing CEO to Execute a Task Order with Via for Microtransit On-Demand Service Delivery
(packet pages 190-239)

Action Item

Presenters: Nicole Recker, VP Mobility Services & Administration
Via Representatives Available for Questions

Backup Information: Memo
Exhibit 1: Via Task Order for Microtransit On-Demand Service Delivery
Exhibit 2: Via Service Plan
Exhibit 3: Project Timeline

3. Review and Discuss Project Manager Officer (PMO) Progress Report
(packet pages 240-245)

Discussion Item

Presenters: Nicole Recker, VP Mobility Services & Administration
Chris Newport, Accenture

Backup Information: Memo
Exhibit 1: PMO Status Report

4. Presentation and Update Regarding Trinity Metro Partnership
(packet pages 246-262)

Discussion Item

Presenters: Raymond Suarez, CEO
Chris Newport, Accenture
Nicole Recker, VP Mobility Services & Administration

Backup Information: Memo
Exhibit 1: DCTA/Trinity Metro Partnership Overview

5. Discuss the Extension to the Interlocal Agreement (ILA) with the City of McKinney for the Provision of McKinney Urban Transit District (MUTD) Collin County Transit Services
(packet pages 263-275)

Discussion Item

Presenter: Nicole Recker, VP Mobility Services & Administration

Backup Information: Memo
Exhibit 1: Fifth Amendment to the City of McKinney ILA
Exhibit 2: Irving Holdings Task Order 3 Rev. 1

6. Discuss Potential Interlocal Agreement (ILA) with DART for the Joint Rail Operations & Maintenance Facility (JROF) and Regional Partnership Opportunities

(packet pages 276-277)

Discussion Item

Presenters: Raymond Suarez, CEO
Kristina Holcomb, Deputy CEO
Backup Information: Memo

7. Discuss Agency Title VI Program Update Process

(packet pages 278-279)

Discussion Item

Presenters: Raymond Suarez, CEO
Athena Forrester, AVP of Regulatory Compliance
Backup Information: Memo

8. Discuss Highland Village Enhanced Local Assistance Program (ELAP) Funds

(packet pages 280-300)

Discussion Item

Presenter: Dianne Costa, Highland Village Board Representative
Backup Information: Memo
Exhibit 1: ELAP Overview Executive Summary

9. Discuss and Receive an Update on Texas Motor Speedway (TMS) Shuttle

(packet page 301)

Discussion Item

Presenter: Raymond Suarez, CEO
Backup Information: Memo

10. Discuss Local & Regional Transportation Updates and Legislative Issues

(packet pages 302-303)

Discussion Item

Presenters: Chris Watts, Board Chair
Dianne Costa, Highland Village Representative
Raymond Suarez, CEO
Rick Dennis, HillCo
Lindsey Baker, Director of Government Affairs
Backup Information: Memo



INFORMATIONAL REPORTS

1. Monthly Financial Reports

(packet pages 304-314)

Backup Information: Memo 1: Monthly Sales Tax Receipts
Exhibit 1(a): FY21 Monthly Sales Tax Report
Memo 2: Monthly Mobility-as-a-Service Update
Memo 3: Budget Information
Exhibit 3(a): Year-To-Date Budget Revisions

2. Ridership Trend Report

(packet pages 315-322)

Backup Information: Memo
Exhibit 1: FY19, FY20, & FY21 Total Monthly Ridership – Rail
Exhibit 2: FY19, FY20, & FY21 Total Monthly Ridership – Bus
Exhibit 3: FY19, FY20, & FY21 Total Monthly Ridership – Access
Exhibit 4: FY19, FY20, & FY21 Total Monthly Ridership – On-Demand
Exhibit 5: A-train Ridership Pre- and During COVID-19 Comparison

3. Connect Route 3 and Route 7 Survey Data

(packet pages 323-324)

Backup Information: Memo

4. Social Service Agency Roundtable Report (March 2021)

(packet pages 325-336)

Backup Information: Exhibit 1: Social Service Agency Roundtable Report (March 2021)

5. Public Involvement Plan Progress Report

(packet pages 337-338)

Backup Information: Memo

6. Congressional Legislative Updates

(packet pages 339-340)

Backup Information: Exhibit 1: Congressional Report

7. DCTA Priority Actions Flowchart

(packet page 341)

Backup Information: Exhibit 1: Updated DCTA Priority Actions Flowchart

8. Regional Vanpool Program Modification Update

(packet pages 342-353)

Backup Information: Memo
Exhibit 1: Regional Transportation Council Presentation from April 8, 2021



FUTURE AGENDA ITEMS AND BOARD MEMBER REQUESTS

Staff will discuss proposed future agenda items. Board members may request an informational item or action item to be added to the next Board meeting agenda.

Backup Information: Exhibit 1: Board Agenda Outlook as of 4.14.2021 ([packet page 354](#))

Next Scheduled Meeting Date: May 27, 2021

REPORT ON ITEMS OF COMMUNITY INTEREST

Pursuant to Texas Government Section 551.0415, the Board of Directors may report on following items: (1) expression of thanks, congratulations, or condolences; (2) information about holiday schedules; (3) recognition of individuals; (4) reminders about upcoming DCTA and Member City events; (5) information about community events; and (6) announcements involving imminent threat to public health and safety.

CONVENE EXECUTIVE SESSION

The Board may convene the Regular Board Meeting into Closed Executive Session for the following:

- A. As Authorized by Section 551.071(2) of the Texas Government Code, the Board of Directors Meeting may be Convened into Closed Executive Session for the Purpose of Seeking Confidential Legal Advice from the General Counsel on any Agenda Item Listed Herein or the Regular Board Meeting Agenda.
- B. As Authorized by Section 551.074 of the Texas Government Code, the Board of Directors may convene into Closed Executive Session for the purpose of discussing the duties and evaluation of the Chief Executive Officer (CEO).

RECONVENE OPEN SESSION

Reconvene and Take Necessary Action on Items Discussed during Executive Session.

ADJOURN

Board Members:

Chris Watts, Denton, *Chair*
Cesar Molina, Denton County Seat 1, *Vice Chair*
Sam Burke, Denton County Seat 2, *Secretary*
Dianne Costa, Highland Village
TJ Gilmore, Lewisville

Non-Voting Board Members:

Mark Miller, Connie White, Dennie Franklin, Tom Winterburn, Joe Perez

Staff Liaison:

Raymond Suarez, CEO

This notice was posted on Friday, April 16, 2021 before 6:00pm.

Kisha Morris-Perkins, Executive Assistant/Board Process Manager

Board of Directors Meeting Minutes for: March 10, 2021

Regular Meeting Minutes

The Board of Directors of the Denton County Transportation Authority convened the Regular Meeting of the Board of Directors with Chris Watts, Chair, presiding on March 10, 2021 remotely using Zoom Meeting.

Attendance

Voting Members

Chris Watts, Chair, Denton
 Cesar Molina, Vice Chair, Denton County
 Dianne Costa, Highland Village
 TJ Gilmore, Lewisville

Non-Voting Members

Tom Winterburn, Corinth
 Dennie Franklin, Frisco
 Connie White, Small Cities
 Mark Miller, Flower Mound
 Joe Perez, The Colony

Legal Counsel

Joe Gorfida, NJDHS

DCTA Executive Staff

Raymond Suarez, CEO
 Kristina Holcomb, Deputy Chief Executive Officer
 Marisa Perry, Chief Financial Officer/Vice President of Finance
 Nicole Recker, Vice President of Mobility Services and Administration

Other DCTA Staff Attendees

Lindsey Baker, Director of Government Affairs
 Rose Jerome, Project Controls Coordinator
 Athena Forester, AVP of Regulatory Compliance/DBE Liason
 Amber Karkauskas, Controller
 Tim Palermo, Planning & Data Analytics Manager
 Adam Wells, Desktop & Application Support Specialist
 Javier Trilla, Director of Information Technology

Guest Speakers

Chris Newport, Accenture
 Jennifer Ripka, Weaver
 Kellie Shields, Trinity Metro

Public Attendees

Kristin Green, Lewisville Alternate
 Claire Powell, City of Lewisville
 Paul Stevens, Highland Village
 Brandi Bird, Bird Advocacy & Consulting
 Justin Grass, DRC
 George Cisneros
 Rachel Jenkins
 Charlotte Wilcox, Highland Village Alternate
 Pam Hill
 Brenda Valdez
 Albert Dirla, ATU 1338
 Carla Swogger
 K. Day

CALL TO ORDER – *Chair Watts called meeting to order and announced the presence of quorum at 10:04am.*

INVOCATION – *Board Member Costa led the Invocation.*

PUBLIC COMMENT – *No public comments were made or submitted.*

CONSENT AGENDA

[Lindsey Baker indicated that the packet pages listed were consistent with the PDF]

1. **Approval of January 28, 2021 Meeting Minutes** – *Minutes provided in meeting packet.*
 2. **Approval of Monthly Financial Statements for January 2021** – *The Monthly Financial Statements for January 2021 provided in the packet.*
 3. **Consider Approval of Award of Bids for Fluids, Oils and Lubricants** – *Memo, RFP and back-up information provided in meeting packet.*
- *A motion to approve Consent Agenda items 1-3 as presented was made by Board Member Costa. The motion was seconded by Vice Chair Molina. All board members voted yes with the exception of Board Member Burke who was not present at this meeting. Motion passed unanimously by the Board with no abstentions.*

REGULAR AGENDA

1. **Approval of the FY2020 Financial Statements and Supplementary Information** – *Marisa Perry, CFO gave a brief overview of the packet items and presented Jennifer Ripka, Weaver and Tidwell on DCTA Audit Results.*
Jennifer Ripka indicated the following audits were performed and unmodified: Financial Statements And Areas of Strengths. No findings, no audit adjustments and no issues with internal control. Vice Chair Molina asked a question regarding an obligation to pay \$100k to DART. Marisa Perry, CFO clarified that this was an operational agreement with DART in order for DCTA to run A-train services on land that DART owns which will run out in 2029.
 - *A Motion to approve Regular Item 1 by Vice Chair Molina. The motion was seconded by Board Member Costa. All board members voted yes. Motion passed unanimously by the Board with no abstentions.*
2. **Approval of RFP for Audit Services for FY2021-2023** – *Marisa Perry, CFO gave a brief overview of the packet items. DCTA received a total of 7 proposals for new audit services. Staff is recommending Plante Moran; their proposal will bring them for an initial 3 years. They offer a robust technology offering, and additional resources in technology that will make audits more efficient and save the staff time in the end.*
 - *Board Member Costa indicated that she had no questions but wanted to thank staff for considering a new audit service to overall help the company. Board Member Costa moved approval. The motion was seconded by Vice Chair Molina. All board members voted yes. Motion passed unanimously by the Board with no abstentions.*

[Chair Watts briefly left the meeting at 10:20am. Vice Chair Molina stepped in as his alternate]
[Chair Watts returned to the meeting at 10:22am]



3. **Approval of Interlocal Agreement with DART for Cooperative Procurements** – *Nicole Recker, VP Mobility Services & Administration gave a brief overview on entering into an ILA with DART. Approval of this ILA with DART and DCTA is to utilize each other's procurement agreements of light goods and services to avoid duplicate procurement efforts and obtain volume pricing. There would be no financial impact but would offer cooperative purchasing.*
 - *Chair Watts asked if this was the same as cities asking other municipalities if they were able to purchase something cheaper, would they be able to use their vendors. Answer was yes. No other questions.*
 - *A Motion to approve Regular Item 3 by Board Member Gilmore. The motion was seconded by Board Member Costa. All board members voted yes. Motion passed unanimously by the Board with no abstentions.*

4. **Approval of Kittelson Task Order for Public Involvement Plan Services** – *Nicole Recker, VP Mobility Services & Administration gave a brief overview bringing in Kittelson for Public Involvement. The transition from Fixed Route to OnDemand service, FTA will play a major role and staff realized that they will need assistance from Kittelson. Board Members recommended that they be kept updated with any information regarding this task on a monthly basis.*
 - *Board Member Gilmore asked 2 questions: Access Services & Non-ADA users.*
 - *Chair Watts asked that the Board would like to be kept informed of any information regarding actions taken by DCTA and Kittelson on a monthly basis.*
 - *A Motion to approve Regular Item 4 by Board Member Gilmore. The motion was seconded by Board Member Costa. All board members voted yes. Motion passed unanimously by the Board with no abstentions.*

5. **Discuss Joint DCTA/DART Rail O&M Facility** – *Kristina Holcomb, Deputy CEO provide an update with DCTA/DART Joint Operations and a future ILA. The primary focus at this time is Phase 1 which would build a temporary facility at Rail OMF to accept DART Stadler vehicles. This would be for 3-5 years with the completion build of this temporary facility by mid-2022. Phase 2 is the Expansion of Rail Maintenance building and then later establish an ILA with DART.*
 - *Chair Watts indicated he would like to see any updates/discussions as soon as possible before the April Board meeting. Chair Watts would also like to see some information on building Class 4 track upgrade instead of Class 2 which is current.*
 - *Board Member Costa asked if it would be beneficial to bring in NCTCOG.*
 - *Board Member Gilmore spoke of discussions with the Silver Line at Carrollton.*
 - *Chair Watts indicated if there were any future discussions regarding Rail OMF, then he would like to discuss any other involvement with DART and future possibilities in expansion services with DART and DCTA.*
 - *Discussion only. No action taken.*



6. **Discuss and Provide Staff Direction Regarding the Status of DCTA and Trinity Metro's Partnership for Joint Bus Operations & Maintenance** – *Nicole Recker, VP of Mobility Services & Administration gave a brief overview on this topic. Staff will continue to give monthly updates with the possible ILA with Trinity Metro and Via. Staff is looking at all the different option and these will not interfere with the monthly updates already given. Raymond Suarez, CEO gave a brief overview of the possible ILA with Trinity Metro. Board members Gilmore and Costa asked questions and are in agreement with moving forward. Chair Watts indicated that he spoke with Trinity Metro Chair and they had an informative conversation which brought clarity to any questions previously discussed.*

- *Discussion only. No action taken.*

7. **Review and Discuss MaaS Service Plan Update and Considerations** – *Nicole Recker, VP Mobility Services & Administration gave a brief overview of this topic. Exceptional progress being completed. All 3 of the city member roundtables, VIA is working on feedback & Accenture is compiling all feedback. The Special Called Meeting on April 7th is solely centered around this MaaS plan. We will also be bringing back the Fare Policy to the Board. DCTA is meeting with Via Fare Structure Team and bringing back recommendations. Official launch date is September 6, 2021. Note: pages 351-352, this is a list that Staff has compiled to date. Staff will continue to provide this report to Board monthly.*

- *Discussion only. No action taken.*

[Board Chair Watts made a motion to recess the meeting for short break at 12:06 p.m. The time of recess expired, and the meeting resumed at 12:26 p.m.]

8. **Review and Discuss Project Manager Office (PMO) Progress Report** – *Nicole Recker, VP Mobility Services & Administration introduced Chris Newport to discuss this status report. Chris Newport, Accenture reiterated on Task Order #2 – which facilitates the Member Cities Roundtables. Accenture met up with Trinity Metro and gathered information for ERP Replacement Project. Unfortunately, the Winter Storm disrupted the project timeline with Accenture and DCTA. Chris Newport reviewed the refined Complete Initiative Prioritization which was divided into Prioritized Initiatives and Subsequent Initiatives.*

- *Board Member Gilmore had a question/concern regarding GoPass*
- *No other questions.*
- *Discussion only. No action taken.*

9. **Discuss Potential 35W Corridor High Intensity Bus Service** – *Kristina Holcomb, Deputy CEO had a meeting with Council of Governments and the High Intensity Bus Service was discussed. This Board has not had a lot of discussion regarding this topic for a couple of years. DCTA is not going to start looking at this topic for another 3-5 years. Council of Governments is wanting to concentrate on Trinity Metro portion first.*

- *No questions*
- *Discussion only. No action taken.*

10. **Discuss Board Member Cybersecurity Training** – *Kristina Holcomb, Deputy CEO turned over this topic to Javier Trilla, Director of Information Technology. Staff and Board are both required to take the Cybersecurity Training per the House Bill 3834 and the completion of the video and filling out the form is due by May 2021.*

- *No questions.*
- *Discussion only. No action taken.*



11. **Staff Briefing on Recent Inclement Weather Response and Recovery** - *Kristina Holcomb, Deputy CEO presented a brief update on the Winter Storm 2021 impact. On Ridership, there were no UNT buses or A-train service. Lewisville/Denton, Access Services both ran on Saturday Schedules. Bus Operations: had tire chains on buses and were under a Boil Order. Lewisville Dispatch was relocated due to damage at Rail OMF. And they also had to re-fuel at retail locations due to power outage at Rail OMF. Rail OMF sustained significant damage. Partnerships with member cities and counties: bus trips to warming centers with the Free Fare program.*
 - *Discussion only. No action taken.*
12. **Discuss Local & Regional Transportation Updates and Legislative Issues** – *Updates were given by Board Member Costa and Raymond Suarez, CEO.*

INFORMATIONAL REPORTS

1. **Monthly Financial Reports**
 - *No questions.*
2. **Ridership Trend Report**
 - *No questions.*
3. **Upcoming Brand Ambassador Services**
 - *No questions.*
4. **Community Advisory Committee Meeting Recap Report (Jan 2021)**
 - *No questions.*
5. **State & Congressional Legislative Updates**
 - *No questions.*
6. **Rider Alert/Email Marketing System RFP**
 - *No questions.*
7. **DCTA Priority Actions Flowchart**
 - *Chair Watts had a question regarding NTMC negotiations with Union.*
 - *Joe Gorfida, Legal will provide a legal memo to the Board regarding these details.*

FUTURE AGENDA ITEMS AND BOARD MEMBER REQUESTS

- *Staff and Board will have a Special Called Meeting on April 7, 2021 10-12 p.m.*
- *Marisa Perry, CFO indicated that there is one proposed additional budget meeting on the calendar that might be held in June. All other meetings are the same dates and times.*

REPORT ON ITEMS OF COMMUNITY INTEREST

- *Board Member Costa asked the if she could send some information regarding a trust set up for Brandy Pedron's son to the NTMC Board and DCTA Board members.*

CONVENE EXECUTIVE SESSION



DENTON COUNTY
TRANSPORTATION
AUTHORITY

1955 Lakeway Drive, #260, Lewisville, Texas 75057
972.221.4600 | RideDCTA.net

- *The Board did not convene into executive session.*

RECONVENE OPEN SESSION

- *The Board did not convene into executive session.*

ADJOURN

- *Motion to adjourn the meeting was made and the meeting was adjourned at 1:20 p.m.*

Chris Watts, Chair

ATTEST

Sam Burke, Secretary

Joint Board of Directors Special Called Meeting Minutes for March 31, 2021 Regular Meeting Minutes

The Joint Board of Directors of the Denton County Transportation Authority convened the Joint Meeting of the Board of Directors with Chris Watts, DCTA Chair and Dean Ueckert, NTMC Chair presiding on March 31, 2021 remotely using Zoom.

Attendance

<p>Voting Members Chris Watts, Chair Denton Dianne Costa, Highland Village TJ Gilmore, Lewisville Jody Gonzales, Denton County Appointee Alternate Paul Cristina, Denton County Appointee Alternate</p> <p>Non-Voting Members Dennie Franklin Connie White</p> <p>NTMC Board Dean Ueckert, Chair Richard Hayes, Vice Chair Don Combs, Member Sara Hensley, Member Raymond Suarez, Member</p> <p>Legal Counsel Joe Gorfida, NJDHS</p> <p>DCTA Executive Staff Raymond Suarez, CEO Kristina Holcomb, Deputy Chief Executive Office Marisa Perry, Chief Financial Officer/ Vice President of Finance Nicole Recker, Vice President of Mobility Services and Administration</p> <p>DCTA Staff Attendees Lindsey Baker, Director of Government Affairs Rose Jerome, Project Controls Coordinator Rusty Comer, Manager of Bus Administration Amanda Riddle, Senior Manager of Budget</p>	<p>Public Attendees John Hendrickson Robert Garza Carla Swogger Claire Powell Brandi Bird Mayor Charlotte Wilcox, Highland Village Alternate Paula Richardson Paul Stevens Council Member Kristin Green, Lewisville Alternate</p>
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CALL TO ORDER – Chair Watts called meeting to order and announced presence of quorum at 9:32a.m.

CALL TO ORDER – Chair Ueckert announced all NTMC attendees and presence of quorum

INVOCATION – *Chair Watts led the invocation*

PUBLIC COMMENT – *Public comment read by Chair Watts from Jim Owen*

JOINT MEETING REGULAR AGENDA

1. Hold a discussion regarding NTMC providing continued service to DCTA pursuant to the “Interlocal Agreement for Mobility Service Operations” and receive an update from DCTA regarding future mobility services.
 - *Chair Watts lead the discussion and asked Joe Gorfida, Counsel for direction of ongoing future with NTMC if this needs to be public or closed session.*
 - *Joe Gorfida, Counsel indicated public.*
 - *Chair Ueckert asked Chair Watts if DCTA can give an update or have discussion in closed session.*
 - *Chair Watts said that Board is awaiting data from VIA to make final decision within next 2-3 months. We will keep NTMC posted and updated.*
 - *Raymond Suarez, CEO indicated that there are talks still with Trinity Metro and will likely be months before any type of negotiations.*
 - *Chair Watts asked what are we exactly negotiating with Trinity Metro and what are the issues.*
 - *Raymond Suarez, CEO-letter of intent; run service for majority of routes; post implementation of MaaS contract. 1 – Turnkey ILA agreement to operate our buses. 2 – Joint procurement of materials.*
 - *Chair Watts-what can we expect to come to basic terms for Boards.*
 - *Raymond Suarez, CEO-within next 90 days for both boards to get terms worked out. He also clarified the response from Trinity Metro could be months or even at the end of this year.*
 - *Chair Ueckert-to move item forward to get some type of resolution. He agreed that it could be up to a year before we make an affirmative decision and agreement on both boards.*

CONVENE EXECUTIVE SESSION

- *The Board convened into executive session at 10:15 a.m. for the following:*
 As Authorized by Section 551.071(2) of the Texas Government Code, the Board of Directors Meeting may be Convened into Closed Executive Session for the Purpose of Seeking Confidential Legal Advice from the General Counsel on any Agenda Item Listed Herein or the Regular Board Meeting Agenda

Attendees in Closed Session: DCTA Chair Chris Watts, DCTA Director Dianne Costa, DCTA Director TJ Gilmore, DCTA Alternate Paul Cristina, DCTA Alternate Jody Gonzalez, DCTA Alternate Kristin Green, DCTA Alternate Charlotte Wilcox, NTMC Chair Dean Ueckert, Vice Chair Hayes, Don Combs, Director Sara Hensley, Director Raymond Suarez, NTMC President & DCTA Deputy CEO Kristina Holcomb, NTMC Vice President & DCTA Vice President of Mobility Services & Administration Nicole Recker, NTMC Treasurer & DCTA CFO Marisa Perry, NTMC & DCTA Legal Counsel Joe Gorfida, HTG Rep, John Hendrickson. Paul Cristina departed Executive Session and Board meeting at 10:30 a.m. NTMC Board Officers, DCTA Staff, and John Hendrickson departed the Executive Session at 10:32 a.m., with the DCTA and NTMC Board of Directors remaining in Executive Session with no action taken.

RECONVENE OPEN SESSION

- *The Board reconvened into open session at 10:48 a.m.*

2. Hold a discussion and receive an update from NTMC related to the collective bargaining process and the NTMC General Manager position and request direction from DCTA on matters impacting DCTA budget for funding to NTMC for Mobility Services.

- *Chair Watts passed opening to Chair Ueckert to give overview of Agenda Item #2.*
- *Chair Ueckert indicated that they have had a 9-month contract with Hendrickson which expired as of 03/31/21. Hendrickson will present new proposal in order to keep continuity of bus contract with management. Consensus of the Board was to take that offer from Mr. Hendrickson to DCTA to see if that was able to be funded.*
- *John Hendrickson indicated that RJ Garza has been reassigned to another project. As a result, Hendrickson would like to propose a General Manager and Assistant General Manager position for a one-year term with buy-out clause if terminated early. John Hendrickson indicated he would see what could be done to retain Garza's services for NTMC.*
- *Chair Ueckert indicated how well Hendrickson group has been doing. RJ Garza (GM) would be continuing this current role 65-75% of time in house and remotely 25%. Assistant GM would be on site after training, 100%.*
- *Chair Watts what was the cost of the last contract with Hendrickson? Would like to get a bottom-line delta of new contract vs. old contract.*
- *Marisa Perry, Treasurer NTMC indicated that it would be an additional \$16k but it can be accommodated with the NTMC budget not costing DCTA Board for the extra budget.*
- **COLLECTIVE BARGAINING AGREEMENT TO NOW BE DISCUSSED**
- *Chair Ueckert introduced John Hendrickson for his presentation.*
- *John Hendrickson indicated that negotiations were from March 23-25, 2021. On March 25 they were able to come to an agreement. Removal of all seasonal employees, now either Full-time or Part-time employees. Pay increases: FY21 – 3%, FY22 – 4%, FY23 – 3%. 401k – 3% match for operators that participate. Holidays – 1 floating holiday per year. Overall: \$270k average per year.*
- *Chair Watts asked what is the delta?*
- *Marisa Perry, Treasurer FY21 no additional budget amendment.*
- *Joe Gorfida, Counsel explained Buy Out Clause – 90-day notice in contract.*
- *Chair Watts asked if DCTA Board needs to see final terms and costs before the final agreement.*
- *Joe Gorfida, Counsel indicated not at this time. DCTA holds control since they have the funds.*

ADJOURN DCTA BOARD OF DIRECTORS MEETING AND CONTINUATION OF NTMC BOARD OF DIRECTORS MEETING

- *Chair Watts adjourned the DCTA Board of Directors meeting at 12:12 p.m.*

ATTEST

Chris Watts, Chair

Sam Burke, Secretary



Board of Directors Special Called Meeting Minutes for April 7, 2021

Special Called Meeting Minutes

The Board of Directors of the Denton County Transportation Authority convened the Special Called Meeting of the Board of Directors with Chris Watts, Chair presiding on April 7, 2021 remotely using Zoom Meeting.

<p>Voting Members Chris Watts, Chair, Denton Cesar Molina, Vice Chair, Denton County Sam Burke, Secretary, Denton County TJ Gilmore, Lewisville Mayor Charlotte Wilcox, Highland Village Alternate</p> <p>Non-Voting Members Dennie Franklin, Frisco Connie White, Small Cities Joe Perez, The Colony</p> <p>Legal Counsel Joe Gorfida, NJDHS</p> <p>DCTA Executive Staff Raymond Suarez, CEO Kristina Holcomb, Deputy Chief Executive Officer Marisa Perry, Chief Financial Officer/Vice President of Finance Nicole Recker, Vice President of Mobility Services and Administration</p> <p>Other DCTA Staff Attendees Lindsey Baker, Director of Government Affairs Rose Jerome, Project Controls Coordinator Kisha Perkins, Executive Assistant/Board Process Manager Rusty Comer, Manager of Bus Administration Whitney Trayler, Grants Manager Amanda Riddle, Senior Manager of Budget Kayla Laird, Communications Coordinator Sarah Hulquist, Mobility Service Coordinator Mary Worthington, Community Relations Manager Adrienne Hamilton, Senior Manager of Marketing & Communications Tim Palermo, Planning & Data Analytics Manager Guadalupe Acosta, Marketing Coordinator Athena Forester, Assistant Vice President of Regulatory Compliance/DBE Liaison</p>	<p>Guest Speakers Kaila Santiago, Via Laney Cloud, Via Alex Lavoie, Via Chris Newport, Accenture</p> <p>Public Attendees Kristin Green, Lewisville Alternate Brandi Bird, Bird Advocacy & Consulting RJ Garza, NTMC Louise Francois, NTMC Paul Stevens, Highland Village Claire Powell, City of Lewisville James Callison, Accenture Carla Swagger Victoria McBeth Gibrah Hadj-Chikh, Kittleson Yolanda Takesian, Kittleson Eva Greco Victoria Allen</p>
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CALL TO ORDER - *Chair Watts called the meeting to order and announced the presence of a quorum at 10:01 a.m.*

INVOCATION - *Chair Watts led the invocation with a moment of silence.*



INTRODUCTION OF SPECIAL GUESTS – *Kisha Morris-Perkins, Executive Assistant/Board Process Manager*

PUBLIC COMMENT

- *Public comment was sent in by Eric Pruett, "I'd like to voice my support for phase 1, supplemental 5: bike racks on at least some vehicles so the capability to carry bicycles which we currently have on busses is retained. I do have broader concerns about whether DCTA is coordinating effectively with member cities to combine land use and transit policy to serve a broader group of riders than is currently served and help those cities accomplish their long-range plans. This proposal seems to trade potential bus efficiency which goes unrealized due to member cities' land use policies for a broader service area and reduced wait times. I worry that higher marginal costs disincentivize ridership growth due to lower efficiency, but I also see how efficient frequent transit is not economical with the current land use policies of member cities. I look forward to participating in the public feedback sessions on this proposal, and thank the board for your efforts"*

REGULAR AGENDA

1. **Presentation, Discuss, and Consider Via's Proposal #4**

- *Nicole Recker, Vice President of Mobility Services and Administration gave a brief overview of Via's upcoming proposal. A copy of the proposal is in today's packet. Via's packet showcases 2 different cost models. (1) Mixed fleet-9 Airbocs (2) Singular Fleet with Avis. DCTA Staff is recommending a Singular Fleet model due to licensing requirements and minimal cost difference. This aligns with Via's path forward. Via did make some additional changes and will make note during the presentation.*
- *Laney Cloud, Via – made introduction of the team. Laney Cloud is over Central Region. Kaila Santiago, Director of Service. Alex Lavoie, Global Head of Operations.*
- *Laney Cloud, Via gave a brief overview of proposal #4-which includes the following summary. Phase 2-Basic Service; Phase 1-Add-ons; Phase 2-Add-ons*
- *Review revised proposal including new base & add-on options*
- *Confirm specific add-ons the Board would like to include in Phase 1 & 2; Answer any & all questions.*

Upfront Hard Costs

- *Bike racks on each vehicle (currently estimated at 28 vehicles)*
- *Retrofit portion of fleet as WAV*
- *Full fleet wrapped*

Phase I: Estimated launch of September 7, 2021

- **Base Service** – Denton Zone and Lewisville/Highland Village Zone
- **Sunday and Holiday Service** – operating Sundays from 8 a.m. – 6 p.m. (BENEFIT) and operating on up to 10 holidays (BENEFIT – DCTA doesn't operate on six holidays currently)
- **Sunday A-train Replacement** – provides A-train corridor connectivity on Sundays when the A-train isn't running; travel allowed between zones or from a zone to the Trinity Mills Station (BENEFIT)
- **Saturday Service Hours Extension** – extending Saturday hours in zones to 11 p.m. (instead of 8 p.m.) (BENEFIT)
- **Business 121 North Zone Expansion** – this is a two-part zone along Business 121; passengers would be able to travel between these two zones and the Lewisville/Highland Village Zone (BENEFIT); Via is revising this zone based on board feedback
- **Frankford Station (DART) to the Lewisville/Highland Village Zone / Option 2** – this would allow travel between the Frankford Station and the Lewisville/Highland Village Zone during zone hours
 - o *This will help those who need to get to work in the Lewisville/Highland Village Zone but can't take the A-train because the frequency doesn't match their need (BENEFIT)*
 - o *This is a temporary zone as the board wants staff to find ways to better the A-train frequency and encourage A-train ridership*

- **To/From Trinity Mills Station** – this service will operate from the end of zone service for three hours and is similar to a “guaranteed ride home”; the service is available from the Trinity Mills Station to either one of the zones for one stop/destination only (BENEFIT)

Pending Board Confirmation for Phase I

- **Start Time of Service** – Via is currently exploring cost to start service in all zones at 5 a.m.
- **Denia Neighborhood Expansion (NEW MAP COMING)** – Via is currently revising the existing zone to see if the enlarged zone can be accommodated with the one extra vehicle needed
- **Business 121 North Zone Expansion (NEW MAP COMING)** – Via is currently revising the existing zone and has confirmed that the expansion can be accommodated within the existing vehicle/price structure

Phase 2A: Estimated launch of January 2022

- **Castle Hills Zone Expansion** – this aligns with the Castle Hills annexation scheduled for December 2021; Via is currently revising the existing zone to see if the enlarged zone can be accommodated with the number of vehicles currently assigned to this zone
- **Access service** – staff still needs to work with Via to determine what the plan would look like and cost

Phase 2B: Estimated launch of May 2022

- **Weekday Late-Night Service Hours Extension** – this would add three additional hours of service, seven days a week, for the zones; Via recommends waiting until summer 2022 to ensure the impacts of COVID have scaled down which would increase in more people needing late-night service

Not Launching

- **Frankford Station (DART) to the Lewisville/Highland Village Zone / Option 1** – the board opted to move forward with Option 2 which has extended service hours

Operating Days/Hours Based on Phase I

Board request pending to look further into an earlier start at 5 a.m. across all zones

- Monday – Thursday from 6 a.m. – 10 p.m.
- Friday from 6 a.m. – 11 p.m.
- Saturday from 8 a.m. – 11 p.m.
- Sunday from 8 a.m. – 6 p.m.
- This service is operated 365 days of the year

{Board Chair Watts made a motion to recess the meeting for short break at 11:33 a.m. The time of recess expired, and the meeting resumed at 11:48 a.m.}

2. Receive a Presentation and Discuss a Task Order with Via for Microtransit On-Demand Service Delivery

- Nicole Recker, Vice President of Mobility and Service Administration recapped and confirmed that DCTA is bringing back Task Order to the April 22nd Board meeting for consideration. This contains the following: 1-Approval of Proposal #4-both service and cost. 2-Agreement on timeframe. 3-Fleet mixed – Singular Fleet. 4-Proposed service name “GoZone”.
- No Comments. No Action taken.

3. Consider Proposed Promotional Fare for Microtransit On-Demand Service

- Kristina Holcomb, Deputy CEO presented the need of a smooth transition from Fixed Route Service to the New Service Route. DCTA is recommending a Proposed Promotional Fare along with customer feedback during this promotion. Initially it would be a 6-month promotional fare with Phase 2 with an additional 6-month promotional fare.

- Chair Watts asked if this was a discussion item or action item.
- Joe Gorfida, Counsel clarified that this was an action item.
- Board Member Gilmore asked if the local fare was at 75 cents; would we leave it or eliminate it in the promotion.
- Kristina Holcomb, Deputy CEO reiterated that we would leave fare media exactly as-is, but the customer would get Via credits with fare purchase.
- A motion to approve Regular Item 3 as presented by Secretary Burke with the change on Day Pass to include 4 single ride credits. The motion was seconded by Vice Chair Molina. The vote passed unanimously with the caveat that Board Member Gilmore's vote includes a note that he does not have enough information at this time.

4. Presentation and Discussion of Potential Revenue Impacts

- Marisa Perry, CFO presented high level estimates for Passenger Revenue: 1-Current budgeted fare/rider: \$0.86. 2-Estimated fare/rider with Via service: \$0.75. 3-Decrease of \$36k on FY21 budgeted ridership.
- Contract Service Revenue with UNT. April 22nd meeting will be presenting a preliminary report on Routes 3 & 7. UNT vs. Non-UNT riders.
- Federal Grant Funding: Formula funding is reduced if vehicle revenue miles are reduced. 4 Tiers of Formula Funding. 1-Service Area Funding: Population and square miles of Urbanized Area. 2-Vehicle Revenue Mile: Revenue Miles operated. 3-Incentive Funding: Number of passenger miles traveled multiplied by the number of passenger miles traveled per dollar of operating cost. 4-Directional Mile Funding: Miles of rail fixed guideway.
- All Operating data from FY2019 National Transit Database which should be in place for the next 2 years due to Covid-19.
- Secretary Burke asked if the last 2 slides were worst case scenarios
- Marisa Perry, CFO agreed that these were the case.
- No other comments or questions. Discussion only. No action taken.

FUTURE AGENDA ITEMS AND BOARD MEMBER REQUESTS

Backup Information: Next Scheduled Meeting Date: April 22, 2021

- Secretary Burke asked that an analysis of overall impact; 2-3 realistic scenarios be given at this next meeting.

REPORT ON ITEMS OF COMMUNITY INTEREST

- Nothing from DCTA staff or Board Members.

CONVENE EXECUTIVE SESSION

- The Board did not convene into executive session.

RECONVENE OPEN SESSION

- The Board did not convene into executive session.

ADJOURN – The meeting was adjourned at 12:02 p.m.



Chris Watts, Chair

ATTEST

Sam Burke, Secretary



Board of Directors Memo

April 22, 2021

SUBJECT: Consider Approval of Cybersecurity Policies

Background

DCTA conducted a cybersecurity assessment in August 2020. At the conclusion of the audit, DCTA was provided with a list of recommended actions, which included the development and implementation of cybersecurity policies and guidelines to protect our agency from threats. Optiv, our cybersecurity partner, along with input from technology and executive staff, has created the policies included in the exhibit which contain an overarching agency security policy and several supporting policies outlined within the security policy. These policies are based upon the NIST (National Institute of Standards and Technologies) Framework, commonly followed by many government entities. Approval and implementation of these policies brings DCTA in line with the NIST Framework it is working to achieve.

Previous Board Activity & Action

October 22, 2020 Board Executive Closed Session was held to provide an overview of the cybersecurity assessment results and recommendations.

March 10, 2021 Board member cybersecurity training discussion

Identified Need

Development of cybersecurity policies based on findings from 2020 cybersecurity assessment. The follow up to policy approval is a gap analysis between policies and the August 2020 assessment.

Financial Impact

Policy development was funded from existing Information Technology operating budget. Implementation of these policies will not have any additional impact on Agency budget.

Recommendation

Staff recommends board approval of cybersecurity policies found in Exhibits 1-5

Exhibits

- Exhibit 1: Acceptable Use Policy
- Exhibit 2: Access Management Policy
- Exhibit 3: Data Protection Policy
- Exhibit 4: Security Policy
- Exhibit 5: Third Party Risk Management Policy

Submitted By: 
Javier Trilla, Director of Information Technology

Approval: 
Kristina Holcomb, Deputy CEO

Information Technology Acceptable Use Policy

1. Overview

DCTA's intentions for publishing an **Acceptable Use Policy** are to enhance DCTA's established culture of openness, trust and integrity are not to impose restrictions that are contrary to these principles. DCTA is committed to protecting DCTA's employees, partners and the company from illegal or damaging actions by individuals, either knowingly or unknowingly.

Effective information security is a team effort involving the participation and support of every DCTA employee and affiliate who interacts with information and/or information systems. Every user is responsible to know, and put into practice, the policies that govern DCTA's information and/or information systems.

Unacceptable use of information or information systems exposes DCTA to risks including virus attacks, compromise of network systems and services, and legal issues; therefore, this policy is in place to protect the employees and DCTA.

Furthermore, the value of DCTA's information and information systems increases as DCTA allows widespread and appropriate use; and its value is diminished through misuse or unnecessary restrictions to its access. Therefore, proper use of DCTA's information and information systems help improve how DCTA delivers services to the public.

2. Purpose

The general intention of this policy is to outline the acceptable use of information and information systems at DCTA.

3. Scope

This policy applies to the use of information, electronic and computing devices, and network resources to conduct DCTA business or interact with internal networks and business systems, whether owned or leased by DCTA, the employee, or a third party. All employees, board members, contractors, consultants, temporary, and other workers at DCTA and its subsidiaries are responsible for exercising good judgment regarding appropriate use of information, electronic devices, and network resources in accordance with DCTA policies and standards, and local laws and regulation. Exceptions to this policy are documented in section 6.2

This policy applies to employees, contractors, consultants, temporaries, and other workers at DCTA, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by DCTA.

4. Information Security Objectives and Requirements

4.1 Adequate Protection

4.1.1 The overarching information security objective for DCTA is that:

DCTA shall provide adequate¹ protection for the confidentiality², integrity³, and availability⁴, of all DCTA information, software, networks, systems and business assets which rely on information technology, to all authorized employees of DCTA and any stakeholders with a vested interest in the DCTA mission.

4.1.2 This overarching security objective, along with the security requirements that follow below form the Acceptable Use Policy for DCTA.

4.2 General Use and Ownership

4.2.1 DCTA proprietary information stored on electronic and computing devices whether owned or leased by DCTA, the employee or a third party, remains the sole property of DCTA.

4.2.2 Employees may access, use or share DCTA proprietary information only to the extent it is authorized and necessary to fulfill your assigned job duties.

4.2.3 Employees are responsible for exercising good judgment regarding the reasonableness of personal use. Individual departments are responsible for creating guidelines concerning personal use of Internet/Intranet/Extranet systems. In the absence of such policies, employees should be guided by departmental policies on personal use, and if there is any uncertainty, employees should consult their supervisor or manager.

4.3 Security and Proprietary Information

4.3.1 All mobile and computing devices that connect to the internal network must comply with this Acceptable Use Policy and are subject to removal from the network at any time.

4.3.2 System level and user level passwords must comply with the Password Policy (**see separate document**). Providing access to another individual, either deliberately or through failure to secure its access, is prohibited.

- Employees are accountable for all activities associated with their user ID and password (credentials)

¹ Adequate protection means implementing safeguards that have been derived by a proper risk assessment and have been accepted by DCTA as commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.

² Confidentiality means ensuring that information is accessible only to employees authorized to have access to it.

³ Integrity means safeguarding the accuracy and completeness of information and information processing methods.

⁴ Availability means ensuring that authorized users have access to information and information systems in a timely manner, when they are needed.

- Employees must change their password if they suspect a compromise (for example, shoulder surfing⁵, phishing⁶)
- Users must keep their passwords secure and confidential. Sharing credentials is prohibited.
- Employees are prohibited from attempting to circumvent authentication and/or security of any computer, host, network, or application account

4.3.3 Employees must lock the screen of your workstation or log off when the device is unattended.

4.3.4 Employees must use extreme caution when opening email attachments received from unknown senders, which may contain malware.

5. Acceptable Use

The following activities are, in general, prohibited. Employees may be exempted from these restrictions during the course of their legitimate job responsibilities (e.g., systems administration staff may have a need to disable the network access of a host if that host is disrupting production services).

Under no circumstances is an employee of DCTA authorized to engage in any activity that is illegal under local, state, federal or international law while utilizing DCTA-owned resources.

The lists below are by no means exhaustive but attempt to provide a framework for activities which fall into the category of unacceptable use.

5.1 Prohibited System and Network Activities

- 5.1.1 Violations of the rights of any person or company protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the installation or distribution of “pirated” or other software products that are not appropriately licensed for use by DCTA.
- 5.1.2 Unauthorized copying of copyrighted material including, but not limited to, digitization and distribution of photographs from magazines, books or other copyrighted sources, copyrighted music, and the installation of any copyrighted software for which DCTA or the end user does not have an active license is strictly prohibited.
- 5.1.3 Accessing data, a server or an account for any purpose other than conducting DCTA business, even if you have authorized access, is prohibited.

⁵ Shoulder surfing is used to obtain information such as personal identification numbers, passwords and other confidential data by looking over the victim's shoulder, either from keystrokes on a device or sensitive information being spoken and heard, also known as eavesdropping

⁶ Phishing is the use of e-mails that appear to originate from a trusted source to trick a user into entering valid credentials at a fake website. Typically, the e-mail and the web site looks like they are part of a bank the user is doing business with.

- 5.1.4 Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws, is illegal. The appropriate management should be consulted prior to export of any material that is in question.
- 5.1.5 Introduction of malicious programs into the network or server (e.g., viruses, worms, Trojan horses, email bombs, etc.).
- 5.1.6 Revealing your account password to others or allowing use of your account by others. This includes family and other household members when work is being done at home.
- 5.1.7 Using a DCTA computing asset to actively engage in procuring or transmitting material that is in violation of sexual harassment or hostile workplace laws in the user's local jurisdiction.
- 5.1.8 Making fraudulent offers of products, items, or services origination from any DCTA account.
- 5.1.9 Making statements about warranty, expressly or implied, unless it is a part of normal job duties.
- 5.1.10 Effecting security breaches or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which the employee is not an intended recipient or logging into a server or account that the employee is not expressly authorized to access, unless these duties are within the scope of regular duties. For purposes of this section, "disruption" includes, but is not limited to, network sniffing, pinged floods, packet spoofing, denial of service, and forged routing information for malicious purposes.
- 5.1.11 Port scanning or security scanning is expressly prohibited unless prior notification to DCTA is made.
- 5.1.12 Executing any form of network monitoring which will intercept data not intended for the employee's host, unless this activity is a part of the employee's normal job/duty.
- 5.1.13 Circumventing user authentication or security of any host, network or account.
- 5.1.14 Introducing honeypots, honeynets, or similar technology on the DCTA network.
- 5.1.15 Interfering with or denying service to any user other than the employee's host (for example, denial of service attack).
- 5.1.16 Using any program/script/command, or sending messages of any kind, with the intent to interfere with, or disable, a user's terminal session, via any means, locally or via the Internet/Intranet/Extranet.
- 5.1.17 Providing information about, or lists of, DCTA employees to parties outside DCTA.

5.2 Prohibited Email and Communication Activities

- 5.2.1 When using DCTA resources to access and use the Internet, users must realize they represent the DCTA. Whenever employees state an affiliation to DCTA, they must also clearly indicate that "the opinions expressed are my own and not necessarily those of the company". Questions may be addressed to the IT Department.

- 5.2.2 Sending unsolicited email messages, including the sending of “junk mail” or other advertising material to individuals who did not specifically request such material (email spam).
- 5.2.3 Any form of harassment via email, or telephone, whether through language, frequency, or size of messages.
- 5.2.4 Unauthorized use, or forging, of email header information.
- 5.2.5 Solicitation of email for any other email address, other than that of the poster’s account, with the intent to harass or to collect replies.
- 5.2.6 Creating or forwarding “chain letters,” “Ponzi” or other “pyramid” schemes of any type.
- 5.2.7 Use of unsolicited email origination from within DCTA’s networks of other Internet/Intranet/Extranet service providers on behalf of, or to advertise, any service hosted by DCTA or connected via DCTA’s network.
- 5.2.8 Posting the same or similar non-business-related messages to large numbers of Usenet newsgroups (newsgroup spam).
- 5.2.9 Blogging and Social Media (see DCTA’s Social Media Policy)

5.3 Prohibited Internet Use

- 5.3.1 Employees accessing the internet through DCTA’s network and/or on a DCTA device should do so in a manner that supports business operations and does not interfere with DCTA’s business or infringe on the rights of others.
- 5.3.2 Illegal gambling; copyright infringement when file-sharing/swapping; hacking, unauthorized access.
- 5.3.3 Accessing pornographic/adult services sites.
- 5.3.4 Running a sideline internet business without explicit written permission (conflict of interest).

6. Policy Compliance and Incident Reporting

Compliance with this policy is mandatory for all executives, employees, contractors, consultants, temporary employees, and guests, including those affiliated third parties, who access or in any way make use of DCTA information or information systems.

6.1 Compliance Measurement

The DCTA shall verify compliance to this policy through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

6.2 Exceptions

Any exception to the policy must be approved by the DCTA in advance.

6.3 Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

6.4 Information Security Monitoring

6.4.1 For security, compliance and network maintenance purposes DCTA reserves the right to monitor all data access, creation, update, deletion, use, and transfer activities conducted while using DCTA information and information systems, including web sites visited, blog/news-group postings, instant messages, text messages, voice mail messages, and file transfers into and out of DCTA's network.

6.5 Security Incident Reporting

6.5.1 Employees have a responsibility to promptly report the theft, loss or unauthorized disclosure of DCTA proprietary information.

6.5.2 All users are responsible for immediately reporting any known or potential acceptable use violations to the Information Security Working Group (ISWG) by emailing **ithelpdesk@dcta.net**.

7. Related Standards, Policies and Processes

The following references illustrate additional requirements which have an impact on DCTA's responsibilities associated with the protection of its information assets.

- National Institute of Standards and Technology Cyber Security Framework (NIST CSF)
- DCTA Information Security Policy
- DCTA Third-Party Risk Management Policy
- DCTA Access Management Policy
- DCTA Acceptable Use Policy
- DCTA Document Destruction and Retention Policy
- DCTA Social Media Policy
- DCTA Password Policy

8. Definitions and Terms

Definitions and terms used throughout this policy can be found in the SANS Glossary located at: <https://www.sans.org/security-resources/glossary-of-terms>

9. Revision History

This policy shall be reviewed annually to reflect the changing business needs and technology requirements. All changes will be directed to the Information Security Working Group (ISWG) for proper review and vetting, and amendments will be recorded in Table 3 below.

Table 1. Document Revision History

Date	Version	Revision Notes
12/31/2020	v0.1	First draft for DCTA Team review
2/08/2021	V0.2	Review and minor edit by Javier Trilla

Access Management Policy

1. Overview

DCTA's intentions for publishing an **Access Management Policy** are to enhance DCTA's established culture of openness, trust and integrity are not to impose restrictions that are contrary these principles. DCTA is committed to protecting DCTA's employees, partners and the company from illegal or damaging actions by individuals, either knowingly or unknowingly.

Effective information security is a team effort involving the participation and support of every DCTA employee and affiliate who interacts with information and/or information systems. Every user is responsible to know, and put into practice, the policies that govern DCTA's information and/or information systems.

Unauthorized access to information or information systems exposes DCTA to unacceptable risks including virus attacks, compromise of network systems and services, and legal issues; therefore, this policy is in place to protect the employees and DCTA.

Furthermore, the value of DCTA's information and information systems increases as DCTA allows widespread and appropriate use; and its value is diminished through misuse or unnecessary restrictions to its access. Therefore, adequate access management safeguards help improve data integrity because discrepancies can be identified, and errors are subsequently corrected.

2. Purpose

The general intention of this policy is to ensure that no individual has access to DCTA information or information systems without proper authorization. Furthermore, when authorization is granted, individuals must follow any restrictions imposed by DCTA in accordance with this policy and all related policies. This policy, along with any accompanying policies, plans, standards, procedures and guidelines define the access management requirements which serve to:

- Reinforce the access management policies set out in the Information Security Policy, and
- Amplify and expand on the access management policies by prescribing additional safeguards that are required to fully protect DCTA's information and information systems.

3. Scope

This policy applies to the use of information, electronic and computing devices, and network resources to conduct DCTA business or interact with internal networks and business systems, whether owned or leased by DCTA, the employee, or a third party. All employees, board members, contractors, consultants, temporary, and other workers at DCTA and its subsidiaries are responsible for exercising good judgment regarding appropriate use of information, electronic devices, and network resources in accordance with DCTA policies and standards, and local laws and regulation. Exceptions to this policy are documented in section 5.2

This policy applies to employees, contractors, consultants, temporaries, and other workers at DCTA, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by DCTA.

4. Information Security Objectives and Requirements

4.1 Adequate Protection

- 4.1.1 As stated in the Information Security Policy, the overarching information security objective for DCTA is that:

DCTA shall provide adequate¹ protection for the confidentiality², integrity³, and availability⁴, of all DCTA information, software, networks, systems and business assets which rely on information technology, to all authorized employees of DCTA and any stakeholders with a vested interest in the DCTA mission.

- 4.1.2 This overarching security objective, along with the security requirements that follow below form the Access Management Policy for DCTA.

4.2 Primary Safeguards Access Management

The safeguards below have been prescribed by the Information Security Policy and constitute the primary access management security requirements. Section 4.3 will prescribe additional safeguards that will amplify and augment these primary controls.

- 4.2.1 Access to DCTA information and information systems shall be restricted to authorized users who have been assigned attributable credentials in accordance with this policy document.
- 4.2.2 All users accessing DCTA information or information systems shall have and use a unique and attributable credential, such as a user ID and password, that will be known only to them and not shared with any other user.
- 4.2.3 The use of privileged accounts, such as “admin” and “root”, shall be minimized and tightly controlled and will only be used when other attributable credentials would not suffice.
- 4.2.4 Access to physical information assets, systems, and facilities, shall be restricted to authorized users and appropriate safeguards will be implemented and managed where such protection of information and information systems is required.
- 4.2.5 All users accessing DCTA information and information systems shall be informed, trained and made aware of their responsibilities for protecting these assets, at least annually.

¹ Adequate protection means implementing safeguards that have been derived by a proper risk assessment and have been accepted by DCTA as commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.

² Confidentiality means ensuring that information is accessible only to employees authorized to have access to it.

³ Integrity means safeguarding the accuracy and completeness of information and information processing methods.

⁴ Availability means ensuring that authorized users have access to information and information systems in a timely manner, when they are needed.

- 4.2.6 Remote access to DCTA's network is permitted through approved methods only. Use of unauthorized remote access program from outside DCTA network is prohibited. Remotely connecting to personal devices from within DCTA network is prohibited.
- 4.2.7 When not in use, all systems must be logically locked and secured when not attended (clear screen policy).

4.3 Additional Safeguards for Access Management

- 4.3.1 Access to DCTA information and information systems will be based on the selected⁵ best practices recommended in the NIST CSF.
- 4.3.2 Where access rights have not been explicitly assigned or restricted, users must only access information for which they have a bona fide need to know.
- 4.3.3 A formal user registration and de-registration process will be implemented to enable assignment or revocation of access rights to information systems.
- 4.3.4 Access permissions shall be assigned to incorporate the security principles of least privilege and separation of duties.
- 4.3.5 Access rights of all employees and external party users to information and information systems shall be removed upon termination of their employment, contract or agreement, or adjusted upon change.
- 4.3.6 Password management systems shall enforce strong passwords as established by guidelines issued by the ISWG.
- 4.3.7 Access to DCTA information and information systems that are deemed to be sensitive or private (i.e. confidential) shall be restricted only to authorized users with a bona fide need-to-know as outlined in the DCTA Employee Handbook. Examples of such confidential information may include (but are not limited to) the following types of information:
- suspected or real drug and alcohol policy violations,
 - suspected for real fraud policy violations,
 - planned or unannounced searches or inspections,
 - sexual and other unlawful harassment,
 - disciplinary actions such as verbal warning, written reprimand, probation, suspension, demotion, or termination,
 - employee complaint/appeal proceedings or outcomes,

⁵ Selected means only those best practices that are supported by an appropriate risk assessment and DCTA's risk acceptance level.

- employee grievances,
 - accessing personnel files,
 - personally identifiable information (PII), and
 - any information that an employee or manager would normally consider private or request that is be kept private.
- 4.3.8 Security perimeters and segmentation shall be defined and used to protect areas that contain either sensitive or private information.
- 4.3.9 Equipment, software, information, or information systems shall not be taken off site without prior authorization.
- 4.3.10 Access to development, testing, and operational environments shall be separated to reduce the risks of unauthorized access or changes to the operational environment.
- 4.3.11 Physical security measures for offices, room, delivery and loading areas, information processing facilities, and any other points where unauthorized individuals could enter the premises shall be implemented to prevent unauthorized entry.
- 4.3.12 When office spaces and/or desks are unattended any document containing sensitive or private information shall be stored securely and out of site (clean desk policy).
- 4.3.13 Event logs recording user activities, exceptions, faults, and information security events shall be captured, regularly reviewed, and protected from unauthorized access or tampering.
- 4.3.14 Privileged accounts activities, such as System Administrators or System Operator, shall be logged and the logs protected and regularly reviewed.
- 4.3.15 The clocks of all relevant information processing systems within DCTA shall be synchronized to a single reference time source.

4.4 Information Security Monitoring

- 4.4.1 DCTA reserved the right to monitor all access activities conducted while using DCTA information and information systems, including web sites visited, blog/news-group postings, instant messages, text messages, voice mail messages, and file transfers into and out of DCTA's network.

4.5 Security Incident Reporting

- 4.5.1 All users are responsible for immediately reporting any known or potential access incidents to the Information Security Working Group (ISWG) by emailing ithelpdesk@dcta.net.

5. Policy Compliance

Compliance with this policy is mandatory for all executives, employees, contractors, consultants, temporary employees, and guests, including those affiliated third parties, who access or in any way make use of DCTA information or information systems.

5.1 Compliance Measurement

The DCTA shall verify compliance to this policy through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

5.2 Exceptions

Any exception to the policy must be approved by the DCTA in advance.

5.3 Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

6. Related Standards, Policies and Processes

The following references illustrate additional requirements which have an impact on DCTA's responsibilities associated with the protection of its information assets.

- National Institute of Standards and Technology Cyber Security Framework (NIST CSF)
- DCTA Information Security Policy
- DCTA Third-Party Risk Management Policy
- DCTA Acceptable Use Policy
- DCTA Data Protection Policy
- DCTA Document Destruction and Retention Policy
- DCTA Employee Handbook, Updated July 11, 2018

7. Definitions and Terms

Terms used throughout this policy can be found in the SANS Glossary located at:
<https://www.sans.org/security-resources/glossary-of-terms>

8. Revision History

This policy shall be reviewed annually to reflect the changing business needs and technology requirements. All changes will be directed to the Information Security Working Group (ISWG) for proper review and vetting, and amendments will be recorded in Table 3 below.



Table 1. Document Revision History

Date	Version	Revision Notes
12/21/2020	v0.1	First draft for DCTA Team review
2/08/2021	V0.2	Minor edits by Javier Trilla

Data Protection Policy

1. Overview

DCTA's intentions for publishing a **Data Protection Policy** are to enhance DCTA's established culture of openness, trust and integrity are not to impose restrictions that are contrary these principles. DCTA is committed to protecting DCTA's employees, partners and the company from illegal or damaging actions by individuals, either knowingly or unknowingly.

Effective information security is a team effort involving the participation and support of every DCTA employee and affiliate who interacts with information and/or information systems. Every user is responsible to know, and put into practice, the policies that govern DCTA's information and/or information systems.

Unauthorized access to information or information systems exposes DCTA to unacceptable risks including virus attacks, compromise of network systems and services, and legal issues; therefore, this policy is in place to protect the employees and DCTA.

Furthermore, the value of DCTA's information and information systems increases as DCTA allows widespread and appropriate use; and its value is diminished through misuse or unnecessary restrictions to its access. Therefore, adequate data protection safeguards help improve data integrity because discrepancies can be identified, and errors are subsequently corrected.

2. Purpose

The general intention of this policy is to ensure that no individual has access to DCTA information [i.e. data] without proper authorization. Furthermore, when authorization is granted, individuals must follow any restrictions imposed by DCTA in accordance with this policy and all related policies. This policy, along with any accompanying policies, plans, standards, procedures and guidelines define the data protection requirements which serve to:

- provide adequate¹ protection for the confidentiality², integrity³, and availability⁴, of all DCTA information.

3. Scope

This policy applies to the use of information, electronic and computing devices, and network resources to conduct DCTA business or interact with internal networks and business systems, whether owned or leased by DCTA, the employee, or a third party. All employees, board members, contractors, consultants, temporary, and other workers at DCTA and its subsidiaries are responsible for exercising

¹ Adequate protection means implementing safeguards that have been derived by a proper risk assessment and have been accepted by DCTA as commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.

² Confidentiality means ensuring that information is accessible only to employees authorized to have access to it.

³ Integrity means safeguarding the accuracy and completeness of information and information processing methods.

⁴ Availability means ensuring that authorized users have access to information and information systems in a timely manner, when they are needed.

good judgment regarding appropriate use of information, electronic devices, and network resources in accordance with DCTA policies and standards, and local laws and regulation. Exceptions to this policy are documented in section 5.2

This policy applies to employees, contractors, consultants, temporaries, and other workers at DCTA, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by DCTA.

4. Information Security Objectives and Requirements

4.1 Information Security Roles and Responsibilities

- 4.1.1 Roles and responsibilities for data access and protection are captured and defined in Table 1 of the Information Security Policy.

4.2 Primary Safeguards for Data Protection

- 4.2.1 DCTA shall protect its information both at rest and in transit, throughout its entire lifecycle, from creation or capture to its eventual archival and/or deletion. DCTA's data protection requirements are further detailed **below** which includes the requirement to handle, store, and protect information during transfer and transmission over public networks, based upon its assigned classification as indicated in Table 1 below.
- 4.2.2 All information, less Public classified, shall only be transferred over public networks using approved secure protocols and/or encryption.
- 4.2.3 All information created or captured by DCTA shall be assigned an appropriate classification from Table 1 below which will dictate how that information is to be handled and protected. As necessary, the Information Security Working Group (ISWG) will issue further guidelines for the use of these data protection labels which shall be in accordance with DCTA's risk strategy to protect the confidentiality, integrity and availability of such information.
- *The general intent of applying data classification and labels is to ensure information is adequately protected in terms of legal requirements, value, criticality, and sensitivity to unauthorized disclosure or modification.*

Table 1. Information Classification and Labelling

Classification	Description	Example
Public	<p>Information that may be available to the general public. It is defined as information with no existing legal restrictions on access or usage and no risk to DCTA when exposed outside the organization.</p> <p>Security at this level is the minimum required by DCTA to protect the integrity and availability of this information.</p>	<p>Examples include, but are not limited to:</p> <p>Press releases, service catalogue, and published marketing events.</p>



Confidential	<p>Information that must be guarded due to proprietary, ethical, or privacy considerations and must be protected from unauthorized access, modification, transmission, storage or other use.</p> <p>This type of information must remain with the organizational boundary and is only obtainable by employees who have a legitimate reason to access it.</p>	<p>Examples include:</p> <p>Personally Identifiable Information (PII), internal correspondence, scientific papers, client lists, contracts, etc.</p>
Restricted	<p>Highly sensitive information intended for limited, specific use by a workgroup, department, or group of individuals with a legitimate need-to-know. Explicit authorization is required by the Data Owner for access because of legal, contractual, privacy, or other constraints.</p> <p>If restricted data is exposed outside of DCTA or to unintentional persons, the exposure could result in significant risk to DCTA. The type of information has a very high level of sensitivity.</p>	<p>Examples include:</p> <p>Merger and Acquisition information, employee salaries, source code, client intellectual property such as system configurations, credentials, etc.</p>

4.3 Additional Safeguards for Data Protection

- 4.3.1 When not in use, all systems must be logically locked and secured when not attended (clear screen policy).
- 4.3.2 When office spaces and/or desks are unattended any document containing sensitive or private information shall be stored securely and out of site (clean desk policy).
- 4.3.3 Formal data transfer standards, procedures, guidelines and/or agreements will be defined and put in place to protect the transfer of information between DCTA and all external parties who have a need to know. Furthermore, external parties shall agree to protect DCTA's information in accordance with the requirements of this policy.
- 4.3.4 Equipment and cabling carrying information or supporting information services shall be protected against interception, interference, or damage.
- 4.3.5 Security perimeters shall be defined and used to protect areas that contain either sensitive or critical information and information processing facilities.
- 4.3.6 Security shall be applied to off-site assets taking into account the different risks of working outside the organization's premises.
- 4.3.7 All items of equipment containing storage media shall be verified to ensure that any sensitive data has been removed or securely overwritten prior to disposal or re-use.

- 4.3.8 Protection against data leaks shall be implemented according to the data classification and potential risk they expose DCTA to.
- 4.3.9 Contractual agreements with external parties shall state their responsibilities for protecting data in accordance with this policy.
- 4.3.10 When no longer required, information shall be destroyed in accordance with the Document Retention and Destruction Policy (see separate policy document)
- 4.3.11 All employees of DCTA and, where relevant, contractors shall receive appropriate awareness education and training and regular updates about DCTA data protection policies, standards, procedures and guidelines, as relevant for their job function.

4.3.12 Safeguards Specific to Confidential and Restricted Information

- 4.3.12.1 Confidential or restricted information shall not be taken off-site without prior authorization.
- 4.3.12.2 Access to all confidential and restricted data shall be logged and logs reviewed regularly.
- 4.3.12.3 An inventory of all assets and storage locations holding confidential or restricted information shall be maintained.
- 4.3.12.4 Data Owners shall be identified for all information classified confidential or restricted.
- 4.3.12.5 Knowledge gained from analyzing and resolving information security incidents related to confidential or restricted information incidents shall be used to reduce the likelihood or impact of future incidents.
- 4.3.12.6 All incidents involving confidential or restricted information shall be classified and treated as a high security incident.

4.4 Information Security Monitoring

- 4.4.1 DCTA reserved the right to monitor all data access, creation, update, deletion, use, and transfer activities conducted while using DCTA information and information systems, including web sites visited, blog/news-group postings, instant messages, text messages, voice mail messages, and file transfers into and out of DCTA's network.

4.5 Security Incident Reporting

- 4.5.1 All users are responsible for immediately reporting any known or potential data protection violations to the Information Security Working Group (ISWG) by emailing ithelpdesk@dcta.net.

5. Policy Compliance

Compliance with this policy is mandatory for all executives, employees, contractors, consultants, temporary employees, and guests, including those affiliated third parties, who access or in any way make use of DCTA information or information systems.

5.1 Compliance Measurement

The DCTA shall verify compliance to this policy through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

5.2 Exceptions

Any exception to the policy must be approved by the DCTA in advance.

5.3 Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

6. Related Standards, Policies and Processes

The following references illustrate additional requirements which have an impact on DCTA's responsibilities associated with the protection of its information assets.

- National Institute of Standards and Technology Cyber Security Framework (NIST CSF)
- DCTA Information Security Policy
- DCTA Third-Party Risk Management Policy
- DCTA Access Management Policy
- DCTA Acceptable Use Policy
- DCTA Document Destruction and Retention Policy

7. Definitions and Terms

Definitions and terms used throughout this policy can be found in the SANS Glossary located at: <https://www.sans.org/security-resources/glossary-of-terms>

8. Revision History

This policy shall be reviewed annually to reflect the changing business needs and technology requirements. All changes will be directed to the Information Security Working Group (ISWG) for proper review and vetting, and amendments will be recorded in Table 3 below.

Table 2. Document Revision History

Date	Version	Revision Notes
12/22/2020	v0.1	First draft for DCTA Team review
2/8/2021	V0.2	Minor edits by Javier Trilla

Information Security Policy

1. Overview

DCTA's intentions for publishing an **Information Security Policy** are to enhance DCTA's established culture of openness, trust and integrity are not to impose restrictions that are contrary these principles. DCTA is committed to protecting DCTA's employees, partners and the company from illegal or damaging actions by individuals, either knowingly or unknowingly.

DCTA's property include Internet/Intranet/Extranet-related systems, including but not limited to computer equipment, software, operating systems, storage media, network accounts providing electronic mail, WWW browsing, and FTP. These systems provide authorized business functions that serve the interests of the agency and its stakeholders during normal operations.

Effective information security is a team effort involving the participation and support of every DCTA employee and affiliate who interacts with information and/or information systems. Every user is responsible to know, and put into practice, the policies that govern DCTA's information and/or information systems.

Inappropriate use of information or information systems exposes DCTA to unacceptable risks including virus attacks, compromise of network systems and services, and legal issues; therefore, this policy is in place to protect the employees and DCTA.

2. Purpose

The purpose of this policy document is threefold:

- to establish the high-level organizational Information Security Policy for ensuring the protection of DCTA information and information systems,
- to establish the **DCTA Information Security Working Group (ISWG)** with the authority to issue the necessary information security guidance to protect all DCTA organizational assets. Pursuant to this Information Security Policy, the DCTA ISWG will identify the methods that will be used to demonstrate a successful implementation of this policy, and
- to assign the information security organization roles and responsibilities within DCTA to for implementing and complying with the information security program.

3. Scope

This policy applies to the use of information, electronic and computing devices, and network resources to conduct DCTA business or interact with internal networks and business systems, whether owned or leased by DCTA, the employee, or a third party. All employees, board members, contractors, consultants, temporary, and other workers at DCTA and its subsidiaries are responsible for exercising good judgment regarding appropriate use of information, electronic devices, and network resources in accordance with DCTA policies and standards, and local laws and regulation. Exceptions to this policy are documented in section 5.2

This policy applies to employees, contractors, consultants, temporaries, and other workers at DCTA, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by DCTA.

4. Information Security Objectives and Requirements

4.1 Hierarchy of Security Objectives¹ and Requirements²

- 4.1.1 DCTA recognizes the need to adequately protect its information and the technology used to create, process and store that information and to that end, has formally established DCTA's Information Security Program to achieve this objective.
- 4.1.2 This Program shall have full support from the highest levels of leadership and management who will demonstrate their support through appropriate resourcing, funding, oversight, and direction in the form of policies, plans, standards, procedures and guidelines.
- 4.1.3 This Information Security Policy serves as the cornerstone of DCTA's Information Security Program and strives to be consistent with industry best practices as articulated by the National Institute of Standards and Technology Cyber Security Framework (NIST CSF). This Information Security Policy stands as the highest-level security policy document and takes precedence over all other direction. From this Policy, additional policies, plans, standards, procedures and guidelines may be issued at the business unit or department level to codify issue-specific requirements. However, these policies, plans, standards, procedures and guidelines may supplement, but never reduce, the level of security required by this Information Security Policy.
- 4.1.4 Generally, all levels of documents would be found in a robust Information Security Program, however, not all are mandatory. Visually, the hierarchy of the supplemental documents is shown in Figure 1. Refer to the Terms and Definition section of this Policy for a description and example of each type of document.

¹ Security objectives specify what the security program should achieve overall, now how it should accomplish this prevention. Security objectives guide the development of a robust security program but are not precise enough to be complete on their own and generally are not testable – they require supplemental documentation for implementation.

² Security requirements specify what the security program should achieve in specific situations, not how it should achieve it. However, these are more specific than security objectives and often contain more detail because requirements must be testable.

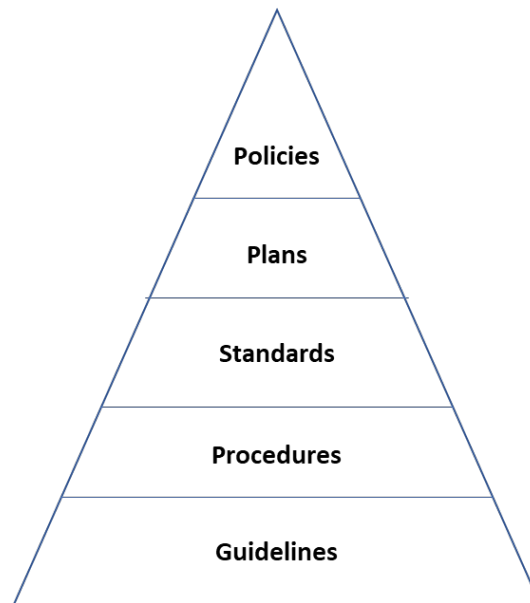


Figure 1. Hierarchy of supplemental security documents.

4.2 Adequate Protection

4.2.1 The overarching information security objective for DCTA is that:

DCTA shall provide adequate³ protection for the confidentiality⁴, integrity⁵, and availability⁶, of all DCTA information, software, networks, systems and business assets which rely on information technology, to all authorized employees of DCTA and any stakeholders with a vested interest in the DCTA mission.

4.2.2 This overarching security objective, along with the security requirements that follow below form the Information Security Policy for DCTA.

4.3 Organization of Information Security

4.3.1 DCTA shall organize its information security program into two main components that are described below: The Information Security Working Group (ISWG), and the Information Security Roles and Responsibilities.

³ Adequate protection means implementing safeguards that have been derived by a proper risk assessment and have been accepted by DCTA as commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.

⁴ Confidentiality means ensuring that information is accessible only to employees authorized to have access to it.

⁵ Integrity means safeguarding the accuracy and completeness of information and information processing methods.

⁶ Availability means ensuring that authorized users have access to information and information systems in a timely manner, when they are needed.

4.4 Information Security Working Group (ISWG)

- 4.4.1 DCTA shall implement an Information Security Working Group (ISWG) to lead and continually improve its security program. The ISWG will report directly to the Security Steering Committee.
- 4.4.2 The organization of this ISWG is outlined below and will be further defined in a separate document approved by the Security Steering Committee. This ISWG will be comprised of:
- Director of Information Technology,
 - Network Administrator II,
 - Ad-Hoc members as invited by the ISWG
- 4.4.3 DCTA's Information Security Working Group (ISWG) main responsibility is for developing an organization-wide information security vision, strategy, and program as well as being responsible for:
- developing and drafting any additional security documents which are necessary to demonstrate adherence and compliance to this Policy,
 - producing and disseminate company-wide information security plans, standards, procedures and guidelines that specify required and recommended information security measures and controls,
 - coordinating the development and implementation of a DCTA-wide information security training and awareness program,
 - performing independent oversight and governance functions for information protection, information risk management, security incident investigations, business continuity, and disaster recovery across the entire organization,
 - working in cooperation with the Security Steering Committee to interpret laws and regulations governing information security and provide appropriate compliance oversight,
 - providing expertise and knowledge of current industry trends in information security, and business continuity to ensure parity with peer organizations and improve control processes across DCTA, and
 - coordinating the response to, investigation of, and reporting on information security incidents.

4.5 Information Security Roles and Responsibilities

- 4.5.1 Table 1 indicates the information security roles and responsibilities that shall be implemented to protect DCTA's information and information systems. As necessary, the Information Security Working Group (ISWG) will issue guidelines to assist those assigned roles to carry out their responsibilities.

Table 1. Information Security Roles and Responsibilities

Roles	Responsibilities with Respect to Information Security
Executive Leadership	<p>Executive Leadership are senior executive officers whom are accountable to ensure the exercise of due diligence in protecting all DCTA information resources that fall within their respective business units or departments by:</p> <ul style="list-style-type: none"> maintaining an appreciation of the risks associated with the loss of confidentiality, integrity, or availability of business information used within their business unit or department, determining, in coordination with other responsible roles herein described, and through participation in risk assessment activities, the proper levels of protection for information or information systems under their control and ensuring the necessary safeguards are implemented.
Security Steering Committee	<p>The Security Steering Committee comprises of business leaders and acts on behalf of the information security team to drive information security best practices throughout DCTA. This includes:</p> <ul style="list-style-type: none"> providing strategic governance and oversight for the information security program on an as needed basis, promoting the adoption and implementation of prescribed information security methods and processes with the business unit or department, and ensuring compliance with DCTA information security plans, standards, procedures, and guidelines.
Data Stewart / Data Owner / Data Custodian	<p>Data Stewards/Owners/Custodian are charged with governing data protection and privacy efforts across DCTA and are accountable for the integrity and quality of data that is created/updated. They have the primary responsibility to create and approve data standards, procedures, and business rules, as well as defining risk tolerance and applicable security controls. Data Stewards are any user involved with creating, storing, editing, deleting and disposing of data. Data Stewards are responsible for ensuring that the information for which they are responsible is properly classified and permissions assigned, as well as periodically reviewing and assessing information classifications and adjusting them as necessary. In addition, Data Stewards are charged with:</p> <ul style="list-style-type: none"> taking the lead in promoting information security awareness in the office or department and ensuring that all employees participate in relevant security training, ensuring business unit or department employees know what is expected of them and that they act in a reasonable manner to protect DCTA information resources, making reasonable efforts to ensure that all personal and business information maintained by the business unit or department is accurate, timely, relevant, and complete. verifying that specified levels of protection have been implemented, ensuring compliance with applicable record retention policies and schedules; and ensuring that information resources that are no longer needed are disposed of securely.

Data Users	<p>A Data User is any DCTA employee, including third-party users, whom is authorized to access information systems and data. Data users are responsible for understanding the guidelines contained in the policy and handle all information in accordance with it. They are also responsible for immediately reporting an unintentional or intentional violation or breach of the policy to the appropriate department (Management team and Security team). Additionally, Data Users have the responsibility to:</p> <ul style="list-style-type: none"> • participate in security awareness, training, and education sessions as appropriate to their job functions and as directed by their supervisors and/or Leadership, and • conduct themselves in a manner consistent with this policy. These responsibilities cover both computerized and non-computerized information and information technology devices (paper computers, smart phones, external memory devices, printers, fax machines, etc.) that are in the Users' care or possession.
Third Parties	<p>All business partners, vendors, clients, etc. must:</p> <ul style="list-style-type: none"> • comply with the information security and data protection requirements of the contracts, service agreements, and non-disclosure agreements that govern their relationship with DCTA, • exercise due care and caution when accessing DCTA's information and information systems, and • ensure that the confidentiality and integrity of Optiv's data is adequately safeguarded when used.

4.6 Asset Management

- 4.6.1 Assets used for information processing must be identified and assigned to an identified asset owner. An accurate inventory of physical devices and systems used within DCTA, along with their identified owners, must be maintained.
- 4.6.2 Asset Owner are required to adhere to the security controls that have been established by DCTA to securely handle information and protect against unauthorized access, misuse, or corruption.
- 4.6.3 DCTA's information systems are intended for business use. Personal use of these systems must be kept to a minimum and all use if governed by DCTA's Acceptable Use Policy (see separate policy).
- 4.6.4 Only portable devices and media (e.g., portable hard drives, flash drive, etc.) that are owned by, provisioned by, or specifically approved by DCTA may be used to conduct, host, or otherwise perform company business.
- 4.6.5 DCTA reserves the right to monitor all activities conducted while using DCTA assets and networks, including web sites visited, blog/newsgroup postings, instant message, email messages, text messages, voice mail messages, and file transfers into and out of DCTA's network.
- 4.6.6 Only approved software may be used on DCTA assets.

- 4.6.7 A security stack approved by DCTA Information Security Working Group (ISWG) must be installed and continuously enabled on all servers, desktops, laptops, and any other appropriate computing devices that access DCTA resources.

4.7 Information Security Risk Management

- 4.7.1 DCTA shall implement the necessary security safeguards outlined within the NIST CSF using a risk-based approach, such that all identified risks to DCTA, and its employees are reduced to an acceptable level.
- 4.7.2 The risk tolerance and level of risk acceptance remains within the purview of the executive team. However, risk tolerance and risks accepted by the executive team shall be properly documented and clearly expressed to relevant stakeholders.
- 4.7.3 The Information Security Working Group (ISWG) will issue further guidelines for the implementation of the risk-based approach which shall include:
- the legal and regulatory requirements regarding information security and privacy that affect DCTA,
 - the risk management processes that address information security risks,
 - the approach for the identifying vulnerabilities affecting DCTA assets,
 - the approach for the identifying the internal and external threats affecting DCTA assets,
 - the approach for identifying the business impacts and likelihood of identified vulnerabilities and threats,
 - the approach for determining and classifying⁷ risk and residual risk⁸ to DCTA, and
 - the approach for implementing and prioritizing risk response (risk mitigation plan).
- 4.7.4 DCTA's strategy for risk mitigation shall be appropriate to the risks. The selected and implemented risk response methods⁹ must reasonably protect the confidentiality, integrity, and availability of DCTA's information and information systems.
- 4.7.5 All contracts with third parties must go through a contractual risk review to ensure that their parties always secure their access to DCTA systems, and in the event of compromise they notify the DCTA Information Security Working Group (ISWG) immediately. Further requirements are detailed in the Third-Party Risk Management Policy (see separate policy) which shall include as a minimum:
- the requirement to properly identify and assess third party risks prior to entering a contract,

⁷ Risks are generally qualitatively expressed as Critical, High, Medium, and Low.

⁸ Residual Risk is the amount of risk that remains after the appropriate security safeguards have been put in place.

⁹ Risk response methods to continually manage risks include risk elimination (avoid), mitigation (reduce), transfer (to a third party), actively accept (develop a contingency plan), or passively accept (do nothing, decide when/if the risk happens).

- the requirement and methods used for routinely assessing and/or auditing third parties to confirm they are meeting their contractual obligations, and
- the requirement that contracts used with third parties implement appropriate measures designed to meet the objectives of this security policy.

4.8 Business Continuity and Recovery

- 4.8.1 DCTA recognizes the need for recovery and business continuity processes and actively seeks to maintain resilient systems through the monitoring and enforcement of this policy and its related procedures, standards, plans and guidelines.
- 4.8.2 In the event of failures, the priority for recovery of information and information systems is as follows:
- Restoration of critical operations applications
 - Access to financial data and records
 - Internal and external communication systems (E-mail, Phones)
 - Restoration of files and folder located in network shares
- 4.8.3 Backups of information, software, and system images must be taken and tested regularly in accordance with an agreed backup policy.
- 4.8.4 Audit requirements and activities involving verification of operational systems must be carefully planned and agreed to minimize disruptions to business processes.
- 4.8.5 The clocks of all relevant information processing systems within DCTA must be synchronized to a single reference time source and use a trusted Network Time Protocol (NTP) server.

4.9 Identity Management and Access Control

- 4.9.1 Access to DCTA information and information systems shall be restricted to authorized users who have been assigned attributable credentials in accordance with DCTA's Access Management Policy (see separate policy document).

The Access Management Policy further details the conditions upon which access is granted and shall include as a minimum that:

- 4.9.2 All users accessing DCTA information or information systems shall have and use a unique and attributable credential, such as a user ID and password, that will be known only to them and not shared with any other user.
- 4.9.3 The use of privileged accounts, such as "admin" and "root", shall be minimized and tightly controlled and will only be used when other attributable credentials would not suffice,

- 4.9.4 Access to physical information assets, systems, and facilities, shall be restricted to authorized users and appropriate safeguards will be implemented and managed where such protection of information and information systems is required.
- 4.9.5 All users accessing DCTA information and information systems shall be informed, trained and made aware of their responsibilities for protecting these assets, at least annually.
- 4.9.6 Remote access to DCTA's network is permitted through approved methods only. Use of unauthorized remote access program from outside DCTA network is prohibited. Remotely connecting to personal devices from within DCTA network is prohibited.
- 4.9.7 When not in use, all systems must be logically locked and secured when not attended.

4.10 Data Classification and Protection

- 4.10.1 DCTA shall protect its information both at rest and in transit, throughout its entire lifecycle, from creation or capture to its eventual archival and/or deletion. DCTA's data protection requirements are further detailed in the DCTA Data Protection Policy (see separate policy) which includes the requirement to handle, store, and protect information during transfer and transmission over public networks, based upon its assigned classification as indicated below.
- 4.10.2 All information, less Public classified, shall only be transferred over public networks using approved secure protocols and/or encryption.
- 4.10.3 All information created or captured by DCTA shall be assigned an appropriate classification from Table 2 below which will dictate how that information is to be handled and protected. As necessary, the Information Security Working Group (ISWG) will issue further guidelines for the use of these data protection labels which shall be in accordance with DCTA's risk strategy to protect the confidentiality, integrity and availability of such information.

Table 2. Information Classification and Labelling

Classification	Description	Example
Public	Information that may be available to the general public. It is defined as information with no existing legal restrictions on access or usage and no risk to DCTA when exposed outside the organization. Security at this level is the minimum required by DCTA to protect the integrity and availability of this information.	Examples include, but are not limited to: Press releases, service catalogue, and published marketing events.
Confidential	Information that must be guarded due to proprietary, ethical, or privacy considerations and must be protected from unauthorized access, modification, transmission, storage or other use.	Examples include: Personally Identifiable Information (PII), internal correspondence, scientific papers, client lists, contracts, etc.

	This type of information must remain with the organizational boundary and is only obtainable by employees who have a legitimate reason to access it.	
Restricted	<p>Highly sensitive information intended for limited, specific use by a workgroup, department, or group of individuals with a legitimate need-to-know. Explicit authorization is required by the Data Stewart for access because of legal, contractual, privacy, or other constraints.</p> <p>If restricted data is exposed outside of DCTA or to unintentional persons, the exposure could result in significant risk to DCTA. The type of information has a very high level of sensitivity.</p>	<p>Examples include:</p> <p>Merger and Acquisition information, employee salaries, source code, client intellectual property such as system configurations, credentials, etc.</p>

4.11 Information Security Monitoring

- 4.11.1 DCTA information systems shall be managed and protected using appropriate safeguards in accordance with the NIST CSF and DCTA's risk strategy.
- 4.11.2 Operating procedures must be documented and made available to all users who need them.
- 4.11.3 Changes to any information system shall be properly assessed, documented and controlled through a change management process which will have input from the Information Security Working Group (ISWG).
- 4.11.4 All DCTA systems must be configured to upload system event logs to a dedicated server, where the technology permits. At a minimum, audit logging should include events for login, logoff, failed logon attempts and configuration changes. Logging facilities and log information must be protected against tampering and unauthorized access. System administrator and system operator activities must also be logged, and the logs protected and regularly reviewed.

4.12 Information Security Incident Management

- 4.12.1 All users are responsible for immediately reporting any known or potential security incidents to the Information Security Working Group (ISWG) by emailing ithelpdesk@dcta.net
- 4.12.2 Information security events are assessed in accordance with DCTA's security event review procedures and shall be decided by Leadership if security events warrant further investigation and remediation. All security events investigated will be properly documented in a manner commensurate with the severity of the incident. Knowledge gained from analyzing and resolving information security incidents, or "lessons learned", must be documented and used to reduce the likelihood or impact of future incidents. Additional guidance on identifying, collecting, and preserving event and information is contained within DCTA's **Incident Response Plan**.

5. Policy Compliance

Compliance with this policy is mandatory for all executives, employees, contractors, consultants, temporary employees, and guests, including those affiliated third parties, who access or in any way make use of DCTA information or information systems.

5.1 Compliance Measurement

The DCTA shall verify compliance to this policy through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

5.2 Exceptions

Any exception to the policy must be approved by the DCTA in advance.

5.3 Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

6. Related Standards, Policies and Processes

The following references illustrate additional requirements which have an impact on DCTA's responsibilities associated with the protection of its information assets.

- National Institute of Standards and Technology Cyber Security Framework (NIST CSF)
- DCTA Third-Party Risk Management Policy
- DCTA Access Management Policy
- DCTA Acceptable Use Policy
- DCTA Data Protection Policy
- DCTA Document Destruction and Retention Policy **[this policy will be reviewed at a later date]**

7. Definitions and Terms

Policy: A document that articulates high-level direction, in the form of rules and practices, that requires or controls how an organization provides security services to protect sensitive and critical system resources. For example, this Information Security Policy or another supplemental example would be a Human Resources Security Policy.

Plan: A document that articulates how security risks will be managed and how security aligns with organization priorities and objectives. Generally, this type of document specifies the approach, responsibilities and resources applied to managing security risks. For example, a Business Continuity Plan.

Standard: A document that articulates low-level prescription for the ways the organization will enforce a given policy statement. Standards are formally established and are mandatory direction. For example, a Password Standard which specifies how long and complex the password must be.

Procedure: A document that articulates step-by-step actions to perform for implementing a given standard. For example, a Password Management procedure which may articulate how to change a password.

Guideline: A document that articulates recommended actions and operational instructions to organizations and/or users when a particular standard does not apply. Guidelines are often based on industry best practices or cultural norms within an organization. For example, the NIST CSF which articulates the recommended safeguards to protect information and information systems.

Additional definitions and terms used throughout this policy can be found in the SANS Glossary located at: <https://www.sans.org/security-resources/glossary-of-terms>

8. Revision History

This policy shall be reviewed annually to reflect the changing business needs and technology requirements. All changes will be directed to the Information Security Working Group (ISWG) for proper review and vetting, and amendments will be recorded in Table 3 below.

Table 3. Document Revision History

Date	Version	Revision Notes
12/15/2020	v0.1	First draft for DCTA Team review
3/17/21	V0.2	Revisions by Javier Trilla

Third-Party Risk Management Policy

1. Overview

DCTA's intentions for publishing a **Third-Party Risk Management Policy** are to enhance DCTA's established culture of openness, trust and integrity are not to impose restrictions that are contrary these principles. DCTA is committed to protecting DCTA's employees, partners and the company from illegal or damaging actions by individuals, either knowingly or unknowingly.

Effective information security is a team effort involving the participation and support of every DCTA employee and affiliate who interacts with information and/or information systems. Every user is responsible to know, and put into practice, the policies that govern DCTA's information and/or information systems.

DCTA incurs potential risks when outsourcing to a third-parties, vendors, or suppliers without taking into consideration security measures. These risks are intrinsic to the function or process being outsourced. Therefore, managing third-party and vendor risk helps mitigate undue risk and excessive costs associated with cyber risks. Third-party and vendor policy management starts at the very beginning of the relationship by making sure that DCTA includes security as a fundamental pillar in having a healthy relationship. Implementing a holistic program is an ideal approach for handling third-party activities. DCTA recognizes the rising risks that third-parties present to our business and we are stepping up our Third-Party Risk Management endeavors appropriately.

2. Purpose

The general intention of this policy is to establish a solid, secure foundation for third-party risk management. This policy can help ensure that both businesses and vendors mitigate risk and protect our corporate assets and data. This policy, along with any accompanying policies, plans, standards, procedures and guidelines define the third-party risk management requirements which serve to:

- To control and manage security risks associated with outsourcing that could lead to losses or produce adverse effects.

3. Scope

This policy applies to the use of information, electronic and computing devices, and network resources to conduct DCTA business or interact with internal networks and business systems, whether owned or leased by DCTA, the employee, or a third party. All employees, board members, contractors, consultants, temporary, and other workers at DCTA and its subsidiaries are responsible for exercising good judgment regarding appropriate use of information, electronic devices, and network resources in accordance with DCTA policies and standards, and local laws and regulation. Exceptions to this policy are documented in section 5.2

This policy applies to employees, contractors, consultants, temporaries, and other workers at DCTA, including all personnel affiliated with third parties. This policy applies to all equipment that is owned or leased by DCTA.

4. Information Security Objectives and Requirements

4.1 Adequate Protection

4.1.1 The overarching information security objective for DCTA is that:

DCTA shall provide adequate¹ protection for the confidentiality², integrity³, and availability⁴, of all DCTA information, software, networks, systems and business assets which rely on information technology, to all authorized employees of DCTA and any stakeholders with a vested interest in the DCTA mission.

4.1.2 This overarching security objective, along with the security requirements that follow below form the third-party risk management policy for DCTA.

4.2 Primary Safeguards for Third-Party Risk Management

4.2.1 All business partners, vendors, and third-parties must:

- comply with the information security and data protection requirements of the contracts, service agreements, and non-disclosure agreements that govern their relationship with DCTA,
- exercise due care and caution when accessing DCTA's information and information systems, and
- ensure that the confidentiality and integrity of DCTA's data is adequately safeguarded when used.

4.2.2 All contracts with third parties must go through a contractual risk review to ensure that their parties always secure their access to DCTA systems, and in the event of compromise they notify the DCTA Information Security Working Group (ISWG) immediately.

4.3 Additional Safeguards for Third-Party Risk Management

4.3.1 DCTA shall properly identify and assess third party risks prior to entering a contract as follows:

- DCTA shall catalog and maintain a list of the third-parties and vendors it uses,
- DCTA shall conduct a thorough assessment of the risks posed by third parties to identify the security risks, and
- DCTA shall establish procedures for monitoring third parties in accordance with our risk management practices.

¹ Adequate protection means implementing safeguards that have been derived by a proper risk assessment and have been accepted by DCTA as commensurate with the consequences and probability of loss, misuse, or unauthorized access to, or modification of information.

² Confidentiality means ensuring that information is accessible only to employees authorized to have access to it.

³ Integrity means safeguarding the accuracy and completeness of information and information processing methods.

⁴ Availability means ensuring that authorized users have access to information and information systems in a timely manner, when they are needed.

- 4.3.2 All relevant information security requirements should be established and agreed with each supplier that may access, process, store, communicate, or provide IT infrastructure components for DCTA. Contracts with third parties must include and adequately describe appropriate security measures designed to meet the objectives of this security policy, including their responsibilities to protect DCTA information and information systems, as applicable.
- 4.3.3 Third-parties and vendors shall receive appropriate awareness education and training, and regular updates in organizational policies and procedures, as relevant for their job functions.
- 4.3.4 DCTA shall regularly monitor, review, assess, audit or evaluate third parties to confirm they are meeting their contractual obligations including the following:
- Response and recovery planning and testing should be conducted with suppliers and third-party providers.
- 4.3.5 DCTA shall keep an inventory of third-party agreements and assets, alongside their exchanges with downstream and upstream assets in the organization.

4.4 Information Security Monitoring

- 4.4.1 DCTA reserved the right to monitor all data access, creation, update, deletion, use, and transfer activities conducted while using DCTA information and information systems, including web sites visited, blog/news-group postings, instant messages, text messages, voice mail messages, and file transfers into and out of DCTA's network.

4.5 Security Incident Reporting

- 4.5.1 All third-parties or vendors are responsible for immediately reporting any observed or suspected third-party risk violations to the Information Security Working Group (ISWG) by emailing ithelpdesk@dcta.net.

5. Policy Compliance

Compliance with this policy is mandatory for all executives, employees, contractors, consultants, temporary employees, and guests, including those affiliated third parties, who access or in any way make use of DCTA information or information systems.

5.1 Compliance Measurement

The DCTA shall verify compliance to this policy through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

5.2 Exceptions

Any exception to the policy must be approved by the DCTA in advance.

5.3 Non-Compliance

An employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

6. Related Standards, Policies and Processes

The following references illustrate additional requirements which have an impact on DCTA's responsibilities associated with the protection of its information assets.

- National Institute of Standards and Technology Cyber Security Framework (NIST CSF)
- DCTA Information Security Policy
- DCTA Data Protection Policy
- DCTA Access Management Policy
- DCTA Acceptable Use Policy
- DCTA Document Destruction and Retention Policy

7. Definitions and Terms

Although many people use the terms third-party and vendor interchangeably, the two have subtle differences. While both vendors and third-parties enable business processes and require contracts, the types of services or products and the way in which they provide these services or products differs.

Third-Party. Third-parties are companies, or contractors, that either provide products or services to an organization's customers on its behalf or to the organization in a way that enables it to maintain daily business operations. In a business context, third-parties might be resellers of a product or cloud-services providers whose tools enable the company to manage financials.

Vendor. Vendors are usually people or companies that provide goods and services either in a business-to-business, business-to-consumer, or business-to-government relationship. In a business context, vendors might be freelancers or technology device suppliers.

Additional definitions and terms used throughout this policy can be found in the SANS Glossary located at: <https://www.sans.org/security-resources/glossary-of-terms>

8. Revision History

This policy shall be reviewed annually to reflect the changing business needs and technology requirements. All changes will be directed to the Information Security Working Group (ISWG) for proper review and vetting, and amendments will be recorded in Table 3 below.

Table 1. Document Revision History

Date	Version	Revision Notes
12/30/2020	v0.1	First draft for DCTA Team review
2/8/2021	V0.2	Minor edits by Javier Trilla

Board of Directors Memo

April 22, 2021

SUBJECT: Consider Authorizing the CEO to Execute a Contract for Rider Alert/Email Marketing System

Background

DCTA utilizes a software solution to collect and maintain passenger and stakeholder databases, distribute Rider Alerts, and send mass communications on behalf of the agency. DCTA's current contract for services has been in place since June 2016.

In January 2021 staff reviewed the available contract for Email Marketing/Rider Alert software solution through the Texas Department of Information Resources (DIR) which complies with all state purchasing requirements. The DIR provides statewide leadership and oversight for management of government information and communications technology for all levels of governmental agencies. It has been recognized nationally.

Companies included on DIR contract DIR-TSO-4288 awarded to Carahsoft were invited to submit proposals to provide a comprehensive email software system to assist DCTA's operations, marketing and communications departments covered in the scope of work.

Our current agreement for annual notification software services commenced in 2016 and will expire on June 30, 2021. DCTA's evaluation team reviewed three (3) proposals, that included demonstrations of each email software system, based on the following criteria:

- Email Template and Distribution Capabilities
- Reporting and Analytics
- Subscriber Features
- Back-End System Functionality/Support
- Email Marketing Campaign Functionality

The following firms responded:

- Adobe, Inc.
- Granicus, LLC.
- Salesforce.com, Inc.

After review of all three (3) proposals, the evaluation committee determined Granicus to be the best qualified firm.

The initial term of the agreement is three (3) years with the option to extend for two (2) additional one (1) year terms. The term will commence on July 1, 2021 to align with the expiration of the existing contract.

Previous Board Activity & Action

- June 2016 Board Meeting – Board Action to Approve Existing Software Vendor
- March 2021 Board Meeting – Info Item

Identified Need

This email marketing software system is primarily used to send real-time rider alerts to passengers regarding operational delays or modification of services (bus and rail), as well as to support various agency updates and outreach efforts. Staff has developed and maintained databases for passengers, member cities, stakeholders, community outreach partners and beyond to assist in communicating critical messaging to the agency's key target audiences.

Financial Impact

The RFP identifies a three (3) year term with two (2) additional one-year extensions, and a total not to exceed of \$170,000 for a five-year period, or \$34,000 per year.

The FY'21 expense is included in the approved marketing and communications budget. Upon approval, staff will continue to budget appropriately in all out years.

Recommendation

Staff is recommending the board approve the award and authorize the CEO to negotiate and execute a contract with Carahsoft and the reseller Granicus for annual Rider Alert/Email Marketing system services.

Exhibits

Exhibit 1: Rider Alert- Email Marketing Scope of Work

Exhibit 2: DIR-TSO-4288 Contract

Submitted By: Adrienne Hamilton
Adrienne Hamilton, Senior Marketing and Communications Manager

Geri Osinaike

Reviewed By: _____
Geraldine Osinaike, Senior Procurement Specialist

Approval: Nicole Recker
Nicole Recker, VP of Mobility Services and Administration



EMAIL SOFTWARE DIR SPECS

OVERVIEW

Formed in 2002 and funded in 2003, the [Denton County Transportation Authority \(DCTA\)](#) is a leader in advancing mobility initiatives while improving air quality, economic development and livability to serve its communities. The agency operates 18 fixed bus routes, 21-mile A-train commuter rail line, on-demand, paratransit and additional services throughout Denton County and surrounding areas. In FY'20, DCTA served more than 1.5 million passengers system-wide.

DCTA is looking for a comprehensive email software system to assist the marketing and communications and operations department with the following objectives:

- Provide availability to manage different type of email message (regular email alert vs emergency email alert)
- Provide a variety of email template materials that can be customized for rider-focused and promotional information
- Have advanced email campaign testing capabilities to better manage and enhance agency email efforts
- Develop in-depth reporting for both overall email performance as well as specific queried data
- Have SMS (text), mobile and social media integration/capabilities for rider customization for receiving updates
- Have a subscriber organization system by category, topic and demographics
- Contain multiple levels of admin access with multiple users available to manage permission levels

The agency's marketing and communications department has been tasked with reaching such goals as; increased number of subscribers, open and click rate based off industry standards and number of emails sent. It will be vital that the agency select a vendor with the best value that meets the outlined criteria for the stated budget to not exceed \$170,000 for the entire contract (\$34,000 per year). DCTA requires a three-year contract with two, one-year extension options and a la carte pricing where applicable.

SOFTWARE CHECKLIST & NEEDS

Email Template & Distribution Capabilities

- Vendor must provide ready-made templates and offer custom built templates as needed where you can drag and drop such as CTA buttons, hero images, dividers, text, spacers, etc. Ready-made templates should be modern and follow email marketing industry standards
- Templates should be user-friendly and be able to be updated by the agency when needed
- Email templates should have the ability for a user to insert text, links, images, GIFs, videos, headlines and preheader
- Vendor must provide an unlimited number of email templates for distribution
- Vendor must provide an image library where agency can easily select and sort photos for templates
- Vendor must provide test option before sending email to subscribers
- Vendor must provide training on how to use templates
- Vendor must provide mobile vs desktop preview option
- Email messages sent must have social media sharing capabilities
- Provide public link sharing capability
- Provide spam testing/updates
- Provide unlimited or high number of email message distributions per month

Reporting and Analytics

- Vendor must provide quarterly reporting, preferably automated, that focuses on agency's Rider Alerts and email marketing tactics and shows quarter over quarter comparisons
- Vendor must offer the agency strategic optimization assistance with reporting needs
- User must be able to pull reports within the system as needed for individual emails and multiple emails combined in one comprehensive report as needed
- Reports must be comprehensive and include total emails delivered, email opens, unsubscribe rate, bounce rate and email click rate
- Vendor should provide email tagging system to make pulling reports seamless and quick
- Provide information on referrals on where people came from to subscribe
- Reporting should include charts and graphs

Email Marketing Campaigns

- Vendor should provide campaign testing and reporting capabilities such as A/B testing
- Provide public involvement component that allows external users to submit forms, feedback, etc.
- Vendor must provide a variety of engagement campaign options (i.e. welcome campaigns, automated drip campaigns, marketing automation tools, etc.)
- Vendor must provide customizable landing page for subscriber sign ups, both for choosing your own topic and for specific topics

- Vendor must provide a customizable landing page for subscriber sign ups must be able to be shared as a link, popup on website or embedded on website page

Subscriber Features and Back-End System Functionality/Support

- Vendor must provide unlimited users with varying levels of admin access
- Vendor must allow for unlimited subscribers with the ability to bulk import and export subscribers
- Vendor must allow for unlimited number of topics subscribers can choose from
- Vendor must provide new subscriber questionnaire feature with seamless reporting
- Vendor must allow subscribers to subscribe via mobile or email
- Vendor must allow for unlimited SMS email capabilities or reasonable SMS package with a la carte options
- Vendor must provide capability for users to post announcements on homepage for other users to see
- Vendor must allow admin users to add and remove other users; as well as have options to choose limited access or authoritative options for certain users
- Must have Integration and plug in options to other systems/apps (i.e. Shopify, Google Analytics, Facebook, Twitter, etc.)
- Ability to segment subscribers by personas, interests, location, etc. (i.e. email list segmentation and contact management)
- 24/7 or reasonable customer support hours for backend help with the system
- Provide training, online resources (i.e. blog, articles, etc.) for continued system best practices learning

DIR Contract No. DIR-TSO-4288

Vendor Contract No. _____

STATE OF TEXAS
DEPARTMENT OF INFORMATION RESOURCES
CONTRACT FOR PRODUCTS AND RELATED SERVICES
Carahsoft Technology Corporation

1. Introduction**A. Parties**

This Contract for products and related services is entered into between the State of Texas, acting by and through the Department of Information Resources (hereinafter "DIR") with its principal place of business at 300 West 15th Street, Suite 1300, Austin, Texas 78701, and Carahsoft Technology Corporation (hereinafter "Vendor"), with its principal place of business at 1860 Michael Faraday Drive, Suite 100, Reston, Virginia 20190.

B. Compliance with Procurement Laws

This Contract is the result of compliance with applicable procurement laws of the State of Texas. DIR issued a solicitation on the Comptroller of Public Accounts' Electronic State Business Daily, Request for Offer (RFO) DIR-TSO-TMP-416, on 2/26/2018, for Software Products, Software as a Service, and Enterprise Resource Planning Software Modules Products and Services. Upon execution of this Contract, a notice of award for RFO DIR-TSO-TMP-416 shall be posted by DIR on the Electronic State Business Daily.

C. Order of Precedence

For purchase transactions under this Contract, the order of precedence shall be as follows: this Contract; Appendix A, Standard Terms and Conditions For Products and Related Services Contracts; Appendix B, Vendor's Historically Underutilized Businesses Subcontracting Plan; Appendix C, Pricing Index; Exhibit 1, Vendor's Response to RFO DIR-TSO-TMP-416, including all addenda; and Exhibit 2, RFO DIR-TSO-TMP-416, including all addenda; are incorporated by reference and constitute the entire agreement between DIR and Vendor governing purchase transactions. In the event of a conflict between the documents listed in this paragraph related to purchases, the controlling document shall be this Contract, then Appendix A, then Appendix B, then Appendix C, then Exhibit 1, and finally Exhibit 2. In the event and to the extent any provisions contained in multiple documents address the same or substantially the same subject matter but do not actually conflict, the more recent provisions shall be deemed to have superseded earlier provisions.

2. Term of Contract

The initial term of this Contract shall be two (2) years commencing on the last date of approval by DIR and Vendor, with two (2) optional two-year renewals. Prior to expiration of each term, the contract will renew automatically under the same terms and conditions unless either party provides notice to the other party 60 days in advance of the renewal date stating that the party wishes to discuss modification of terms or not renew. Additionally, the parties by mutual agreement may extend the term for up to ninety (90) additional calendar days.

DIR Contract No. DIR-TSO-4288

Vendor Contract No. _____

3. Product and Service Offerings**A. Products**

Products available under this Contract are limited to Software Products, Software as a Service, and Enterprise Resources Planning Software Modules Products and Related Service as specified in Appendix C, Pricing Index. Vendor may incorporate changes to their product offering; however, any changes must be within the scope of products awarded based on the posting described in Section 1.B above. Vendor may not add a manufacturer's product line which was not included in the Vendor's response to the solicitation described in Section 1.B above.

B. Services

Services available under this Contract are limited to Services as specified in Appendix C, Pricing Index. Vendor may incorporate changes to their service offering; however, any changes must be within the scope of services awarded based on the posting described in Section 1.B above.

C. Emerging Technologies and Future Acquisitions

DIR recognizes that technology is ever-evolving and advancing. DIR reserves the right to consider the addition of emerging technology such as next generation, enhancements and upgrades for products and services that are within the scope the solicitation described in Section 1.B above. Vendor may propose such products and services throughout the term of the contract. Pricing and terms will be negotiated upon DIR acceptance. Any determination will be at DIR's sole discretion and any decision will be final. In addition, Texas DIR and Vendor may mutually agree to add future acquisitions of Vendor to the contract. Subsequent terms of the acquisition(s) and pricing will be mutually agreed upon in writing and amended under the contract.

4. Pricing

Pricing to the DIR Customer shall be as set forth in Appendix A, Section 8, Pricing, Purchase Orders, Invoices and Payment, and as set forth in Appendix C, Pricing Index, and shall include the DIR Administrative Fee.

5. DIR Administrative Fee

A) The administrative fee to be paid by the Vendor to DIR based on the dollar value of all sales to Customers pursuant to this Contract three quarters percent (.75%). Payment will be calculated for all sales, net of returns and credits. For example, the administrative fee for sales totaling \$100,000 shall be \$750.00.

B) All prices quoted to Customers shall include the administrative fee. DIR reserves the right to change this fee upwards or downwards during the term of this Contract, upon written notice to Vendor without further requirement for a formal contract amendment. Any change in the administrative fee shall be incorporated in the price to the Customer.

6. Notification

All notices under this Contract shall be sent to a party at the respective address indicated below.

DIR Contract No. DIR-TSO-4288

Vendor Contract No. _____

If sent to the State:

Kelly A Parker, CTPM, CTCM
 Director, Cooperative Contracts
 Department of Information Resources
 300 W. 15th St., Suite 1300
 Austin, Texas 78701
 Phone: (512) 475-1647
 Facsimile: (512) 475-4759
 Email: kelly.parker@dir.texas.gov

If sent to the Vendor:

Kai Hollenhorst
 Carahsoft Technology Corporation
 1860 Michael Faraday Drive, Suite 100
 Reston, VA 20190
 Phone: (703) 230-7536
 Facsimile: (703) 871-8505
 Email: kai.hollenhorst@carahsoft.com

7. Software License Agreements

A. Shrink/Click-wrap License Agreement

Regardless of any other provision or other license terms which may be issued by Vendor after the effective date of this Contract, and irrespective of whether any such provisions have been proposed prior to or after the issuance of a Purchase Order for products licensed under this Contract, or the fact that such other agreement may be affixed to or accompany software upon delivery (shrink-wrap), the terms and conditions set forth in this Contract shall supersede and govern the license terms between Customers and Vendor. **It is the Customer's responsibility to read the Shrink/Click-wrap License Agreement and determine if the Customer accepts the license terms as amended by this Contract. If the Customer does not agree with the license terms, Customer shall be responsible for negotiating with the reseller to obtain additional changes in the Shrink/Click-wrap License Agreement language from the software publisher.**

B. Conflicting or Additional Terms

In the event that conflicting or additional terms in Vendor Software License Agreements, Shrink/Click Wrap License Agreements, Service Agreements or linked or supplemental documents amend or diminish the rights of DIR Customers or the State, such conflicting or additional terms shall not take precedence over the terms of this Contract.

In the event of a conflict, any linked documents may not take precedence over the printed or referenced documents comprising this contract; provided further that any update to such linked documents shall only apply to purchases or leases of the associated Vendor product or service offering after the effective date of the update; and, provided further, that, if Vendor has responded to a solicitation or request for pricing, no update of such linked documents on

DIR Contract No. DIR-TSO-4288

Vendor Contract No. _____

or after the initial date of Vendor's initial response shall apply to that purchase unless Vendor directly informs Customer of the update before the purchase is consummated.

In the event that different or additional terms or conditions would otherwise result from accessing a linked document, agreement to said linked document shall not be effective until reviewed and approved in writing by Customer's authorized signatory.

Vendor shall not [without prior written agreement from Customer's authorized signatory,] require any document that: 1) diminishes the rights, benefits, or protections of the Customer, or that alters the definitions, measurements, or method for determining any authorized rights, benefits, or protections of the Customer; or 2) imposes additional costs, burdens, or obligations upon Customer, or that alters the definitions, measurements, or method for determining any authorized costs, burdens, or obligations upon Customer.

If Vendor attempts to do any of the foregoing, the prohibited documents will be void and inapplicable to the contract between DIR and Vendor or Vendor and Customer, and Vendor will nonetheless be obligated to perform the contract without regard to the prohibited documents, unless Customer elects instead to terminate the contract, which in such case may be identified as a termination for cause against Vendor.

The foregoing requirements apply to all contracts, including, but not limited to, contracts between Customer and a reseller who attempts to pass through documents and obligations from its Manufacturer or Publisher.

8. Authorized Exceptions to Appendix A, Standard Terms and Conditions for Product and Related Services Contracts.

No exceptions have been agreed to by DIR and Vendor.

DIR Contract No. DIR-TSO-4288

Vendor Contract No. _____

This Contract is executed to be effective as of the date of last signature.

Carahsoft Technology Corporation

Authorized By: Signature on File

Name: Kai Hollenhorst

Title: Contract Specialist

Date: 2/12/19

The State of Texas, acting by and through the Department of Information Resources

Authorized By: Signature on File

Name: Hershel Becker

Title: Chief Procurement Officer

Date: 2/21/19

Office of General Counsel: mh 2/21/19

Board of Directors Memo

April 22, 2021

SUBJECT: Consider Authorizing the CEO to Execute a Contract for Brand Ambassador Services

Background

A brand ambassador staffing agency (“guerilla marketing”) is used to assist in the execution of critical marketing and communications community initiatives. Brand ambassadors are utilized to assist with community outreach efforts such as survey distribution, event booth staffing, table-topping, street team deployments, etc. The support of brand ambassadors allows DCTA’s core community outreach team to remain small while enabling the team to staff same-day or lengthy-day activations.

The previous contract for brand ambassador services was in place from January 5, 2016 through January 4, 2021. DCTA released a request for proposal for Brand Ambassador Staffing Services on January 14, 2021. On February 11, 2021 DCTA received one (1) response. Staff reviewed the proposal based on qualifications, experience, project approach, staffing capabilities, staff maintenance software, reporting and fees.

The following firm submitted a proposal:

- PS-Stearns, Inc.

After review of the only proposal, the evaluation committee determined that PS-Stearns, Inc. met all requirements and was deemed a qualified firm.

Per the RFP, the initial term of the agreement is three (3) years with the option to extend for two (2) additional one (1) year terms.

Previous Board Activity & Action

- December 2015 Board Meeting – Award of contract to the previous provider
- March 2021 Board Meeting – Info item

Identified Need

Brand ambassador services are utilized for support at community events, tabletop activities and public involvement events, as well as for the distribution of surveys, marketing materials, and more. This on-call contract for brand ambassador services ensures that ongoing support is available for future initiatives.

Financial Impact

The total cost of annual services is \$18,000, with a not-to-exceed of \$90,000 for the five-year contract. Funding for the first year of this contract is included in the approved FY ’21 budget and will be budgeted accordingly in all out years.

Recommendation

Staff is recommending the Board approve the award and authorize the CEO to negotiate and execute a contract with PS-Stearns, Inc. for brand ambassador staffing services.



Exhibits

Exhibit 1: Request for Proposals

Exhibit 2: PS-Stearns, Inc. Proposal

Submitted By: Mary Worthington
Mary Worthington, Community Relations Manager

Final Review: Geri Osinaike
Geraldine Osinaike, Senior Procurement Specialist

Approval: Nicole Recker
Nicole Recker, VP of Mobility Services and Administration

Solicitation 21-01

Brand Ambassador Staffing Services

Bid Designation: Public



Denton County Transportation Authority

Bid 21-01 Brand Ambassador Staffing Services

Bid Number **21-01**
Bid Title **Brand Ambassador Staffing Services**

Bid Start Date **In Held**
Bid End Date **Feb 11, 2021 4:00:00 PM CST**
Question & Answer End Date **Jan 27, 2021 5:00:00 PM CST**

Bid Contact **Geraldine Osinaike**
972-221-4600
gosinaike@dcta.net

Contract Duration **3 years**
Contract Renewal **2 annual renewals**
Prices Good for **90 days**

Bid Comments **The Denton County Transportation Authority (DCTA) is seeking a guerilla staffing agency to assist in the execution of community outreach, marketing and communications campaigns. The qualified agency should be able to provide skilled street teams and present successful campaign execution, skilled reporting, top-notch brand ambassadors, and fair-market pricing.**

Questions may be submitted before the deadline. It is recommended that the insurance requirement be reviewed by you and your agent.

Due to the COVID 19 Pandemic and the stay at home declarations in place across the country, DCTA will accept electronic bids through Bidsync only. State of Texas law prohibits DCTA from accepting emailed bids and proposals.

Item Response Form

Item **21-01--01-01 - 21-01 Brand Ambassador Staffing Services**
Quantity **1 each**
Unit Price
Delivery Location **Denton County Transportation Authority**
Denton County Transportation Authority.
1955 Lakeway Drive
Suite 260B
Lewisville TX 75057
Qty 1

Description
Fees/costs shall be included in the appropriate tab in the submittal.



SOLICITATION OVERVIEW AND ENDORSEMENT

SOLICITATION TYPE/No.	Request for Proposals (RFP) 21-01		
TITLE	Brand Ambassador Staffing		
PROCUREMENT SCHEDULE	Dates and times are subject to change, any changes will be issued by addenda.		
PRE-BID/PROPOSAL MEETING DATE	N/A	PRE-BID/PROPOSAL MEETING LOCATION	N/A
QUESTIONS DUE	January 27, 2021 by 5:00 pm CST	RESPONSES TO QUESTIONS RELEASED	February 3, 2021 by 5:00 pm CST
DUE DATE/TIME	February 11, 2021 at 4:00 pm CST		
QUESTIONS/ CLARIFICATIONS	All requests for clarifications and questions shall be submitted in writing. No verbal questions will be accepted and no verbal replies will be provided. Bidders/Proposers must submit requests for changes to or approval of equals, clarifications and modifications of the specifications in writing. The solicitation documents can only be modified in writing. Procurement must receive the requests no later than the date indicated above. Procurement will issue a response to those requests to all bidders/proposers by posting the replies to Periscope S2G no later than the date indicated above. DCTA assumes no responsibility for delayed or lost responses		
ALL QUESTIONS AND REQUESTS FOR CLARIFICATIONS SHALL BE SENT TO	Geri Osinaike procurement@dcta.net or submitted via Periscope S2G at www.bidsync.com		
Prior to the time and date indicated above, all bids must be received electronically at www.bidsync.com			
Proposal packages received after the due time and date shall not be considered and will be returned unopened. Bids/Proposals submitted to other DCTA locations may be returned unopened and will not be considered in the award of the contract.			
DCTA reserves the right to change the deadline for submitting bids/proposals. Further, DCTA reserves the right to unilaterally revise or amend the scope of services up to the time set for submitting bids/proposals. Such revisions and addenda, if any, shall be announced by addenda to this solicitation. Copies of such addenda shall be furnished to all prospective bidders/proposers.			
ACCEPTANCE PERIOD	PROPOSALS SHALL REMAIN VALID FOR 90 DAYS FROM THE DUE DATE		
DBE (DISADVANTAGED BUSINESS ENTERPRISE) PROGRAM	It is the policy of DCTA to create a level playing field on which DBEs, as defined in 49 CFR Part 26, can compete fairly for DOT-assisted contracts. Additionally, DCTA is committed to removing barriers to the participation of DBEs on DOT-assisted contracts. The DBE requirements of 49 CFR Part 26 applies to this procurement. By submitting its bid/proposal, Bidder/Proposer certifies that it will take all necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that DBEs are given the maximum opportunity to compete for and participate in the performance of this contract. Bidder/Proposer further certifies and agrees that it has not and will not discriminate on the basis of race, color, national origin, or sex in the award of subcontracts under this contract or in performance of this contract. DCTA's DBE Program is available at www.dcta.net		
DBE GOAL	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no DBE goal %		
DAVIS-BACON AND COPELAND ANTI-KICKBACK	The Davis-Bacon and Copeland Acts are codified at 40 USC 3141, et seq. and 18 USC 874. The Acts apply to grantee construction contracts and subcontracts that "at least partly are financed by a loan or grant from the Federal Government." 40 USC 3145(a), 29 CFR 5.2(h), 49 CFR 18.36(i) (5). The Acts apply to any construction contract over \$2,000. 40 USC 3142(a), 29 CFR 5.5(a). 'Construction,' for purposes of the Acts, includes "actual construction, alteration and/or repair, including painting and decorating of public buildings and public works of the Government." 29 CFR 5.5(a).		
CERTIFIED PAYROLL	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no Wage Rate		
BID/PROPOSAL ENDORSEMENT	TO BE COMPLETED FOR HAND DELIVERED AND MAILED RESPONSES ONLY		
BUSINESS NAME			
CONTACT NAME		TITLE	
TELEPHONE		EMAIL	
ADDRESS			
SIGNATURE			DATE

SCOPE OF WORK, TERMS AND CONDITIONS

1. CONTRACT

Submission of a proposal constitutes an offer to perform the work specified and to be bound by the terms contained or referenced herein. Upon acceptance of the offer, and upon award of the Contract to the successful offeror (if any), this procurement solicitation document (entitled "Request for Proposal") together with the completed and executed forms required herein, and all attachments hereto, together with the contract shall collectively constitute the Contract documents.

2. CONTRACT TERM

The initial term of the contract shall be for three (3) years with the option to renew for two (2) additional one (1) year terms. The intent is for the contract to begin no later than April 1, 2021.

3. BACKGROUND

About Denton County Transportation Authority The Denton County Transportation Authority (DCTA) is committed to improving mobility, air quality, economic development and livability in the communities it serves. In collaboration with diverse stakeholders and partners, DCTA is a leader in advancing mobility initiatives to serve the ever-changing transit needs of riders. Formed in 2002 and funded in 2003, DCTA serves Denton, Collin and Tarrant County with a total of 22 fixed bus routes, 21-mile A-train commuter rail line, on-demand, paratransit and additional services. DCTA serves nearly 3 million passengers each year with connections to the Dallas Area Rapid Transit (DART) Green Line. To learn more about how DCTA is shaping the future of North Texas, visit RideDCTA.net.

- 4. SCOPE OF SERVICES:** The Denton County Transportation Authority (DCTA) is seeking a guerilla staffing agency to assist in the execution of community outreach, marketing and communications campaigns. The projects/events details are provided to describe the required services given the information provided by outside event centers and event organizers. It is understood that event date may be changed or canceled and that DCTA will not be held financially responsible. The qualified agency should be able to provide skilled street teams and present successful campaign execution, skilled reporting, top-notch brand ambassadors, and fair-market pricing.

5. STAFFING RESPONSIBILITIES:

1. Staffing agency is responsible for all administrative duties regarding brand ambassador management, brand ambassador coordination, training and communication. Back-up brand ambassadors should always be provided.
2. Staffing agency will enforce DCTA's code of conduct, on-time performance and dress code as well as coordinating all necessary brand ambassador breaks in accordance with local labor laws. Staffing agency must have the ability to hire/fire brand ambassadors, staffing the activation, as needed.

3. All brand ambassadors will be held to a high standard while representing the DCTA brand. Brand ambassadors must stick to activation activities planned and included in the activation detail.
4. Brand ambassadors should always adhere to all applicable requirements, even when on break or at lunch.

6. STAFFING REQUIREMENTS

1. DCTA is seeking a guerilla staffing agency that can provide brand ambassador staffing that meets or exceeds the following criteria.
2. Minimum of two (2) brand ambassadors or the number required in each of the event details to support DCTA staff on site; DCTA staff to act as manager.
3. Experience
 1. Staff and logistics management, activation set-up, and teardown
 2. Management of brand ambassador's staff on site
 3. Troubleshooting experience, as necessary
 4. Experience with proper photo documentation and comprehensive reporting
 5. Management of promotional inventory, activation supplies, and any other items required
 6. Acting as a positive brand steward
 7. Proactive, quick thinking and the ability to troubleshoot operational issues
 8. Highly organized and detail oriented
 9. Highly engaging
4. Code of Conduct: See Attachment A: Brand Ambassador Code of Conduct and Requirements.
 1. Appearance: Staffing agency should choose well-groomed brand ambassadors. Models are not required. Brand ambassadors must be a good representation for the brand.
 2. Access to Mobile Phone: Staffing agency must require brand ambassadors to use their personal mobile phones for the purpose of making/receiving calls, sending/receiving text messages, taking photos, and sending emails. Brand ambassadors must have the ability to charge their mobile while on-the-go (electricity may not always be available).
 3. Uniform Dress Code
 - DCTA provided brand t-shirt
 - T-shirt must be tucked in with a black belt
 - Black bottoms (Bermuda shorts, capris, pants – must be cotton twill, no athletic material, yoga pants or leggings). Shorts must be at least fingertip length or longer.
 - Sneakers

7. PRICING STRUCTURE

All pricing should be provided as a per project/event estimate. Each anticipated project is listed below along with specified details for the deployment. estimate should include all costs for training, coordination (including pic-up and drop-off of supplies), management, reporting, and agency fees. The proposer shall provide an hourly rate for a manager and a standard brand ambassador for each year of the contract. The proposed pricing shall include all costs necessary to fully complete the project. DCTA may require firms to provide services after hours and on weekends depending on system needs. Price needs to be submitted as a per hour estimate based on the positions outlined within the RFP. Additionally, provide a cost matrix for per hour pricing for both managers and brand ambassador, in addition to all other required fees.

The hourly rates shall be based on the following types of deployments:

Project Estimations are required for the following deployments:

1. Passenger Satisfaction Survey
2. State Fair of Texas
3. Denton Arts & Jazz Festival (detailed under Events)
4. Lewisville Western Days (detailed under Events)
5. Highland Village Community Event I (detailed under Events)
6. Point-in-Time Surveys
7. Parking Lot Surveys
8. Tabletop Events
9. Other Community Outreach Activities as needed

8. **EVENT STAFFING** Provide staffing support for at least three (3) large-scale events per fiscal year.

8.1 Major events may include: Minimum of two (2) brand ambassadors to support DCTA staff on site; DCTA staff to act as manager

1. Denton Arts & Jazz Festival
2. Highland Village Festival/Event
3. Lewisville Western Days Festival

Responsibilities Major event Brand Ambassador include:

1. Fulfill the requirements as outlined by each activity
2. Represent the organization in a professional manner
3. Set up, operate and tear down of event space
4. Engage consumers at the booth to promote DCTA services and booth activities
5. Fully understand the DCTA transit system and answer related questions

8.2. Tabletop and Display Staffing: Provide staffing support for at least four (4) tabletop events per fiscal year. Minimum of one (1) brand ambassador to manage event on site.

Responsibilities for Tabletop and Display Brand Ambassador include:

1. Fulfill the requirements as outlined by each activity
2. Represent the organization in a professional manner
3. Set up, operate and tear down of event space (acting alone)
4. Engage consumers at the booth to promote DCTA services and booth activities
5. Fully understand the DCTA transit system and answer related questions
6. Pick up and drop off all required event supplies at DCTA administrative office
7. Track and report event impressions
8. Provide event photos (minimum of five)

8.3. Campaign Support: Provide staffing support to assist in the communications of DCTA marketing campaigns and promotions. Typically, one (1) manager and four (4) brand ambassadors; total number of team will be based on the activity requirement

Responsibilities for Campaign Support Brand Ambassador and Manager include:

1. Fulfill the requirements as outlined by each activity
2. Represent the organization in a professional manner
3. Hand out fliers and/or promotional items in highly populated areas, designated by DCTA, to further communicate client messaging
4. Fully understand the DCTA transit system and answer related questions
5. Fully understand the program of promotion and answer related questions
6. Track and report event impressions
7. Provide event photos (minimum of five)
8. Complete street team report

8.4. Survey Distribution: Provide staffing support to solicit survey feedback by existing passengers and community members at least once per fiscal year. Typically, one (1) manager and four (4) brand ambassadors; total number of team will be based on the activity requirement

Responsibilities for Survey Distribution Brand Ambassador and Manager may include:

1. Fulfill the requirements as outlined by each activity
2. Represent the organization in a professional manner
3. Promoting community surveys to A-train riders
4. Hand out surveys, assist with completion of surveys and answer any related questions
5. Engaging customers in-between train times
6. Pick up and drop off all required survey supplies at DCTA administrative office
7. Provide deployment photos (minimum of five)

8.5. Ad Hoc Support: Provide staffing support based on ad hoc needs identified by DCTA

Responsibilities Ad Hoc Support Brand Ambassador include:

1. Fulfill the requirements as outlined by each activity
2. Represent the organization in a professional manner
3. Fully understand the DCTA transit system

9. SPECIFIC PROJECTS: The number of Managers and Brand Ambassadors stated under each project are estimates. DCTA may require more or less than projected.

1. Passenger Satisfaction Survey: Provide one (1) manager and four (4) Brand Ambassadors

1. There will be (5) Five deployments that will be (8) Eight hours each
2. These deployments are split throughout the day – four (4) hours in the morning and four (4) hours in the evening
3. DCTA will not pay for the time in between the two 4-hour deployments, there maybe five (5) to Seven (7) hours between deployments
4. Timing TBD by agency

Responsibilities:

1. Promote passenger satisfaction survey to DCTA passengers through a variety of grassroots efforts, including but not limited to riding DCTA vehicles across all modes
 2. Maintain collected surveys and return to DCTA administrative office
 3. Promote passenger satisfaction surveys to A-train riders
 4. Engage customers at the DDTC in between train times
 5. Maintain collected surveys and return to DCTA administrative office
- 2. State Fair of Texas:** Provide one (1) manager and four (4) Brand Ambassadors
1. There will be (4) Four deployments that will be four (4) hour each
 2. ETA – Early-to-mid-September 2021

Responsibilities:

1. Hand out fliers in highly populated areas to promote traveling to the State Fair of Texas via the DCTA A-train (promote connectivity with DART)
 2. Goal is to boost overall ridership during the time of the Fair
 3. Fully understand the DCTA transit system
 4. Complete street team report and submit to DCTA administrative office
- 3. Main Event Participation:** Possibly 3 Events, Brand Ambassadors (to support DCTA staff on site; DCTA staff to act as manager)
1. Denton Arts & Jazz Festival - <http://www.dentonjazzfest.com/>
 - Friday, October 1, 2021 from 3 p.m. - 11 p.m.
 - Saturday: October 2, 2021 from 10 a.m. - 11 p.m.

- Sunday: October 3, 2021 from 11 a.m. - 9 p.m.
2. Lewisville Western Days - <https://www.facebook.com/LewisvilleWesternDays>
- Typically, the last weekend (Friday and Saturday) of September.
 - Typical hours are:
 - Friday: 5 p.m. - 11:30 p.m.
 - Saturday: 10 a.m. - 12 a.m.
3. Highland Village Community Event
- Typically held in late-summer or early-fall.
 - Days of the week are typically Friday, Saturday and Sunday.
 - Hours to be determined by specific event.

Responsibilities:

1. Set up, operate and tear down of event space (with leadership from a DCTA staff member)
2. Engage consumers at the booth to promote DCTA services
3. Fully understand the DCTA transit system
4. Manage on-site games and raffles
5. Assist with promotional item inventory and daily counts

5. Point-in-Time Surveys

4. Conduct two surveys per year
5. Each survey requires four (4) deployments that will be four (4) hours each
6. Timing TBD by agency

Responsibilities:

1. Pick up and drop off necessary supplies
2. Engage customers on various modes of transit
3. Maintain ability to answer questions regarding the survey and services
4. Return all completed surveys

6. Parking Lot Surveys

1. Conduct two surveys per year
2. Each survey requires two (2) deployments that will be four (4) hour each
3. Time TBD by agency

Responsibilities:

1. Ability to log vehicles in parking lots at various times of the day
2. Return completed data logs to DCTA management

7. Tabletop Events

1. Conduct multiple tabletop events each year, some alongside DCTA staff and others without DCTA staff
2. Each tabletop typically requires two (2) deployments, (8) hours per event
3. Time TBD by agency

Responsibilities:

1. Pick up and drop off necessary supplies
2. Set up, operate and tear down tabletop space
3. Engage the public on DCTA services, programs and promotions
4. Ability to answer questions about DCTA services, programs and promotions
5. Take photos of event, log foot traffic and track promotional inventory usage
6. Provide full recap report of tabletop activities

PROPOSAL SUBMITTAL INFORMATION

The response shall be submitted online through Bidsync, at www.bidsync.com, proposals received via email shall not be considered. Proposals submitted to DCTA administrative office may not be considered, due to the current pandemic all proposals must be submitted electronically as stated above. DCTA is receiving submittals via electronic means in unbound volumes on standard 8½"x11" standard paper. All information must be assembled and indexed in the order described below. The proposal shall not exceed 50 single sided pages. 25 double sided pages.

The page count shall not include:

- Cover Letter (maximum two pages)
- Front and back cover and section dividers (bindings and covers will be at the discretion of the Proposer).
- Company brochure (not more than one item), which shall be part of the Appendix.
- Required certificates and forms

In order to be considered responsive to this RFP, the Proposal Packet shall include at least the following information:

COVER LETTER

Each proposer shall submit a maximum two-page letter including:

- Name, address, telephone number(s), and website of the organization submitting
- Whether the organization is an individual, partnership, corporation or joint venture
- Name, title, email address, and telephone number of the person(s) to contact and who are authorized to represent the organization and to whom correspondence should be directed.
- The cover letter should also contain a certification that no member of the governing body of DCTA or staff exercising any functions or responsibilities with respect to this project shall during his/her tenure, or for one year thereafter, have any interest, direct or indirect, in any proceeds thereof.
- The cover letter shall include statement indicating that the proposal and cost schedule is valid for 90 days after submittal.
- The cover letter must be signed by a person authorized to bind the organization.
- A brief statement of your understanding of the services to be performed and a positive commitment to provide services as specified.

TAB 1: SCOPE OF WORK / PROJECT APPROACH

- This section must outline how the proposer intends to provide the required services to accomplish the Scope of Work.
- The proposal should include the methodology to be followed, approach taken to understand the Authority's internal control structure and applicable laws and regulations, and any additional capabilities to provide the high quality of services at every event.

QUALIFICATIONS AND EXPERIENCE

- Briefly introduce firm, providing a summary of the administration, organizations and staffing of your firm, including multiple offices, if applicable. Provide an organizational chart indicating the positions and names for the core management team which will undertake this engagement.
- Identify the project manager and each individual who will work as part of this engagement. Include any professional designations and affiliations, certifications and licenses, etc. or other information that will illustrate the technical competence of the proposed personnel.
- Describe experience of the firm in the last 36 months in performing services in similar size and scope, highlighting work in the public sector.
- Demonstrate the firm's knowledge and understanding of the Service required by DCTA.
- Please list any special certifications by firm and/or key employees
- Identify Small, Minority-owned, DBE, and Woman-owned business, if applicable, intended to be utilized on this project.

PROJECT APPROACH

This section should include a detailed summary of the approach to be undertaken for development of this effort and individuals responsible for the deliverables. It must be based on the project understanding and Scope of Services but provide additional detail on the process to be used in delivering these services. The responsibilities of any sub-contractors, if any, should be clearly noted.

Additionally, this section must:

- Detail the firm's approach to meeting the scope of services defined herein
- Indicate in a narrative format the firms understanding of the scope of work, including a detailed project plan for this engagement outlining major tasks and responsibilities, time frames, and staff assignments.
- Support availability (days of week and time)
- Steps for resolving problem escalation
- Response time and goal for resolving problems

- Provide a summary, including why the firm is pursuing the work and how the firm is qualified to perform the services.
- Describe the ongoing training and support provided.
- Describe the data privacy and ownership of information provided by DCTA.
- Provide a detailed description of application security and connection.
- Provide a test/demo site, if available.

TAB 2: STAFFING:

STAFFING CAPABILITIES

This section should include a detailed summary of the staffing approach to be undertaken for development of this effort and individuals responsible for the deliverables. It must be based on the project understanding and Scope of Services and provide additional details on the process to be used in delivering these services. The responsibilities of any sub-contractors, if any, should be clearly noted.

Additionally, this section must:

- Detail the firm's approach to meeting the scope of services defined herein
- Support availability (days of week and time)
- Steps for resolving problem escalation

STAFF MAINTENANCE SOFTWARE

Provide extensive detail on how branding staff is sourced, processed for each role defined by the client, and reviewed for work completed. Additionally, provide background information on how firm rates brand staff internally, retained successful brand ambassadors, and safeguards against utilizing poor-performing staff.

TAB 3: REFERENCES

Provide at least three (3) references, complete with Company name, address, business phone number, website, contact person, title, phone number and email address for clients, for whom similar services have been provided in the last 36 months, including information referencing the actual services performed, and length of tenure. The references should match the examples provided in Tab 1 above. Also please provide a list of all current government clients in the DFW area, along with contact information including a telephone number. It is preferred that at least one of the references provided must be in the public sector.

TAB 4: FEES

The proposed pricing shall include all costs necessary to fully complete the event/project. DCTA may require firms to provide services after hours and on weekends depending on system needs. fees need to be submitted as a per hour estimate based on the positions outlined within the RFP. Additionally, provide a cost matrix for per hour pricing for both managers and brand ambassador, in addition to all other required fees. Provide the fee schedule that would apply to this engagement for each of the first three years. Explain any additional expenses not covered by the fee schedule for which DCTA would be billed. Provide your projections of fees for the two optional fiscal years. Describe the billing schedule to be observed.

TAB 5 REPORTING

Provide a comprehensive background on how the firm handles all written and photographic reporting requirements set forth by the client. Details should include, but are not limited to, how reports are compiled, client access to reports, requested updates to reports, etc.

TAB 5: ATTACHMENTS

Include company brochure, copies of referenced certifications, acknowledgement of any Addenda issued, certifications and required forms, and any other attachments or acknowledgement required as part of this submittal.

TAB 6: APPENDIX

The following documents/forms will be completed by the Offeror and must be submitted with the Technical Proposal:

- Bidders Questionnaire
- Form CIQ Conflict of Interest Questionnaire
- Non-Collusion Affidavit
- Prohibition of Contracts with Companies Boycotting Israel

Each Proposer shall submit a detailed response to the RFP. The response shall include sufficient information to enable the Denton County Transportation Authority to evaluate the capabilities of the Proposer and its approach to providing the specified services. Best Value will be the base for the evaluation. Unnecessarily elaborate or voluminous responses are neither required nor wanted. The 25-page limit and other requirements described shall be enforced. Discussion of the firm's past experience, which is not related to the specified services, should not be included. The response shall specifically address the issues raised, and provide the information requested.

It is the responsibility of the proposer to examine the entire RFP package and seek clarification of any item or requirement that may not be clear and to check all responses for accuracy before submitting a proposal.

Proposers may not contact members of the Authority's Board of Directors concerning this procurement. Any proposer violating this provision may be disqualified from consideration in this procurement.

DCTA will not respond to oral requests. Any request for a change to any part of this document must be fully supported with technical data, or other pertinent information evidencing that the exception will result in a condition equal to or better than the required by the RFP, without substantial increase in cost or time requirements. Any responses to such written requests shall be provided by DCTA in the form of an addendum. Only written responses (including e-mail and/or e-mail attachments) provided as addenda shall be official and all other forms of communication with any officer, employee or agent of DCTA shall not be binding on DCTA.

EVALUATION AND SELECTION

1. GENERAL RESPONSIVENESS

In order for a Proposer to be eligible to be awarded the Contract, the Proposal must be responsive to the Request for Proposal, and DCTA must be able to determine that the proposer is responsible to perform the Contract satisfactorily. Responsive Proposals are those complying in all material aspects of the solicitation. Proposals which do not comply with all the terms and conditions of this solicitation may be rejected as nonresponsive. A Proposer may, at any time after the submission of the Proposal, be requested to submit further written evidence verifying that the firm(s) meet the criteria necessary to be determined a responsible Proposer. Refusal to provide requested information may result in the Proposer being declared nonresponsive, and the Proposal may be rejected.

2. EVALUATION OF PROPOSAL

Proposals will be reviewed for compliance with the requirements of the RFP. Those proposals which are deemed incomplete will be rejected. Proposals will also be scored on the clarity and completeness.

A committee of DCTA staff will evaluate the responses and will make a recommendation for award based on the best value to the agency. Evaluation will be based on the following criteria:

3. TECHNICAL EVALUATION

Following evaluation and scoring of the technical proposals submitted, DCTA will identify those firms technically qualified to perform the work. If DCTA determines that a Proposal is not technically sufficient or a Proposer is not technically qualified, that Proposal will not be evaluated further.

4. REFERENCE EVALUATION

The DCTA will also evaluate qualifications by inquiries into the firm/individual's references and/or

client list. The DCTA is especially concerned with the firm/individual's:

- Ability to effectively work with government agencies.
- Past experience working with organizations with similar size, scope and complexity, including Federal Transit Administration requirements.
- Ability to complete projects on time and within budget.

SCORING CRITERIA	WEIGHT
QUALIFICATIONS AND EXPERIENCE and PROJECT APPROACH Substantial representations regarding the firm's qualifications and demonstrated skill appropriate for entity needs and the technical capabilities and professional competence of the Proposer and assigned personnel.	20
STAFFING CAPABILITIES The staffing approach to be undertaken for development of this effort and individuals responsible for the deliverables. It must be based on the project understanding and Scope of Services and provide additional details on the process to be used in delivering these services.	20
STAFF MAINTENANCE SOFTWARE Provide extensive detail on how branding staff is sourced, processed for each role defined by the client, and reviewed for work completed. Additionally, provide background information on how firm rates brand staff internally, retained successful brand ambassadors, and safeguards against utilizing poor-performing staff.	20
REPORTING Provide a comprehensive background on how the firm handles all written and photographic reporting requirements set forth by the client. Details should include, but are not limited to, how reports are compiled, client access to reports, requested updates to reports, etc.	20
FEE SCHEDULE / PRICE Fair and reasonable fee/price when compared with firm's qualifications, industry standards, and DCTA's cost estimate	20
Total	100
Required Forms and Certifications All applicable forms and certifications listed in the proposal submittal information sections must be included with the proposal in Appendix 6.	Pass/Fail

5. INTERVIEWS

The evaluation committee will determine whether acceptance of the most favorable initial proposals without discussion is appropriate, or whether interviews and/or discussions should be conducted. Interviews may be conducted by phone or webinar.

6. BEST AND FINAL OFFER

DCTA reserves the right to request a best and final offer from all or select proposers.

7. CONTRACT AWARD

Award will be made to the responsible firm whose proposal are most advantageous to DCTA. Accordingly, DCTA may not necessarily make an award to the Proposer with the highest technical ranking nor award to the Proposer with the lowest Price Proposal if doing so would not be in the overall best interest of DCTA.

GENERAL TERMS AND CONDITIONS

1. CANCELLATION

The DCTA reserves the right to cancel this RFP or cancel the award of this contract at any time before execution of the contract by both parties if cancellation is deemed to be in DCTA's best interest. In no event shall the DCTA have any liability for the cancellation of award. The Proposer assumes the sole risk and responsibility for all expenses connected with the preparation of its proposal.

2. EVALUATION AND AWARD OF CONTRACT

The Owner reserves the right to reject any and all proposals, to waive any and all informalities except for the time of submission of the Proposal and to negotiate contract terms with the Successful Proposer. The Owner also reserves the right to reject all nonconforming, non-responsive, unbalanced or conditional Proposals. Also, the Owner reserves the right to reject the Proposal of any Proposer if the Owner believes that it would not be in the best interest of the Project to make an award to that Proposer, whether because the Proposal is not responsive or the Proposer is unqualified or has doubtful financial ability or fails to meet any other pertinent standard or criteria established by the Owner. Discrepancies in the multiplication of units of Work and unit prices will be resolved in favor of the unit prices. Discrepancies between the indicated sum of any column of figures and the correct sum thereof will be resolved in favor of the correct sum.

In evaluating Proposals, the owner will consider the qualifications of the Proposers, whether or not the Proposals comply with the prescribed requirements, unit prices, completion time, and other data, as may be requested in the Proposal form or prior to the Notice of Award.

Because offers can at times be ambiguous, DCTA reserves the right to request additional information before making an award. DCTA also reserves the right to seek clarification from any proposer or offeror about any statement in its proposal that DCTA finds ambiguous.

The Owner may consider the qualifications and experience of any Subcontractors, Suppliers, or other persons or organizations proposed for those portions of the Work as to which the identity of Subcontractors, Suppliers, and other persons and organizations must be submitted as requested by the Owner:

The Owner may consider its past experience with the Proposer and any Subcontractors, Suppliers or other persons or organizations proposed to perform any portions of the Work, and the Owner reserves the right to reject any and all proposals from persons or organizations with whom the Owner has previously experienced problems including but not limited to issues relating to performance, workmanship, and disputes or litigation.

The Owner may conduct such investigations as the owner deems necessary to assist in the evaluation of any Proposal and to establish the responsibility, qualifications and financial stability of Proposers, proposed Subcontractors, Suppliers and other persons and organizations to perform and furnish the Work in accordance with the Contract Documents to the Owner's satisfaction within the prescribed time.

If contract is to be awarded, it will be awarded to the best qualified Proposer whose evaluation by the Owner indicates to the Owner that the award will be in the best interests of the DCTA. DCTA may award the contract to a single supplier, affording DCTA the improved cost effectiveness as well as one stop shopping. If determined to be in the best interest of DCTA, it reserves the right to award to multiple proposers.

3. ADDENDUM

The contents of all addendums sent to proposer are to be incorporated in the RFP documents and will become part of the contract documents.

4. PROOF OF INSURABILITY

Proposer must submit proof of insurability with their proposal. Proof of insurability can be in the form of a letter from the Proposer's insurance provider stating the provider's commitment to insure the Proposer for the types of coverages and levels of coverages specified in this RFP.

5. CONFIDENTIALITY

It is in the public interest for the DCTA to receive as many proposals as possible. The DCTA acknowledges the possible confidential nature of any aspect of the proposal including the cost or price information requested by the Request for Proposals, and the DCTA obliges itself in good faith not to disclose any page of the proposal containing information which the Proposer clearly marks as confidential during the evaluation process. After contract award, disclosure of information shall be made only in accordance with Texas law and applicable Federal requirements.

6. TAXES

DCTA is tax exempt and shall furnish the successful proposer with the necessary tax exemption certificate.

7. INDEMNIFICATION

DCTA SHALL NOT BE LIABLE FOR ANY LOSS, DAMAGE, OR INJURY OF ANY KIND OR CHARACTER TO ANY PERSON OR PROPERTY ARISING FROM THE SERVICES OF THE CONTRACTOR PURSUANT TO THIS AGREEMENT. CONTRACTOR HEREBY WAIVES ALL CLAIMS AGAINST DCTA, ITS OFFICERS, AGENTS AND EMPLOYEES (COLLECTIVELY REFERRED TO IN THIS SECTION AS "DCTA") FOR DAMAGE TO ANY PROPERTY OR INJURY TO, OR DEATH OF, ANY PERSON ARISING AT ANY TIME AND FROM ANY CAUSE OTHER THAN THE NEGLIGENCE OR WILLFUL MISCONDUCT OF DCTA. CONTRACTOR AGREES TO INDEMNIFY AND SAVE HARMLESS DCTA FROM AND AGAINST ANY AND ALL LIABILITIES, DAMAGES, CLAIMS, SUITS, COSTS (INCLUDING COURT COSTS, ATTORNEYS' FEES AND COSTS OF INVESTIGATION) AND ACTIONS BY REASON OF INJURY TO OR DEATH OF ANY PERSON OR DAMAGE TO OR LOSS OF PROPERTY TO THE EXTENT CAUSED BY THE CONTRACTOR'S NEGLIGENT PERFORMANCE OF SERVICES UNDER THIS AGREEMENT OR BY REASON OF ANY ACT OR OMISSION ON THE PART OF CONTRACTOR, ITS OFFICERS, DIRECTORS, SERVANTS, AGENTS, EMPLOYEES, REPRESENTATIVES, CONTRACTORS, SUBCONTRACTORS, LICENSEES, SUCCESSORS OR PERMITTED ASSIGNS (EXCEPT WHEN SUCH LIABILITY, CLAIMS, SUITS, COSTS, INJURIES, DEATHS OR DAMAGES ARISE FROM OR ARE ATTRIBUTED TO SOLE NEGLIGENCE OF DCTA). IF ANY ACTION OR PROCEEDING SHALL BE BROUGHT BY OR AGAINST DCTA IN CONNECTION WITH ANY SUCH LIABILITY OR CLAIM, CONTRACTOR, ON NOTICE FROM DCTA, SHALL DEFEND SUCH ACTION OR PROCEEDINGS AT CONTRACTOR'S EXPENSE, BY OR THROUGH ATTORNEYS REASONABLY SATISFACTORY TO DCTA. CONTRACTOR'S OBLIGATIONS UNDER THIS SECTION SHALL NOT BE LIMITED TO THE LIMITS OF COVERAGE OF INSURANCE MAINTAINED OR REQUIRED TO BE MAINTAINED BY CONTRACTOR UNDER THIS AGREEMENT. THIS PROVISION SHALL SURVIVE THE TERMINATION OF THIS AGREEMENT.

CONTRACTOR SHALL INDEMNIFY DCTA FOR ANY FINES AND LEGAL FEES INCURRED BECAUSE EMPLOYEES, AGENTS, OR WORKERS SUPPLIED BY CONTRACTOR ARE NOT AUTHORIZED TO WORK IN THE UNITED STATES.

By the execution and submission of this proposal, proposer acknowledges proposer has

read and does comply with all terms and conditions, clauses and requirements contained herein.

8. PAYMENT

DCTA shall pay the PROPOSER, upon the submission of proper invoices. Unless otherwise specified in this contract, payment shall be made within thirty (30) days of receipt of a complete and correct invoice.

Proposer's invoices for the services rendered shall be emailed to the following e-mail address:

accountspayable@dcta.net

9. ASSIGNMENT

The successful proposer shall not assign, sell, transfer or convey the agreement completely or in part, without the prior written consent of DCTA.

10. VENUE

The agreement will be governed and construed according to the laws of the State of Texas; and venue for any action concerning this contract shall be in Denton County, Texas. The parties agree to submit to the personal and subject matter jurisdiction of said court.

11. INDEPENDENT CONTRACTOR

It is understood and agreed by and between the parties, that successful proposer, in satisfying conditions in this contract, is acting independently, and that DCTA assumes no responsibility or liabilities to any third party in connection with these actions. All services to be performed by successful proposer pursuant to this contract shall be in the capacity of an independent proposer, and not as an agent or employee of DCTA. Successful proposer shall supervise the performance of its services and shall be entitled to control the manner and means by which its services are to be performed, subject to the terms of this contract.

12. TERMINATION / DISPUTE RESOLUTION

Termination for Convenience of DCTA

DCTA may terminate all or part of this Contract upon determining that termination is in the public interest. Termination under this Article shall be effective upon delivery of written notice of termination to Contractor. Upon termination under this provision, Contractor shall be entitled to payment in accordance with the terms of this Contract for Contract work completed before termination, and to payment for all reasonable Contract close-out costs including reasonable profit to include materials purchased and work performed. Within thirty (30) days after termination pursuant to this provision, Contractor shall submit an itemized invoice for all un-reimbursed Contract work completed before termination and all Contract close-out costs actually incurred by Contractor. DCTA shall not be liable for any costs invoiced later than thirty (30) days after termination notice. Contractor is not entitled to any alleged lost profit on work not performed but which would have been performed had this Contract not been terminated.

Termination for Default

If the Contractor refuses or fails to properly prosecute or perform the work or any separable part, with the diligence and good workmanship that will ensure its completion and acceptance within the time specified in this Contract including any extension, or fails to complete the work within this time, DCTA may, by written notice to the Contractor, terminate the right to proceed with the work (or the

separable part of the work) that has been delayed or not performed in a good workmanship like manner. In this event, DCTA may take over the work and complete it by contract or otherwise, and may take possession of and use any materials, reports, schedules, appliances, or other work product necessary for completing the work. The Contractor and its sureties shall be liable for any damage to DCTA resulting from the Contractor's refusal or failure to complete the work within the specified time or not performed in a good workmanship like manner, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by DCTA in completing the work.

The Contractor's right to proceed shall not be terminated nor the Contractor charged with damages under this Article, if:

- (1) The delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include (i) acts of God or of the public enemy, (ii) acts of another Contractor in the performance of a contract with DCTA, (iii) fires, (iv) floods, (v) epidemics, (vi) quarantine restrictions, (vii) strikes, (viii) freight embargoes, (ix) unusually severe weather, or (x) delays of subcontractors or suppliers at any tier arising from unforeseeable causes beyond the control and without the fault or negligence of both the Contractor and the subcontractors or suppliers; and
- (2) The Contractor, within 10 days from the beginning of any delay (unless extended by the Project Manager), notifies the Project Manager in writing of the causes of delay. The Project Manager shall ascertain the facts and the extent of delay. If, in the judgment of the Project Manager, the findings of fact warrant such action, the time for completing the work shall be extended with an appropriate Contract amendment, the right to proceed terminated or no action taken by the Project Manager. The findings of the Project Manager shall be final and conclusive on the parties, but subject to Claims.
- (3) The Contractor cures such failures to perform within 10 calendar days (or more if authorized in writing by the Project Manager) after receipt of the notice of default.

If, after termination of the Contractor's right to proceed, it is determined that the Contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been issued for the convenience of DCTA.

Termination of Force Majeure

To the extent either party of this agreement shall be wholly or partially prevented from the performance of the term specified, or of any obligation or duty placed on such party by reason of or through work strikes, stoppage of labor, riot, fire, flood, acts of war, insurrection, court judgment, act of God, or other specific cause reasonably beyond the parties control and not attributable to its malfeasance, neglect or nonfeasance. In such event, the time for performance of such obligation or duty shall be suspended until such disability to perform is removed.

Disputes

Performance During Dispute – Unless otherwise directed by DCTA, contractor shall continue performance under this contract while matters in dispute are being resolved. Further, DCTA shall pay contractor for any undisputed work performed by contractor prior or during the resolution of the matters in dispute.

13. PROTEST PROCEDURES

Protests relative to this procurement will be reviewed and adjudicated by DCTA in accordance with its Procurement Policy and Procedures Manual maintained in DCTA's offices in Lewisville, TX.

14. ADMINISTRATIVE REMEDIES

Denton County Transportation Authority reserves the right to accept or reject any and/or all proposals, to waive any formalities and/or irregularities and to award the Contract in the best interest of the DCTA.

By submission of a proposal in response to this solicitation, the Proposer agrees to exhaust its administrative remedies under DCTA's Procurement Regulations or Disputes Clause of any resulting contract prior to seeking judicial relief of any type in connection with any matter related to this solicitation, the award of any contract, and any dispute under any related contract. Protests relative to this procurement will be reviewed and adjudicated by DCTA in accordance with its Procurement Policy and Procedures Manual maintained in DCTA's offices in Lewisville, TX.

15. OPEN RECORDS

All responses submitted to DCTA become the property of DCTA and are subject to the Public Information Act (Texas Government Code Chapter 552). The interested firms/individuals should familiarize themselves with the provisions of that Act. In no event shall DCTA, or any of its agents, Representatives, consultants, directors, officers, or employees, be liable to a firm/individual for the disclosure of all or any portion of a response submitted pursuant to the RFB.

If a firm/individual has special concerns about information that it desires to make available to DCTA, but which it believes constitutes a trade secret, proprietary information or other information excepted from disclosure, such firm/individual should specifically and conspicuously designate each page of that information, which the Proposer believes, should not be disclosed outside DCTA. Disclosure of requested information will be subject to the Texas Public Information Act.

16. CONTRACT

The successful Proposer may be required to execute a contract prepared and approved by DCTA General Counsel.

17. PROHIBITION OF BOYCOTT ISRAEL

Company verifies that (i) it does not Boycott Israel; and (ii) will not Boycott Israel during the term of the Contract. This section does not apply if the Company is a sole proprietor, a non-profit entity or a governmental entity; and only applies if: (i) the Company has ten (10) or more fulltime employees and (ii) this Contract has a value of \$100,000.00 or more to be paid under the terms of this Contract.

18. PROHIBITION OF CONTRACTS WITH CERTAIN COMPANIES

DCTA is prohibited from entering into a contract with a company that does business with Iran, Sudan, or a foreign terrorist organization.

19. RELATIONSHIP AND WORK IN GENERAL

Contractor, an independent contractor, covenants and agrees to perform for the stated compensation, all of the services described in Scope of Work, Terms and Conditions of this Contract. Contractor agrees to complete the work in a professional and workmanlike manner with a high degree of care to ensure the accuracy and timeliness thereof.

20. ASSIGNMENT OF PERSONNEL

Contractor agrees to assign qualified staff members including a Project Manager who shall be responsible for the task administration and work performance.

21. EMPLOYMENT OF PERSONNEL

Contractor agrees to employ, at its own expense, all personnel required in performing the services under this contract. Personnel employed by Contractor shall not be employees of, nor have any contractual relationship with DCTA. All personnel engaged in the work shall be fully qualified and shall be authorized or licensed to perform such work as required.

22. EMPLOYMENT OF VETERANS

Applicable to capital projects only-Contractor shall provide a hiring preference, to the extent practicable, to veterans (as defined in section 2108 of Title 5) who have the requisite skills and abilities to perform the construction work required under this contract. This shall not be understood, construed or enforced in any manner that would require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or a former employee.

23. USE OF SUBCONTRACTORS

The Contractor may utilize the services of specialty subcontractors on those parts of the work which, under normal contracting practices, are performed by specialty subcontractors.

No work or services under this Contract shall be subcontracted without the prior written approval of DCTA. DCTA reserves the right to reject any subcontractors proposed to be utilized on this project.

24. DBE SUBCONTRACTS

If DBE subcontractors are utilized to perform under this contract the contractor must make available to DCTA copies of all DBE subcontracts upon request. The subcontractor shall ensure that all subcontracts or agreements with the Prime to supply labor or materials require that the subcontract and all lower tier subcontracts be performed in accordance with 49 CFR Part 26.55.

25. INSPECTION OF WORK

DCTA shall have the right to review and inspect the progress of the work described herein at all times.

26. COPYRIGHT

No reports, maps, or other documents produced in whole or in part under this contract shall be the subject of an application for copyright by or on behalf of the Contractor. All reports, maps, and other documents produced under this contract shall become the property of DCTA. The Contractor shall, at its expense, defend all suits or proceedings instituted against DCTA and pay any award of damages assessed against DCTA in such suits or proceedings, insofar as the same are based on any claim that materials furnished or work performed under the contract constitutes an infringement of any patent, trade secret, copyright, or any other proprietary right.

27. PROPRIETARY RIGHTS

Contractor agrees not to release data or information about the results of the project to any person outside of DCTA without first obtaining written authorization to release such information from DCTA.

28. OWNERSHIP OF DOCUMENTS

The parties agree and understand that any and all documents produced under this Contract are the sole and exclusive property of DCTA and DCTA retains ownership of all such documentation including, but not limited to, studies, plans, specifications, intellectual property and all related documents. To the extent necessary, CONTRACTOR HEREBY ASSIGNS AND TRANSFERS ANY AND ALL COPYRIGHTS TO DCTA.

29. MAINTENANCE OF RECORDS

Proposer must maintain records to show actual time involved in performance of the Work.

30. CHANGES BY CONTRACTOR

If, during the performance of Work under the Contract, the Contractor finds it impracticable to comply strictly with the specifications, the Contractor will notify the DCTA Project Manager and Procurement Manager immediately in writing.

31. WRITTEN ACCEPTANCE BY DCTA

Any proposals by Contractor that vary or add to this Contract shall be construed as additional terms or modifications and shall not become part of the Contract unless accepted in writing, by DCTA.

32. CHANGE ORDERS / CONTRACT MODIFICATIONS

All requests for changes in the work must be submitted in writing to the DCTA Project Manager. Changes shall be made only with the prior approval DCTA and only by appropriate written Change Order or Contract Modification as appropriate. The Procurement Manager may, at any time, by a written Change Order or Contract Modification, and without notice to the Surety (if any), make changes within the general scope of this Contract. If the change affects the Contractor's costs, then the Procurement Manager shall also make an equitable adjustment in the Contractor's compensation.

33. WHOLE AGREEMENTS

The Contract constitutes the whole of the agreement between the parties hereto and neither thereof has been induced to make or enter into the Contract by reason of any promise, agreement, representation, statement, or warranty other than contained herein.

34. PARTIAL INVALIDITY

If any term, provision, covenant, or condition of this agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remainder of the provisions shall remain in full force and effect and shall in no way be affected, impaired, or invalidated.

35. TITLES AND HEADINGS FOR CONVENIENCE ONLY

As used throughout this Contract, titles and headings of sections are for convenience only, and shall not be used to aid in interpretation of the provisions contained herein.

36. COMPENSATION

The proposer shall be compensated for work in performance of the contract and per the agreed upon fees. The proposer shall include as part of his invoice a list of all subcontractors and the amounts to be paid to each of the subcontractors from this invoice. DCTA will require specific payment reporting criteria for all payments made to subcontractors and will provide additional information and forms upon selection as the awarded firm.

37. PROMPT PAYMENT

The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 30 days from the receipt of each payment the prime contractor receives from the Denton County Transportation Authority. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the Denton County Transportation Authority. This clause applies to both DBE and non-

DBE subcontracts and must be included in contracts between the Denton County Transportation Authority, the prime contractor, sub contracts and sub-recipients.

38. RETAINAGE

The prime contractor agrees to return retainage payments to each subcontractor within 30 days after the subcontractors work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of the Denton County Transportation Authority. This clause applies to both DBE and non-DBE subcontracts.

39. MINORITY OWNED FINANCIAL INSTITUTIONS

In accordance with the requirements of 49 CFR Part 26, and grant agreements between DCTA and the Department of Transportation (DOT), to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted contract to make use of these institutions. Information regarding financial institutions may be obtained on-line from the Federal Reserve at <http://www.federalreserve.gov/Releases/mob/current/default.htm>

40. NON-DISCRIMINATION

The contractor, sub-recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

- (1) Withholding monthly progress payments;
- (2) Assessing sanctions
- (3) Liquidated damages; and/or
- (4) Disqualifying the contractor from future solicitations as non-responsible

41. GRATUITIES

It shall be unethical for any person to offer, give, or agree to give any DCTA officer or former DCTA officer, or for any DCTA officer or former DCTA officer to solicit, demand, accept, or agree to accept from another person, a gratuity or an offer of employment in connection with any decision, approval, disapproval, recommendation, or preparation of any part of a program requirement or a purchase request, influencing the content of any specification or procurement standard, rendering of advice, investigation, auditing, or in any other advisory capacity in any proceeding or application, request for ruling, determination, claim or controversy, or other particular matter, pertaining to any program requirement or a contract or subcontract, or to any solicitation therefore.

42. FUNDING

Funds for payment have been provided through the DCTA budget approved by the Board of Directors for this fiscal year only. State of Texas statutes prohibit the obligation and expenditure of public funds beyond the fiscal year for which a budget has been approved. Therefore, anticipated orders or other obligations that may arise past the end of the current DCTA fiscal year shall be subject to budget approval.

43. FEDERAL FUNDS

DCTA is a recipient of federal funds from the Federal Transit Authority (FTA) and as a recipient of federal funds specific clauses and certifications must be included in any contract that involves the disbursement of federal funds. If federal dollars will be utilized under this contract, Proposers must adhere to the clauses and certifications if applicable. All required clauses and certifications will be included if applicable.

44. PROCUREMENT OF RECOVERED MATERIALS

If federal dollars are utilized for this project all contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act.

45. SILENCE OF SPECIFICATIONS

The apparent silence of the specifications as to any detail or to the apparent omission from it of a detailed description concerning any point, shall be regarded as meaning that only the best commercial practices are to prevail. All interpretations of these specifications shall be made on the basis of this statement.

INSURANCE REQUIREMENTS

Proposers performing work on DCTA's behalf shall provide the DCTA a certificate of insurance or a copy of their insurance policy(s) evidencing the coverage and coverage provisions identified herein within ten (10) days of request from DCTA. Proposers shall provide DCTA evidence that all subcontractors performing work on the project have the same types and amounts of coverage as required herein or that the subcontractors are included under the proposer's policy. Work shall not commence until insurance has been approved by DCTA.

All insurance companies and coverage must be authorized by the Texas Department of Insurance to transact business in the State of Texas and must have a A.M. Best's rating A-VI or greater.

Listed below are the types and minimum amounts of insurances required and which must be maintained during the term of the contract. DCTA reserves the right to amend or require additional types and amounts of coverage or provisions depending on the nature of the work.

COMMERCIAL GENERAL LIABILITY:

Covering Bodily Injury/Property Damage, Products/Completed Operations and Personal Advertising Injury

- Per occurrence\$1,000,000
- General Aggregate \$2,000,000
- Products/Completed Aggregate \$2,000,000
- Personal Advertising Injury per occurrence \$1,000,000

BUSINESS AUTO LIABILITY

to include coverage for:

- Owned/Leased vehicles
- Non-owned vehicles
- Hired vehicles
- Combined Single Limit \$1,000,000

WORKERS' COMPENSATION EMPLOYERS' LIABILITY

Texas Statutory Limits with Employer's Liability limits per occurrence:

- Each accident \$1,000,000
- Disease Policy Limits \$1,000,000
- Disease each employee \$1,000,000

ADDITIONAL INSURED:

The Commercial General Liability and Business Automobile Liability policies shall be endorsed to name DCTA, its directors and employees as additional insured regarding Bidder's operations in performance of this Contract.

WAIVER OF SUBROGATION AND ALTERNATE EMPLOYER:

The Workers' Compensation and Employers' Liability policies shall be endorsed to provide a waiver of subrogation and alternate employer status in favor of DCTA, its officers, directors and employees.

COVERAGE PRIMARY:

Such insurance as is provided therein shall be primary and non-contributing with any other valid and collectible insurance available to DCTA. The limits of liability required above may be provided by a single policy of insurance or by a combination of primary, excess or umbrella policies. But in no event shall the total limits of liability available for any one occurrence or accident be less than the amounts required herein.

NO COMMENCEMENT WITHOUT COVERAGE:

The Bidder shall not commence work at the site under this Contract until he/she has obtained all required insurance and until such insurance has been approved by DCTA. Bidder shall not allow any subcontractor to commence work until all similar required insurance has been obtained and approved. Approval of the insurance by DCTA shall not relieve or decrease the liability of the Bidder hereunder.

CERTIFICATES:

Certificate of Insurance evidencing insurance coverage as required shall be furnished to the Purchasing Manager prior to commencement of work and within ten (10) calendar days after the date of Notice of Award. CERTIFICATES SHALL BE PROVIDED BY BIDDER AND ANYONE INVOLVED IN THE PERFORMANCE OF WORK UNDER THIS CONTRACT (not otherwise included under Bidder's coverage), INCLUDING ALL SUBCONTRACTORS. All certificates from Bidder and any subcontractors must be issued reflecting DCTA as the certificate holder. All Certificates of Insurance shall reflect the Denton County Transportation Authority project number. Failure to furnish the required certificates of insurance within the time allowed shall not be considered cause for modification of any contractual time limits. All policies of insurance presented, as proof of compliance with the above requirements shall be on forms and with insurance companies approved by DCTA. All such insurance policies shall be provided by insurance companies having a Best's rating of A-VI rating or greater as shown in the most current issue of A.M. Best's Key Rating Guide. Policies of insurance issued by insurance companies not rated by Best's or have a Best's rating lower than A-VI will not be accepted as complying with the insurance requirements of the Contract unless such insurance companies are approved in writing prior to the award of the Contract. Certificate of Insurance shall contain transcripts from the proper office of the insurer, evidencing in particular those insured, the extent of the insurance, the location, and the cancellation clause as required below.

NO LAPSE OR CANCELLATION:

The Bidder and any subcontractor shall not cause any insurance to be canceled nor permit any insurance to lapse. All insurance policies shall not be canceled, reduced, restricted, or limited until thirty (30) days after DCTA has received written notice. In the event of cancellation or lapse of insurance, the Bidder shall notify DCTA immediately and unless otherwise directed by DCTA, shall cease work until evidence of acceptable insurance coverage is supplied to DCTA.

BREACH:

Failure to maintain insurance coverage as required herein shall constitute a material breach and default.



BIDDER'S QUESTIONNAIRE

<p>1. Name of Contractor ("Business", herein)</p> <input type="text"/>		<p>19. Is any litigation pending against the Business?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>2. Doing Business As (other business name if applicable)</p> <input type="text"/>		<p>20. Has the Business been debarred, suspended, proposed for debarment, and declared ineligible, voluntarily excluded or otherwise disqualified from bidding, proposing or contracting?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>3. Federal Tax ID Number</p> <input type="text"/>		<p>21. Has the Business ever been a defaulter, as principal, surety or otherwise?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>4. Business Mailing Address (include City/State/Zip Code)</p> <input type="text"/>		<p>22. Has the government or other public entity requested or required enforcement of any of its rights under a surety agreement on the basis of a default or in lieu of declaring the Business in default?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>5. Business Email Address</p> <input type="text"/>		<p>23. Is the Business in arrears upon a contract or debt?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>6. Business Telephone</p> <input type="text"/>	<p>Business Fax Number</p> <input type="text"/>	<p>24. Are there any proceedings pending relating to the Business' responsibility, debarment, suspension, voluntary exclusion or qualification to receive a public contract?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>7. Business Type</p> <input type="text"/>		<p>25. Have liquidated damages or penalty provisions been assessed against the Business for failure to complete the work on time or for any other reason?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No							
<p>8. Number of Years in Business</p> <input type="text"/>		<p>26. If a "yes" response is given to questions 17-25, please provide a detailed explanation including dates, references to contract information, contacts, etc. (attach additional pages as necessary).</p> <p>DCTA reserves the right to inquire further with respect thereto</p> <input type="text"/>							
<p>9. <u>Annual Gross Revenue</u> for the past three years (M = Millions)</p> <p> <input type="checkbox"/> \$1M or Less <input type="checkbox"/> \$1M-\$5M <input type="checkbox"/> \$5M-\$10M <input type="checkbox"/> \$10M-\$16M <input type="checkbox"/> \$16M+ </p>		<p>27. List the name and business address of each person or each entity which has a 10% or more ownership or control interest in the Business (attach additional pages as necessary).</p> <input type="text"/>							
<p>10. Number of Employees</p> <p> <input type="checkbox"/> 100 or Less <input type="checkbox"/> 101-500 <input type="checkbox"/> 501-750 <input type="checkbox"/> 751-1,000 <input type="checkbox"/> 1,001+ </p>		<p>I, individually and on behalf of the business named above, do by my signature below certify that the information provided in this questionnaire is true and correct. I understand that if the information provided herein contains any false statements or any misrepresentations: 1) DCTA will have the grounds to terminate any or all contracts which DCTA has or may have with the business; 2) DCTA may disqualify the business named above from consideration for contracts and/or 3) DCTA may have grounds for initiating legal action under federal, state or local law. Note: This questionnaire is also a certification form; the information requested will be used to determine small business status as per 13 CFR Part 121. Additionally, this information will allow DCTA to report the amount of subcontracting activity for DCTA.</p>							
<p>11. Is Business a DBE Firm?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No									
<p>12. Is Business Owned by Minority Ethnicity?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No									
<p>13. Ethnic Group</p> <table border="0"> <tr> <td>Black American</td> <td>Subcontinent Asian American</td> </tr> <tr> <td>Hispanic American</td> <td>White/Caucasian</td> </tr> <tr> <td>Native American</td> <td>Asian Pacific American</td> </tr> <tr> <td>Other</td> <td></td> </tr> </table>			Black American	Subcontinent Asian American	Hispanic American	White/Caucasian	Native American	Asian Pacific American	Other
Black American	Subcontinent Asian American								
Hispanic American	White/Caucasian								
Native American	Asian Pacific American								
Other									
<p>14. Woman Owned?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="text"/>							

15. Veteran Owned

☐ Yes ☐ No

Printed Name

16. Type of Work Performed

☐ Manufacturing ☐ Professional Service
☐ Retail ☐ General/Technical Service

Title

17. Has the Business, or any officer or partner thereof, failed to complete a contract?

☐ Yes ☐ No

Signature of owner

18. Has the Bubsiness ever been declared "Not Responsible

☐ Yes ☐ No

Date

Email Address

(Owner, CEO, President, Majority Stockholder or Designated Representative) Questions about this document should be directed to the Procurement Manager

CONFLICT OF INTEREST QUESTIONNAIRE		FORM CIQ
For vendor or other person doing business with local governmental entity		
This questionnaire is being filed in accordance with chapter 176 of the Local Government Code by a person doing business with the governmental entity.		OFFICE USE ONLY
By law this questionnaire must be filed with the records administrator of the local government not later than the 7 th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.		Date Received
A person commits an offense if the person violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.		
1	Name of person doing business with local governmental entity. <input type="text"/>	
2	<input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than September 1 of the year for which an activity described in Section 176.006(a), Local Government Code, is pending and not later than the 7 th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)	
3	Describe each affiliation or business relationship with an employee or contractor of the local governmental entity who makes recommendations to a local government officer of the local governmental entity with respect to expenditure of money. <input type="text"/>	
4	Describe each affiliation or business relationship with a person who is a local government office and who appoints or employs a local government officer of the local governmental entity that is the subject of this questionnaire. <input type="text"/>	

CONFLICT OF INTEREST QUESTIONNAIRE		FORM CIQ
For vendor or other person doing business with local governmental entity		Page 2
5	Name of local government officer with whom filer has affiliation or business relationship. (Complete this section only if the	

answer to A, B, or C is YES.)

This section, item 5 including subparts A, B, C & D, must be completed for each officer with whom the filer has affiliation or business relationship. Attach additional pages to this Form CIQ as necessary.

A. Is the Local government officer named in this section receiving or likely to receive taxable income from the filer of the questionnaire?

☐ YES

☐ NO

B. Is the filer of the questionnaire receiving or likely to receive taxable income from or at the direction of the local government officer named in this section AND the taxable income is not from the local governmental entity?

☐ YES

☐ NO

C. Is the filer of this questionnaire affiliated with a corporation or other business entity that the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

☐ YES

☐ NO

D. Describe each affiliation or business relationship.

6

Describe any other affiliation or business relationship that might cause a conflict of interest.

7

Signature of person doing business with the governmental entity

Date

NON-COLLUSION AFFIDAVIT

This affidavit must be completed and submitted with the bid/proposal

The authorized representative for bidder / proposer, , being first duly sworn, deposes and says that he or she is of the party making the foregoing bid, that the bid is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the bid is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham bid, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the bid price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the bidder has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company, association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

Signature of Authorized Company Representative

Name and Title of Authorized Company Representative

Date

Subscribed and sworn to before me on (Date)

(Notary Seal)

Signature Notary Public

Prohibition of Contracts with Companies Boycotting Israel

This form must be completed and submitted with the bid/proposal

House Bill 89, effective September 1, 2017, amended the Texas Government Code to add Chapter 2270, Prohibition of Contracts with Companies Boycotting Israel.

Effective September 1, 2017, a state agency and a political subdivision (which includes a transportation authority) may not enter a contract with a company for goods or services unless the contract contains a written verification from the company that: (i) it does not Boycott Israel; and (ii) will not Boycott Israel during the term of the contract.

"Boycott Israel" is defined to mean refusing to deal with, terminating business activities with, or otherwise taking any action that is intended to penalize, inflict economic harm on, or limit commercial relations specifically with Israel, or with a person or entity doing business in Israel or in an Israeli-controlled territory, but does not include an action made for ordinary business purposes.

"Company" is defined to mean a for-profit sole proprietorship, organization, association, corporation, partnership, joint venture, limited partnership, limited liability partnership, or limited liability company, including a wholly owned subsidiary, majority-owned subsidiary, parent company, or affiliate of those entities or business associations that exists to make a profit.

"I, (Name of certifying official), the
 (title or position of certifying official) of
 (name of company), verifies that (i) it does not Boycott Israel;
and (ii) will not Boycott Israel during the term of the Contract. This section does not apply if the
Company is a sole proprietor, a non-profit entity or a governmental entity; and only applies if: (i)
the Company has ten (10) or more fulltime employees and (ii) this Contract has a value of
\$100,000.00 or more to be paid under the terms of this Contract.

Signature of Certifying Official Title:

Title:

Date:



Brand Ambassador Code of Conduct and Requirements

Code of Conduct

- Brand ambassadors must be educated on provided talking points.
- Brand ambassadors should be professional, courteous, friendly and outgoing.
- Brand ambassadors must be engaging and should have an outgoing personality that customers are drawn to.
- Brand ambassadors must be able to draw customers to the activation space and keep customers engaged.
- In most cases, cell phone usage is prohibited while working.
 - Cell phones may be used to take required photos.
 - Cell phones may be used when contacting DCTA or conducting business pertaining to the activation. This must NOT be done in front of customers.
 - Brand ambassadors are prohibited from using their cell phone (calls/texts), unless on break.
- All brand ambassadors are held accountable for their actions at all times.
- Eating is prohibited during any activation unless approved by the on-site manager.
- Eating on the bus is prohibited.
- No side conversations/horseplay – focus should always be on engaging customers. All brand ambassadors will be held to a high standard while representing each brand.
- Brand ambassadors must stick to activation activities planned and included in the activation detail.
- Brand ambassadors should adhere to all applicable requirements within this document at all times, even when on break or at lunch.

Appearance

- Brand ambassadors should be well-groomed. Models are not required. Brand ambassadors must be a good representation for the brand. Brand ambassadors must be able to wear an adult t-shirt provided in sizes small through x-large.
- Hair must always be kept neat. Men with hair below the collar must put their hair in a ponytail.
- Facial hair is permitted as long as it is well groomed.
- Jewelry should be kept to a minimum. Only one watch or bracelet per arm. Only one ring per hand. Brand ambassadors wearing excessive jewelry will be asked to remove it.
- Earrings for both men and women are permitted as long as they are small studs (nothing too gaudy). No hoop/loop-style earrings, ear gauges or dangly earrings.
- No facial piercings that are drastically noticeable. A nose ring is fine as long as it is a small stud. A tongue ring is fine as long as the brand ambassador can interact with individuals without it being apparent.
- Large tattoos must be covered. Small tattoos are acceptable as long as they are not distracting.

- Should a brand ambassador arrive out of uniform, it is the responsibility of the staffing agency to send the brand ambassador home to change into the proper uniform and/or arrange for proper uniform items to be obtained. The brand ambassador will only be paid for the time worked.

Required Uniform

- Brand ambassadors are required to wear the following:
 - DCTA t-shirt provided by the client
 - T-shirt must be tucked in with a black belt
 - Black bottoms (bermuda shorts, capris, pants – must be cotton twill, no athletic material, yoga pants or leggings). Shorts must be at least fingertip length or longer
 - Sneakers
- If deployment occurs during cold weather, the following additional uniform items may be worn by brand ambassadors in conjunction with the required uniform above:
 - White long sleeve shirt/turtleneck to be worn under t-shirt
 - Black gloves
 - Black beanie
 - Black scarf
- In most cases, deployments will not occur during weather where a jacket is required

Safety and Compliance

- Brand ambassadors must use the utmost caution and precision whenever working near moving vehicles that are part of the overall activation
- Vehicle windows should never be open during an activation
- Do not ever walk, sit or stand on the rail tracks at any time unless walking across a designated crosswalk

Social Media

- Brand ambassadors may not create any social media posts related in any way to the deployment
- Brand ambassadors may not list DCTA as an employer

Question and Answers for Bid #21-01 - Brand Ambassador Staffing Services

Overall Bid Questions

There are no questions associated with this bid.

**Bid Tabulation Packet
for
Solicitation 21-01**

Brand Ambassador Staffing Services

Bid Designation: Public




Denton County Transportation Authority

Bid #21-01 - Brand Ambassador Staffing ServicesCreation Date **Jan 12, 2021**End Date **Feb 11, 2021 4:00:00 PM CST**Start Date **Jan 14, 2021 9:21:40 AM CST**Awarded Date **Not Yet Awarded**

21-01--01-01 21-01 Brand Ambassador Staffing Services					
Supplier	Unit Price	Qty/Unit	Total Price	Attch.	Docs
PS-Stearns, Inc.	First Offer - \$9,369.00	1 / each	\$9,369.00	Y	Y
Product Code:		Supplier Product Code: 2021 DCTA			
Agency Notes:		Supplier Notes: Proof of insurance can be provided if requested. Pricing is for services specifically listed in BID and do not include changes or additions other than that listed within the BID.			

Supplier Totals

f PS-Stearns, Inc.		\$9,369.00
Bid Contact	Michelle Stearns-Marzka michelle@ps-stearns.com Ph 814-835-0140	Address 3036 West 26th Street Erie, PA 16506
Bid Notes	See attached RFP for PS-Stearns Inc, with attachments. Appendix items were viewed and signed on-line. Thank you!	
Agency Notes:	Supplier Notes: See attached RFP for PS-Stearns Inc, with attachments. Appendix items were viewed and signed on-line. Thank you!	Head Attch: 

**

PS-Stearns, Inc.

Bid Contact **Michelle Stearns-Marzka**
michelle@ps-stearns.com
Ph 814-835-0140

Address **3036 West 26th Street**
Erie, PA 16506

Bid Notes **See attached RFP for PS-Stearns Inc, with attachments. Appendix items were viewed and signed on-line. Thank you!**

Item #	Line Item	Notes	Unit Price	Qty/Unit	Attch.	Docs
21-01--01-01	21-01 Brand Ambassador Staffing Services	Supplier Product Code: 2021 DCTA Supplier Notes: Proof of insurance can be provided if requested. Pricing is for services specifically listed in BID and do not include changes or additions other than that listed within the BID.	First Offer - \$9,369.00	1 / each	\$9,369.00	Y Y

Supplier Total **\$9,369.00**

PS-Stearns, Inc.

Item: **21-01 Brand Ambassador Staffing Services**

Attachments

DCTA_RFP 2021.pdf

PSI_OVERVIEW 2021.pdf

PSI AD 2021.pdf



BRAND AMBASSADOR STAFFING SERVICES



FEBRUARY 8, 2021

PS-STEARNs, INC.

February 8, 2021

Denton County Transportation Authority
1955 Lakeway Drive
Suite 260 B
Lewisville, TX 75057

Dear Sir or Madame,

In accordance with your instructions, PS-Stearns takes great pleasure in submitting herewith the Request for Proposal (RFP) for Denton County Transportation Authority (DCTA). We are delighted to have the opportunity to respond to your requirements for a marketing staffing solution for your company.

As our proposal demonstrates, you will find a comprehensive response to all requirements outlined within it. PS-Stearns can be a valuable partner. We are qualified to perform the required responsibilities and are extremely interested in the prospect to assist you. As a trusted provider of staffing management services, PS-Stearns can offer DCTA staffing services that exceed your expectations. We have a demonstrated record of delivering high quality, reliable service to our clients. OUR Services are YOUR Solution.

How? We are in the people business. PS-Stearns truly understands the time and investment necessary to complete successful marketing initiatives. Often managing the small details is difficult and tedious, taking focus off of key business matters. At an affordable cost, my company can take the hassle and management of people working your marketing events off of your shoulders. So, why not let us do what we do best.

Finally, as requested, we have provided all seven of the elements and items necessary to complete this RFP. Our proposal, including pricing, is valid for 90 days from February 11, 2021.

As a possible marketing partner of DCTA, we certify that no member of the governing body of DCTA or staff exercising any functions or responsibilities with respect to this project, shall during his/her tenure, or for one year thereafter, have any interest, direct or indirect in any proceeds thereof.

Should you have any questions regarding our proposal, please do not hesitate to contact us.

Many thanks for the opportunity to take part in the selection process. I hope you will consider a partnership with PS-Stearns to meet your marketing goals and objectives. With our experience, passion for our industry, and commitment to every project, we are confident that your events will be successful.

Sincerely,

Michelle Stearns-Marzka

Director of Operations



3036 West 26th Street | Erie, PA 16506
t 814.835.0140 x. 222 | f 814.835.0638
www.ps-stearns.com

I. Agency Summary

A. List official registered name (Corporation, DBA, partnership, etc.)

PS-Stearns, Inc., Pennsylvania Corporation

B. Corporate office address

3036 West 26th Street, Erie, PA 16506

C. Key contact name, title, address (if different from above address) and direct telephone #

Michelle M Stearns- Marzka, Director of Operations, 814.35.0140 ext. 222
michelle@ps-stearns.com

D. Person authorized to contractually bind the organization for any proposal against this RFP

Michelle M. Stearns-Marzka, Chief Operating Officer

E. PS-Stearns, Inc. is a *women owned, privately owned/ stock company.*

F. Our company website: www.ps-stearns.com

G. Corporate Mission Statement:

Driven by passion to deliver results, our primary focus is to provide staffing solutions and campaign management assistance that helps connect your brand to the consumer.

Dedicated to success at every level, PS-Stearns will exceed your expectations by providing the best service and the best product...always.

Devoted to building relationship and understanding marketing objectives, PS-Stearns will provide you the best available personnel wherever and whenever they are needed.

PS-Stearns...committed to service, committed to your success.

H. SCOPE OF SERVICES: Our Understanding of DCTA Requested Services

The Denton County Transportation Authority (DCTA) is seeking a guerilla staffing agency to assist in the execution of community outreach, marketing, and communications campaigns. The qualified agency should be able to provide skilled street teams and present successful campaign execution, quick reporting, top-notch brand ambassadors, and fair-market pricing

Our agency provides staffing solutions and campaign management assistance to our clients and consistently delivers on our promise to achieve the highest execution rates and overall client satisfaction. PS-Stearns can provide the service that meets the criteria you want to find in a successful marketing partnership.

I. Summary of your organization's history, background and experience

Our Heritage- Strong Foundation, Lasting Relationships

PS-Stearns is a privately owned national marketing company established in 1988 in Erie, Pennsylvania. Our founder, Santina Stearns, pioneered to make a difference in-store with product events that would create an enjoyable shopper experience while bringing brand awareness, and/or increased sales to various products. She had a passion for the industry and a desire for excellence that never wavered. Her first customer was a new brand of Italian Pasta sauce that was launching in a local market. The in-store events she set up in that one store were significant and the brand grew. The product was then launched in the entire chain, with in-store events coinciding with the launch of the product for an impactful ROI. Santina's desire for perfection was unsurpassed as was her drive to provide the best service, the best people, and the best product ...always. At this time, Santina's company (Promotional Services by Stearns) was noticed not just by retailers, but by other brands. Service that began with one store, grew to one chain, then state-wide coverage, tri-state, regional, and today, national.

Our founder wanted to make a difference in the industry while always putting people first whether it be the client, her employee, or the customer.

Though many changes occurred with buyout and mergers of the very retailers that our company first launched, one thing has remained steadfast, our passion for making a difference in our industry. Today, our reputation of integrity and track record of accomplishments, has earned us distinction as one the nations most respected pioneers.

An award winning Best-in-Class agency, PS-Stearns, is a proven source to elevate the face of event marketing.

Still family owned, we have a strong foundation that we are proud of and work to build lasting relationships.

ADDENDUM 1

program account structure



DEDICATED STAFF DESCRIPTIONS:

Client Service Account Manager- handles all communication with client directly.

Project Manager- Staff team member assigned directly to manage account: schedule, logistics, etc.

Assistant Project Manager- Assigned to client account to assist with all PM responsibilities as needed.

Field Staff Recruiter- Assigned to client account to recruit field reps as needed, interview new employees, and coordinate training of all staff.

Program Staffing Coordinator- (number of coordinators will vary dependent on scope of project/events)
Assigned to client account to staff all events with current employees. Assist in communication of guidelines, and training of reps assigned to project.

Field Reps- Ambassadors working the event

Other staff:

Director of Operations- Oversees all business operations, financials, client relations, and all services.

Office Manager- Assigned to assist in all areas as needed, gather data, reporting and paperwork liaison between **Company** and employees for all basic program communications.

HR Manager/Payroll- Manages employee files and payroll.



J. Following are case studies that support our ability to execute the recommendations included in this proposal.

Our agency has been involved with Guerilla Marketing, including Street Teams and Mobile Tours, special events, and more over the last 20 years. Our examples are initiatives completed over the past 36 months. Our specific experience relative to DCTA, includes projects with innovative Consumer Travel Clients, such as Greyhound and Virgin America Airlines.

After executing more than 170,000 events on behalf of our clients, PS-Stearns, Inc. has proven to be the “best of the best” in the event staffing industry. We have an outstanding record of experience and success. The examples below are only 3 of the many events we have executed successfully for our clients.

RETAIL STAFFING EXAMPLE:

Brand: Mission Enduracool Towels

Staff Needs: *Brand Ambassadors- energetic and approachable. Staff had to effectively market to the target demographic, while enthusiastically delivering a scripted message about the brand.*

Timing: *Multiple dates and weekends throughout Spring and Summer- warm weather*

Objective: *Create and increase brand awareness by educating consumers of brand benefits, and distribution of sample and coupon. Client wanted to launch a new product in an exclusive retailer and execute local programming at 500 stores around the country on specific target dates. Staff duties included set up, interaction, breakdown and end reporting. Staff had to effectively meet daily interaction goals, sustain physical activity to stand for full duration of event (4-6 hour shift).*

Staffing Solution/Result:

- *Used our proprietary staffing software to secure talent for the entire project.*
- *Integrated new webinar training/testing process through our staffing software. Each candidate went through a mandatory on-line training video and test.*
 - *Utilized our IVR (interactive voice response) to monitor the staff's arrival and departure time in real time*
 - *Final event reporting done on-line and sent to client*

Result: *By maintaining office hours and weekend support, we were able to deliver over 97% execution on each date by implementing emergency back up plans for on date issues and other as needed.*

STREET TEAM EXAMPLE :**Brand:** TRACFONE**Staff Needs:** Brand Ambassadors & Field Managers**Objective:** The purpose of the event was to provide brand awareness for Tracfone**Staffing Solution/Result:**

We utilized guerrilla marketing in Philadelphia, PA, Miami, FL and parts of New Jersey for a three month extension. Staff chosen had to be available for variable 8 to 10 hour shifts. Client provided us with the exact locations for this event approximately one month prior to each deployment. Brand ambassadors were staffed and scheduled by our agency for each deployment which included teams of 4 to 10 ambassadors. The teams went to location to distribute brochures and to also communicate product benefits. They also were to drive consumers to the brand website or into a newly opened Tracfone store location to increase sales.

Result: With our proactive Management team on site, our team managed a 99% execution effort and increased store traffic 300%.

**MOBILE TOUR EXAMPLE :****Brand:** UNILVER EMBRACE YOU CHARITY EVENT 2020**Staff Needs:** Brand Ambassadors.**Number of event days:** 56**Number of markets:** 3**Locations:** FL, GA, TX,

Staffing Solution/Result: 6 Brand ambassadors per day, per location, were utilized that met the following requirements: relevant to the African American and Latin Demographic; able to stand on feet and work outdoors while performing responsibilities which included: assisting manager in set up of tent, and promotional banners, distribution of samples and communication of brand information. The program was aimed at a specific demographic as were the samples. Staff members handed out the samples on trays in pre kitted bags, sanitizing trays in between, and traffic flow. This was an outdoor event, with COVID humanitarian guidelines in place throughout. PS-Stearns was responsible for coordinating staffing and all communication to staff, etc.

Result: Over 99 % execution rate

K: PROJECT APPROACH

PS Stearns is your solution for staffing your Guerilla Marketing Projects. Our agency handles all administrative duties regarding brand ambassador coordination, training, and communication. We staff events with reliable brand ambassadors and manage them throughout the process.

PS-Stearns will go above and beyond your expectations to manage our people so you don't have to worry. This allows you to have more time to work on the things that we will not be involved in. With extra communication, extra staff on hand always, and commitment to every project, we can insure you that your event is successful.

What differentiates our company from our competitors?

With over 30 years of experience in events and experiential marketing, PS-Stearns is a turn-key agency that provides best-in-class service.

What do we mean by best-in class? PS-Stearns is an award winning agency because of the lengths we go to exceed our client's expectations. Our business is built on three simple stones that have built our foundation: Integrity, Commitment, and Passion. These three qualities are important individually, but the combination of all three is what helps us to aim higher and reach further, to always meet the needs of our clients. Many of our clients have been referred by other clients, which is true testimony to our ability to deliver on our promise to achieve the highest execution rates and overall client satisfaction. We give 110% to every project, to insure success.

We are in the people business and are experience experts. We know that when our clients partner with us, they are looking for a staffing solution and/or campaign management assistance to remove that responsibility from their plate directly and eliminate unnecessary headaches. So, as an execution partner, we help our clients execute the event by gathering the top quality brand ambassadors needed to staff them and provide hands on direct management that allows our client to be worry free. We work to find the right people, always. Whatever the need, we are there with the best ambassadors for the job.

To recap, PS-Stearns strives for success that is ultimately two-fold. Our name and legacy are dependent on the quality and excellence found right here... the Best Service and the Best People.

Choosing PS-Stearns is choosing confidence with experience.

L: OUR STAFFING PROCESS

PS-Stearns will provide brand ambassadors that meet and exceed your requested criteria. We do this by utilizing our Staffing Software to properly cast the appropriate brand ambassadors that are able to meet all requirements and reach the target audience.

We never stop seeking the best of the best employees. We are always looking for bright, creative, and committed individuals who thrive on making a positive impact, and who proactively pursue excellence every day. This includes qualities such as being proactive, quick thinking, able to troubleshoot, highly organized, detail orientated, highly engaging, and clean and neat in appearance.

We hire and staff all employees internally.

PS-Stearns eliminates extra costs by being a full service company that is a one stop shop for your staffing investment. We keep costs down for our client by working efficiently and with the most innovative technology available. We staff all of our events directly as a PS-Stearns management staffing solution with direct hires. We do not hire and utilize 3rd party staffing companies and other sources to staff our events, which is a hidden cost for many competitors.

Our process for staffing begins by first evaluating the type of ambassador that is needed for the assignment. Our database that manages our field reps is detailed with information that includes rep attributes, interests, and work history. Also included is a performance summary on completed assignments. We first resort to contacting proven reps that are well established with our company. This also supports are desire to have long lasting relationships with our employees with the hope of providing more regular opportunity.

We DO NOT allow our reps to book themselves for events, in spite of the fact that our system has this capability. This allows us to pick our best for each assignment rather than allow reps that may have access to the computer to more readily to book themselves before other employees have the opportunity to be alerted to open projects.

Once we determine that a rep is a qualified candidate, we contact them to offer them the assignment directly. If they confirm the assignment, we provide more specific details and general info about the event. Because we are an agency that is HANDS ON with our employees, we stay in communication with our reps once they are hired for an assignment. This means that we don't rely on email communication or print only. We offer constant communication with our reps as a difference that sets us apart from other agencies.

Our reps will receive brand specific training for each project in which we reiterate vital information verbally and more to insure reps are not forgetting important marketing techniques and brand essential information. PS-Stearns goes above and beyond to insure that our communication is consistent and thorough with our client, and also our employees to avoid leaving anything essential to the project out. We want our reps to be well –versed and prepared to represent your brand. Moreover, we want them to act as positive stewards that are highly engaging.

We strive to ensure we select well-groomed, clean neat ambassadors that can be a good representation of our agency and your brand. Standardization of dress code and uniform is also a very important component of insuring reps present themselves well on the job. This is enforced during the acceptance of the project, and throughout the training and prep for the project. We hold our reps to a high standard, and expect them to meet every guideline without issue and enforce Company/Client code of conduct.

1. Training summary

We know that investing in a partner to assist with marketing deployments is a large one. This is one of the many reasons we believe that partnering with our agency brings "added value" at no additional cost.

Proper Ambassador training is critical to the success of any execution. All client executions require each Ambassador to successfully complete a pre-designed training curriculum prior to executing on behalf of a specific client.

Training is a tool to further emphasize key components of an event and brand; however, for our agency, basic event details are covered with the rep upon hiring them for the assignment to be sure they understand expectations right from the start.

We do not charge our client for supplemental review time that is on-line/web-based, or typical one-on one communication with our reps. This is something that is a standard for our agency.

Extended training is executed in various formats which include phone, webinar, on-line, and in-market. The method utilized is typically chosen by our client and we partner with them to select the best one. Typically, the most common method selected is a live-phone training. We have some clients that choose to be involved or conduct the training directly with our reps and we coordinate this effort with them. However, PS-Stearns has experience conducting brand training live, without assistance from our client. Our staff includes individuals that are passionate and have great communication skills that we utilize consistently to conduct client training. For these situations, our client may provide content only (such as a suggested script). If not, we create a training template based on our own study and analysis gathered from our communication with our client. We present to the client for review prior to initiation of the training. We are able to adapt to any method selected. If a client chooses not to moderate the training directly, they are a welcome guest at any time to listen in without active participation.

We are good at what we do and that is Manage our People. We take this role seriously. Our hands on approach and management style prepares our reps via great communication.

2. Business support during non-business hours

We pride ourselves in our desire to be a hands-on management team that is passionate about succeeding in everything we do. PS-Stearns is an award winning agency because of the lengths we go to exceed our client's expectations. Excellent customer service means providing a service that is convenient for our clients- and we truly believe that excellent communication is one of the best gifts we can provide our clients.

We deliver on our promise to provide round the clock support – 24/7 as a commitment to our industry. Full time personnel in key positions ensure employees and clients are able to reach a team member for assistance and questions. This is critical in problem solving and helping maintain excellence in execution. This also allows for ambassadors to be helped by multiple team members when events are running live.

We provide our cell phone numbers, email, and emergency assistance numbers to our reps for special projects that may start odd hours – like 5am for example. We know that success of a project is gauged by key factors such as date execution. We work to insure that we are on top of any changes in staff or issues, to resolve quickly and ultimately get the event to run as scheduled for our client. So, if you have any questions or need additional help, call us. We will be available- we guarantee it.

3. What if?? Ambassador fall-off, ambassador resignations, and back- up protocol for replacement from the start of a program to its completion

Our fall off and employee resignations are small in number. Although we have had events from start to completion which had 100% of the staff selected for the assignment complete the assignment, there are cancellations and fall-off that will occur unfortunately no matter how efficient or great an agency is.

Our clients often require and provide payment for back-ups for specific events. However, for all assignments, we require reps check in with the office field team, one hour prior to event. If we do not hear from them by that time, we call them. Our hope and goal is to be alerted ahead of time by our staff so that we can deploy a back-up if necessary prior to event start time. We work to resolve every situation in order to bring success and on-date execution to every project. This includes kit transfers, etc.

For Tours and Street teams, we have reps check in on site – typically our field manager would alert us that all staff is on site- we organize the protocol. Our agency is responsible for troubleshooting and managing our staff, completely. We send a confirmation to our specific client contact, once all BAS are confirmed. We will also alert our client at that time of any changes, such as back up replacement. Our method of communicating directly with each rep several times throughout the planning process and also day of event has helped us to maintain over 99% execution rate at each deployment, and resolving any issue prior to deployment start.

4. Data privacy and ownership of information provided by DCTA

CONFIDENTIALITY/NON-DISCLOSURE AGREEMENT: *It is the responsibility of all employees to safeguard sensitive **Company (PSI)/Client** information. The security of **all** property is of vital importance. All of our employees share responsibility to ensure that proper security is maintained. And, all employees sign non-disclosure agreements upon accepting employment with us. The nature of our business and the economic well-being of our **Company** are dependent upon protecting and maintaining proprietary **Company** information. Continued employment with the **Company** is contingent upon compliance with this policy. Sensitive **Company** information is defined as trade secrets or confidential information relating to products, processes, know-how, customers, designs, test data, marketing data, accounting, pricing information, business plans/ strategies, negotiations/ contracts, or other. Employees will not at any time disclose or use, either during or subsequent to their employment, any information, knowledge or data which they receive or develop during their employment which is considered proprietary or relates to the trade secrets of the **Company**.*

5. **Software Application Security and Connection**

Purpose

To reduce the legal exposure to unlicensed software and reduce the effort required to operate and troubleshoot employee's machines, this policy has been established to restrict the installation of unauthorized software.

Scope

This policy covers all desktop and laptop computers owned or operated by **PS- Stearns, Inc.** and covers operating systems, 3rd party software, freeware and shareware applications and utilities. This policy does not govern servers. Servers will be under IT support.

Policy

The following list of operating systems and applications are authorized for use by **PSI**. For information regarding the specific release of software, please contact IT or your local administrator.

Operating Systems:

- Windows XP and Windows

Intel Based Software Applications

The following list of software applications are authorized for use by **PSI** employees on Intel-based desktop and laptop systems.

Base Software:

All systems will have the following basic software installed:

- Norton or Similar Anti-Virus Corporate Software
- Internet Explorer
- Adobe Acrobat (where required)

Standard Office Productivity Software:

All systems will have the following basic software installed or will be connected to a Terminal Server running this software:

- Microsoft Outlook, Word, and Excel.

Software Not Permitted Without Permission

Due to network implications and security issues, the following software will not be allowed on any computer unless approved by IT.

This list does not contain all the possible software applications that cannot be installed.

- Yahoo Messenger and ICQ
- Stock Tickers and Streaming Radio
- Any additional screen savers (Web Shots etc.)
- Any additional desktop patterns
- Distributed file sharing utilities
- Network sniffing or protocol analysis programs
- Password "cracking/decryption" tools
- Terminal emulation or Xwindow clients

II. STAFFING

❖ STAFFING CAPABILITIES (CONCURRENT REVIEW/SUMMARY FROM SECTION 1)

A. HOW AMBASSADORS ARE SELECTED FOR ASSIGNMENTS

Our process for staffing begins by first evaluating the type of ambassador that is needed for the assignment. Our database that manages our field reps is detailed with information that includes rep attributes, interests, and work history. Also included is a performance summary on completed assignments. We first resort to contacting proven reps that are well established with our company. This also supports our desire to have long lasting relationships with our employees with the hope of providing more regular opportunity. However, recruiting is constant. This type of work is essentially categorized as part-time, and on an on-call basis. So, reps may or may not be available for every assignment. The reasons may include the following: Limited time frame (the shorter the time frame, the more difficult it is to find reps with a free schedule), or Life changes (move to another state or city, pregnancy, or other which takes them out of market for some time or permanently).

After we have done a thorough evaluation of our current staff, we then look to recruit, train and hire new personnel as needed.

Regardless of time frame available to staff, reps must be able to comply with state and federal regulations for employment, as well as complete a successful background check. We were founded over 30 years as an employee based operation. Our agency works hard to insure we are following and in knowledge of federal and state labor laws across the nation. We work with event managers to insure they are helping to moderate compliance on-site as well as communicate specifics to hired ambassadors. We can provide state law variables to our client as deployments are scheduled.

We are 100% compliant with Federal, State, and Local laws and carry all necessary insurance including Workers Comp and I9 compliance. Background checks are conducted on all hired employees.

TRAINING

Training is a requirement for all hired personnel for our agency and includes communication of basic agency guidelines and regulations. Our agency knows that every person hired is a reflection of PS-Stearns, and we take this personally. Furthermore, we know that eventually each hired person will represent our client. We want our PS-Stearns rep to SHINE and WOW our client, and also the consumers they engage.

Further, our reps receive brand specific training when hired for an event. The method utilized is typically chosen by our client and we partner with them to select the best one. Our agency has accommodated many training types which include phone, webinar, on-line, and in-market. We coordinate this effort with our clients to determine what type of training best suits the initiative. PS-Stearns goes above and beyond to insure that our communication is consistent and thorough with our client, to communicate key information back to our employees and avoid leaving anything essential to the project out. We want our reps to be well-versed and prepared to represent your brand.

Training is a tool to further emphasize key components of an event and brand; however, for our agency, basic event details are covered with the rep upon hiring them for the assignment to be sure they understand expectations right from the start.

ADDITIONAL TRAINING FEES

We are an agency that is HANDS ON with our employees. This means that we don't rely on email communication only or print. We stay in communication with our reps once they are hired for an assignment. So, after a billable training session, we would continue to reiterate vital information verbally and more to insure reps are not forgetting important marketing techniques and brand essential information. If a rep is required to take part in another type of formal training we can work with you to negotiate a cost. If you are looking for a supplemental review, we could work out a flat fee. But, a fee would only be charged if we are coordinating a "live" type of session with our reps at one time. We would not charge our client for supplemental review time that is on-line/web-based, or typical one-on-one communication with our reps. We offer constant communication "as an agency standard", a difference that sets us apart from other agencies.

We know that investing in a partner to assist with marketing deployments is a large one. This is one of the many reasons we believe that partnering with our agency brings "added value" at no additional cost. We go above and beyond your expectations to manage our people so you don't have to worry. This allows our client to have more time to work on the things that we will not be involved in. With extra communication, extra staff on hand always, and commitment to every project, we can insure you that your event is successful.

PS Stearns will eliminate extra costs by being a full service company that can be a one stop shop for your staffing investment.

SUPPORT

We pride ourselves in our desire to be a hands-on management team that is passionate about succeeding in everything we do. PS-Stearns is an award winning agency because of the lengths we go to exceed our client's expectations. Excellent customer service means providing a service that is convenient for our clients. We truly believe that excellent communication is one of the best gifts we can provide our clients.

We deliver on our promise to provide round the clock support – 24/7. We will provide our direct cell numbers to our clients for convenience, but we also provide a primary contact for your account that you can reach at your convenience. So, if you have any questions or need additional help, call us. We will be available- we guarantee it. If we can't answer the question on the spot, we will research the answer and get back to you ASAP with the answer.

COMMUNICATION IS THE KEY TO BUILDING RELATIONSHIPS WITH OUR CLIENTS AND EMPLOYEES.

STAFF MAINTENANCE SOFTWARE

A. What system do we use to staff, monitor performance, pull execution, reports and other?

PS-Stearns uses a proprietary system that was created just for our line of work. We are able to schedule and track performance of all employees, as well as compile reports, shipping manifests, payouts, accounts payable/receivables and more.

B. Is our database accessible to your client? Does it include headshots, and how often is that updated for active members of the database?

A client may have access to our site to monitor event information. We provide a USER NAME and PASSWORD for viewing purposes. A client is able to pull up info that they choose based on set up for their specific project or event. This includes but is not limited to employees bios, headshots, and unique talents or skills; check-in, reporting, event photos, and final summaries.

C. How often are the members of our database contacted to keep the information in the database current to insure you are getting ambassadors that meet your target audience?

We allow for employees to update their personal info by logging in at any time; however, we send out a direct appeal to all employees to update annually, a lot can change in a year.

D. BRAND AMBASSADOR PERFORMANCE

Performance is measurable. While we may be one of the fastest growing marketing companies in the industry, we know that companies don't succeed, people do. We make every effort to get to know our personnel and make them feel they are part of the PS-Stearns team. We are always looking for bright, creative, and committed individuals who thrive on making a positive impact, and who proactively pursue excellence every day.

*Our goal is to be hands on and to talk to our employees regularly. We evaluate our employees and reward great personnel to retain outstanding performers. By communicating frequently, and rewarding good performance, employees feel appreciated and seem to develop loyalty for the company they work with. Although not an absolute guarantee of tenure, it does contribute to the overall health of a company by building relationships with the people that work for you, and letting them know- **THEY MATTER**. We have employees with a 15+ year tenure.*

We increase and diversify our employee base by developing and improving our efforts via:

- *Frequent Random Audits of our own employees at our cost to monitor execution and on-site performance.*
- *Ongoing Training: to keep our personnel up to date of industry standards and other expectations*
- *Quarterly Reviews by Auditors: performance is monitored and graded.*
- *Incentive Based Performance: upon successful completion of the following, personnel can earn additional pay per event- On-date Execution, 100% reporting compliance, and/or increased sales lift via scan data. *** Employees have a "1 offense" for critical violations.*

III. REFERENCES

Angela Knox | Operations

Pierce Promotions | 178 Middle Street, 2nd FL, Portland, ME 04101
p. 207.523.4021 | angela.knox@ppem.com
(Tracfone- client for over 10 years)

Kezia Hinchey | Client Services Manager

Eventus | 31 8750 NW 36th Street, Miami, FL 33178
p. 305.503.8431 | khinchey@eventuslive.com
(Unilever- new client 2020-2021)

Elliott Diesenhaus | Director of Retail & Visual Marketing

Mission USA | 60 E. 42nd Street, NY, NY 10165
p. 646.780.5582 | Elliott.Diesenhaus@mission.com
(Mission Enduracoll Towels – 1 YR)

****Other references available upon request.**

IV: COST MATRIX/PRICING

NOTE: !! All rates are negotiable!Additional fees may be incurred for each project if determined by client not predicted in advance.**

(1) PASSENGER SATISFACTION SURVEY (5 deployments)

8 Hour Shifts: 1 Manager, 4 Brand Ambassadors

Responsibilities: Promote passenger satisfaction survey to DCTA passengers through a variety of grassroots efforts, including but not limited to riding DCTA vehicles across all modes. Maintain collected surveys and return to DCTA administrative office. Promote passenger satisfaction surveys to A-train riders. Engage customers at the DDTC in between train times. Maintain collected surveys and return to DCTA administrative office

- **BAS @ 8 hr shift @ \$46.00 per hour = \$368 X 4= \$1,472.00**
- **Manager @ \$75 per hour = \$600.00**
- **Back-Up = \$100.00**
- **1-2 hour reporting @ \$50 FLAT FEE= \$50**
- **1 hour training @ \$40 per hour= \$200.00**
 - **Total Cost = \$2,422.00 each deployment**

(2) STATE FAIR OF TEXAS, Street Team Deployment (4 DEPLOYMENTS)

4 Hour Shifts: 1 Manager, 4 Brand Ambassadors

Responsibilities: Hand out fliers in highly populated areas to promote traveling to the State Fair OF Texas via the DCTA A-train (promote connectivity with DART). Goal is to boost overall ridership during the time of the Fair. Fully understand the DCTA transit system. Complete street team report and submit to DCTA administrative office

- **BAS @ 4 hour shifts, @ \$38.00 per hour = \$152 X 4 = \$608**
- **Manager @ 4 hour shift @ \$55 per hour = \$220.00**
- **1 back up @ \$100 per day = \$100.00**
- **1-2 hour reporting @ \$50 FLAT FEE= \$50**
- **1 hour training @ \$40 per hour= \$200.00**
 - **Total Cost: \$1,178.00 each deployment**

(3) MAIN EVENT PARTICIPATION- (3 TOTAL EVENTS, VARIABLE HOURS)

Brand ambassadors to assist DCTA staff on site DCTA staff to as Manager

Responsibilities: Set up, operate and tear down of event space (with leadership from a DCTA staff member). Engage consumers at the booth to promote DCTA services. Fully understand the DCTA transit system. Manage on-site games and raffles. Assist with promotional item inventory and daily counts

Denton Arts & Jazz Festival

- **10.01.21, 3:00 pm- 11:00 pm, 6 hours @ \$38.00 per hour= \$228.00 per rep**
- **10.2.21, 10:00am- 11:00 pm, 13 hours @ \$38.00 per hour=\$494.00 per rep**
- **10.3.21 , 11:00am- 9:00 pm, 10 hours@ \$38.00 per hour=\$380.00 per rep**
- **Add over time for hours over 8 per day: \$456.00 (total 1 rep)**
 - **Total Cost: \$1,558.00**

Lewisville Western Days

- 9.24.21, 5:00 pm- 11:30 pm, 6.5 hours @ \$38.00 per hour=\$247.00 per rep
- 9.25.21, 10:00 am – 12:00 am, 14 hours @ \$38.00 per hour= \$532.00 per rep
- Add over time for hours over 8 per day: \$342.00 (total 1 rep)
 - **Total Cost: \$1,121.00**

Highland Village Balloon Festival

- 8.13.21, 5:00 pm- 11:00 pm, 6 hours @ \$38.00 per hour= \$228.00 per rep
- 8.14.21, 6:00 am –12:00 pm, 6 hours @ \$385.00 per hour=\$228.00 per rep
- 8.15.21, 6:00 am- 12:00 pm, 6 hours @ \$38.00 per hour=\$228.00 per rep
 - **Total Cost: \$684.00**

(4) POINT-IN-TIME SURVEYS- (2 TOTAL SURVEYS PER YEAR)**4 Hour Shifts: 4 Brand Ambassadors**

Responsibilities: Pick up and drop off necessary supplies. Engage customers on various modes of transit. Maintain ability to answer questions regarding the survey and services. Return all completed surveys.

- BAS @ 4 hour shifts, @ \$38.00 per hour = \$152 X 4 - \$608
- 1 back up @ \$100 per day = \$100.00
- 1-2 hour reporting @ \$50 FLAT FEE= \$50
- 1 hour training @ \$40 per hour= \$160.00
 - **Total Cost: \$918.00**

(5) PARKING LOT SURVEYS (2 TOTAL SURVEYS PER YEAR)**4 Hour Shifts: 2 Brand Ambassadors**

Responsibilities: Ability to log vehicles in parking lots at various times of the day. Return completed date logs to DCTA managements.

- BAS @ 4 hour shifts, @ \$46.00 per hour = \$184 X 2 - \$368
- 1 back up @ \$100 per day = \$100.00
- 1-2 hour reporting @ \$50 FLAT FEE= \$50
- 1 hour training @ \$46 per hour= \$92.00
 - **Total Cost: \$610.00**

(6) TABLETOP EVENTS (2 TOTAL SURVEYS PER YEAR)**8 Hour Shifts: 2 Brand Ambassadors**

Responsibilities: Pick up and drop off necessary supplies. Set up, operate and tear down tabletop space. Engage the public on DCTA services, programs and promotions. Ability to answer questions about DCTA services, programs and promotions. Take photos of event, log foot traffic and track promotional inventory usage. Provide full recap report of tabletop activities

Pricing without DCTA manager on site:

- BAS @ 8 hour shifts, @ \$46.00 per hour = \$368 X 2 - \$736
- 1-2 hour reporting @ \$50 FLAT FEE= \$50
- 1 hour training @ \$46 per hour= \$92.00
 - **Total Cost: \$878.00**

Pricing with DCTA manager on site:

- BAS @ 8 hour shifts, @ \$38.00 per hour = \$304 X 2 - \$608
- 1-2 hour reporting @ \$50 FLAT FEE= \$50
- 1 hour training @ \$38 per hour= \$76.00
 - **Total Cost: \$734.00**

V: SYSTEM REPORTING

Our agency has the ability to deliver same day reporting.

*PS-Stearns provides **SMARTER- EFFICIENT REPORTING**. Our goal is to provide more value to our client than any other competitor. We strive for quick, accurate reporting to gauge success and evaluate effectiveness (ROI).*

We understand how important this is, and work to make reporting simple by using technology advances. Brand ambassadors can capture and track info from the field through mobile phones. Using a variety of methods, they can capture the moment with photos and this information can be uploaded through project galleries that can be set up at client request. Most information is technically gathered using a primarily "paper-less" method. Proof of performance is captured via photo, video, audit and feedback.

The PS-Stearns ambassador can also report utilizing our automated IVR system tied into our on-line company site. When using our system, check in (at the start) and survey reporting (at the end of the event) is real time. On-line reporting allows for convenience across variable time zones. This information can be pulled into a data file and then emailed to our client for convenience. A client may have access to our site to monitor this information using a provided USER NAME and PASSWORD for viewing purposes. If a client chooses to set up their own system via Survey Monkey or something similar, we provide this information to our reps instead of our own. We will work with the client to come up with the best method to capture the required data and accommodate any systems.

And, we can deliver information fast! We require that all reporting is complete by a manager and/or brand ambassadors within 24-48 hours of completion of each event OR SOONER if necessary. This allows our clients the data and feedback needed to analyze the ROI of the event(s) and make adjustments needed to future executions. We will provide a complimentary notification when all information is gathered either by email or text.

PS-Stearns is dedicated to constantly improving our systems to manage our events and to accurately capture results. We continually invest in technology advances that can better our processes, and allow us to staff events faster, and provide measurable data, therefore meeting your demands.

VI: ATTACHMENTS

- ✓ Company Overview (brochure) included with this proposal
- ✓ PSI One Page Ad

VII: APPENDIX

The following documents/forms were completed by Officer of PSI and submitted online:

- Bidders Questionnaire
- Form CIQ Conflict of Interest Questionnaire
- Non-Collusion Affidavit
- Prohibition of Contracts with Companies Boycotting Israel



INTRODUCTION

PS-Stearns, Inc. is a turn-key agency that works to elevate the industry, by providing best-in-class service. PS-Stearns provides staffing solutions and campaign management assistance to our clients and consistently delivers on our promise to achieve the highest execution rates and overall client satisfaction.

Our business? People. Staffing and managing event personnel is our specialty.

The information included will detail why partnering with PS-Stearns is the best choice for your event staffing needs.

Choosing PS-Stearns is choosing confidence with experience



HISTORY

PS-Stearns is a privately owned marketing company founded in 1988 in Erie, Pennsylvania. Still family owned, we have a strong foundation and work to build lasting relationships. We value our clients and our employees.

Our reputation of integrity and track record of accomplishments, have made us one of the nations most respected pioneers and a Best-in-Class agency.

PS-Stearns is a proven source to elevate the face of event marketing.

MISSION

the best product...always

PS-Stearns is driven by passion to deliver results. We are never content with the status quo and strive to redefine industry standards by continually raising our own.

Dedicated to success at every level, PS-Stearns works to meet every client expectation to bring the best possible results, regardless of how specific the criteria.

Our goal is to provide the best service and the best product...always.



CUSTOMER SATISFACTION

Your satisfaction matters. Effective communication and reliability are key. We aim to raise industry standards with an overall goal to enhance the consumer experience, increase brand awareness, and the return on investment. After all, this is what a good program accomplishes for its stakeholders. PS-Stearns brings the event experience to the next level while providing excellent customer service.

We provide our clients with a truly world-class service partner.

PS-Stearns... up front with our customers, committed to service, committed to your success.



SERVICE

PS-Stearns is your national AWARD WINNING event staffing solution.

With a primary focus of staffing live experiential events, we make the entire process seamless and simple for both our client and our personnel. And, our desire to exceed expectation allows us to consistently meet and exceed our client standards.

We will provide the best available personnel wherever and whenever they are needed. Superior service- start to finish. So, why not let us help you find the perfect fit to promote your brand?

Our diverse range of personnel includes:

- Brand Ambassadors/Models
- Event/Tour Managers
- Tradeshow Talent
- Spokespeople
- Costume Characters
- Street Teams, and More!



QUALITY

While we may be one of the fastest growing marketing companies in the industry, we know that companies don't succeed, people do. We make every effort to get to know our personnel and make them feel they are part of the PS-Stearns team.

Our people are the very best. We know our event professional plays a critical role in enhancing the client's marketing objectives. For this reason, we select the right personnel for specific targeted groups.

The PS-Stearns professional is chosen for their outgoing personalities, competence, and reliability. Our detailed screening process includes a background check. Each PS-Stearns employee is extensively trained to be courteous, knowledgeable, and efficient, therefore increasing the value brought to you. Additionally, specific to each event, key promotion objectives and special instructions prior to execution are reinforced with live and/or pre-recorded phone training, webinar, or an in market session.

We are always looking for bright, creative, and committed individuals who thrive on making a positive impact, and who proactively pursue excellence every day.



PERSONNEL DEVELOPMENT



Performance is measurable. We evaluate our employees and reward great personnel to retain outstanding performers.

And, we work to increase and diversify our employee base by developing and improving our efforts via:

- Constant Recruiting: always looking for personnel
- Ongoing Training: group, phone, web, and other methods are used to keep our personnel up-to-date of industry standards and other expectations
- Quarterly Reviews by Auditors: performance is monitored and graded
- Incentive Based Performance: upon successful completion of the following criteria- On-date Execution, 100% reporting compliance, and/or increased sales lift via scan data, personnel can earn additional pay

SYSTEMS

Our team is dedicated to constantly improving our systems to manage our events and to accurately capture results. We continually invest in technology advances that can better our processes, allow us to staff events faster, and provide measurable data, therefore meeting your demands.

The following details in our internal system are crucial to the success of every project.

- Interactive Voice Response (IVR)
(Automated phone/web event Reporting)
- A dedicated HANDS-ON management team
- Excellent, consistent communication
- On-line tracking and visibility
- 24/7 staff accessibility
- Emergency talent replacement



EVENT EXECUTION

on-time, on-date...superior



After executing more than 170,000 events over the last four years on behalf of our clients, PS-Stearns, Inc. has proven to be the “best of the best” in the event staffing industry. We have an outstanding record of experience and success.

PS-Stearns goes above and beyond what is expected every time. We are all about giving you extra added value for your dollar. We work around the clock to ensure real results by providing qualified personnel, quick problem solving on the field, attention to detail, real-time reporting, and accurate billing.

You will find a dedicated account team assigned to your program with support around the clock. Real time progress reports from the field and full event recaps will allow you to gauge success throughout the project.



OUR DIFFERENCE

In conclusion, we can be the final piece to the puzzle. PS-Stearns, the industry's leading event management staffing agency, can bolster your marketing initiatives and connect your brand to the consumer through the following relevant tactics:

- Superior event management capabilities: We will manage deployments of all our employees with a hands-on approach that is beyond comparison. Further, we will train and manage communication of all event specifics. Contract requirements will be met and set forth with adherence by all agency personnel representing PS-Stearns and our client.
- Best-in class staffing execution: We will exceed expectation utilizing professionals that will make a positive lasting impression for your brand. Every brand is different and not all ambassadors fit every casted roll. We take this very seriously and work with our client to insure we get the right fit for the brand.
- Improved execution accountability
- Unprecedented technology
- Enhanced reporting and visibility: We will provide detailed, accurate reporting which includes the utilization of provided materials, real-time feedback from "people on the street," photos which showcase each activation, and any ROI.
- Elimination of extra costs
- Measurable & Visible results!



PHOTO EVENT RECAP



WHAT WILL YOUR BRAND SAY?



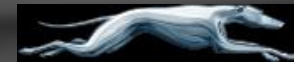
PHOTO EVENT RECAP



TALENT SAMPLE



CLIENTS



simplehuman



Just a sample of our fine clients, staffing either directly or through our affiliate marketing corporations.



CONTACT US



PS-Stearns, Inc.
3036 West 26th Street
Erie, PA 16506
www.ps-stearns.com

Michelle Stearns-Marzka
Director of Operations
814/835-0140 x 222

Michael Stearns
Director of Client Accounts
814/835-0140 x 227

Santina Stearns
CEO/President





We Make it Matter

Meaningful Marketing Matters. PS-Stearns is driven by passion to deliver results. Our primary focus is to provide staffing solutions and campaign management assistance which help bring our client's ideas to life. Our reputation of integrity and track record of accomplishments, have made us one of the nations most respected pioneers and an award winning Best-in class agency.

Dedicated to success at every level, PS-Stearns works to exceed client expectations. Committed to building relationships and to understanding our client's needs and objectives, we provide the best service and the best product...always.

PS-Stearns... 30 years...committed to service, committed to your success.

OUR DIFFERENCE...

- Passionate commitment
- Superior event management capabilities
- Devoted to relationships
- Effective, consistent communication
- Phenomenal people
- Improved execution accountability
- Unprecedented technology
- Enhanced reporting and visibility
- Elimination of extra costs
- Measurable & Visible results!



- ✓ Providing Quality Service
- ✓ Building Relationships & Connections
- ✓ Enhancing Consumer Experience
- ✓ Face-to-Face Interaction
- ✓ Expanding Brand Awareness
- ✓ Making a Positive Impact
- ✓ Increasing Investment Returns
- ✓ Satisfied Customers



... CHOOSE US!

We're ready! Are you?

Supplier: **PS-Stearns, Inc.****BIDDER'S QUESTIONNAIRE**

1. Name of Contractor ("Business", herein) PS-Stearns, Inc.		19. Is any litigation pending against the Business? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
2. Doing Business As (other business name if applicable)		20. Has the Business been debarred, suspended, proposed for debarment, and declared ineligible, voluntarily excluded or otherwise disqualified from bidding, proposing or contracting? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Federal Tax ID Number 25-1881658		21. Has the Business ever been a defaulter, as principal, surety or otherwise? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
4. Business Mailing Address (include City/State/Zip Code) 3036 West 26th Street		22. Has the government or other public entity requested or required enforcement of any of its rights under a surety agreement on the basis of a default or in lieu of declaring the Business in default? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Business Email Address michelle@ps-stearns.com		23. Is the Business in arrears upon a contract or debt? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
6. Business Telephone 18148350140	Business Fax Number 18148350638	24. Are there any proceedings pending relating to the Business' responsibility, debarment, suspension, voluntary exclusion or qualification to receive a public contract? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
7. Business Type Marketing Consulting Firm		25. Have liquidated damages or penalty provisions been assessed against the Business for failure to complete the work on time or for any other reason? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
8. Number of Years in Business 33		26. If a "yes" response is given to questions 17-25, please provide a detailed explanation including dates, references to contract information, contacts, etc. (attach additional pages as necessary). DCTA reserves the right to inquire further with respect thereto
9. Annual Gross Revenue for the past three years (M = Millions) <input type="checkbox"/> \$1M or Less <input checked="" type="checkbox"/> \$1M-\$5M <input type="checkbox"/> \$5M-\$10M <input type="checkbox"/> \$10M-\$16M <input type="checkbox"/> \$16M+		27. List the name and business address of each person or each entity which has a 10% or more ownership or control interest in the Business (attach additional pages as necessary).
10. Number of Employees <input type="checkbox"/> 100 or Less <input type="checkbox"/> 101-500 <input type="checkbox"/> 501-750 <input checked="" type="checkbox"/> 751-1,000 <input type="checkbox"/> 1,001+		Santina M. Stearns, 100%
11. Is Business a DBE Firm? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		I, individually and on behalf of the business named above, do by my signature below certify that the information provided in this questionnaire is true and correct. I understand that if the information provided herein contains any false statements or any misrepresentations: 1) DCTA will have the grounds to terminate any or all contracts which DCTA has or may have with the business; 2) DCTA may disqualify the business named above from consideration for contracts and/or 3) DCTA may have grounds for initiating legal action under federal, state or local law. Note: This questionnaire is also a certification form; the information requested will be used to determine small business status as per 13 CFR Part 121. Additionally, this information will allow DCTA to report the amount of subcontracting activity for DCTA.
12. Is Business Owned by Minority Ethnicity? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
13. Ethnic Group Black American Hispanic American Native American Other	Subcontinent Asian American White/Caucasian Asian Pacific American	
14. Woman Owned? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Michelle M. Stearns-Marzka
15. Veteran Owned		Printed Name

☐ Yes ☒ No

16. Type of Work Performed

☐ Manufacturing ☒ Professional Service
☐ Retail ☐ General/Technical Service

17. Has the Business, or any officer or partner thereof, failed to complete a contract?

☐ Yes ☒ No

18. Has the Business ever been declared "Not Responsible"

☐ Yes ☒ No

Chief Operating Office

Title

Michelle M. Stearns-Marzka

Signature of owner

2/8/21

Date

michelle@ps-stearns.com

Email Address

(Owner, CEO, President, Majority Stockholder or Designated Representative) Questions about this document should be directed to the Procurement Manager

Supplier: **PS-Stearns, Inc.**

CONFLICT OF INTEREST QUESTIONNAIRE		FORM CIQ
For vendor or other person doing business with local governmental entity		
This questionnaire is being filed in accordance with chapter 176 of the Local Government Code by a person doing business with the governmental entity.		OFFICE USE ONLY Date Received
By law this questionnaire must be filed with the records administrator of the local government not later than the 7 th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.		
A person commits an offense if the person violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.		
1	Name of person doing business with local governmental entity. PS STEARNS INC	
2	<input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than September 1 of the year for which an activity described in Section 176.006(a), Local Government Code, is pending and not later than the 7 th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)	
3	Describe each affiliation or business relationship with an employee or contractor of the local governmental entity who makes recommendations to a local government officer of the local governmental entity with respect to expenditure of money. none	
4	Describe each affiliation or business relationship with a person who is a local government office and who appoints or employs a local government officer of the local governmental entity that is the subject of this questionnaire. none	

CONFLICT OF INTEREST QUESTIONNAIRE		FORM CIQ
For vendor or other person doing business with local governmental entity		Page 2
5	Name of local government officer with whom filer has affiliation or business relationship. (Complete this section only if the answer to A, B, or C is YES.) This section, item 5 including subparts A, B, C & D, must be completed for each officer with whom the filer has affiliation or	

business relationship. Attach additional pages to this Form CIQ as necessary.

A. Is the Local government officer named in this section receiving or likely to receive taxable income from the filer of the questionnaire?

☐ YES ☒ NO

B. Is the filer of the questionnaire receiving or likely to receive taxable income from or at the direction of the local government officer named in this section AND the taxable income is not from the local governmental entity?

☐ YES ☒ NO

C. Is the filer of this questionnaire affiliated with a corporation or other business entity that the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

☐ YES ☒ NO

D. Describe each affiliation or business relationship.

none

6	Describe any other affiliation or business relationship that might cause a conflict of interest.
	none
7	
<div><div>Michelle M. Stearns-Marzka Signature of person doing business with the governmental entity</div><div>2/8/2021 Date</div></div>	

Supplier: **PS-Stearns, Inc.**

NON-COLLUSION AFFIDAVIT

This affidavit must be completed and submitted with the bid/proposal

The authorized representative for bidder / proposer, **PS-Stearns, Inc.**, being first duly sworn, deposes and says that he or she is of the party making the foregoing bid, that the bid is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the bid is genuine and not collusive or sham; that the bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham bid, and has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that the bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the bid price, or of that of any other bidder, or to secure any advantage against the public body awarding the contract of anyone interested in the proposed contract; that all statements contained in the bid are true; and, further, that the bidder has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company, association, organization, bid depository, or to any member or agent thereof to effectuate a collusive or sham bid.

Michelle M. Stearns-Marzka

Signature of Authorized Company Representative

Chief Operating Officer

Name and Title of Authorized Company Representative

2/8/2021

Date

Subscribed and sworn to before me on 2/8/2021 (Date)

(Notary Seal)

Signature Notary Public

Supplier: **PS-Stearns, Inc.**

Prohibition of Contracts with Companies Boycotting Israel ***This form must be completed and submitted with the bid/proposal***

House Bill 89, effective September 1, 2017, amended the Texas Government Code to add Chapter 2270, Prohibition of Contracts with Companies Boycotting Israel.

Effective September 1, 2017, a state agency and a political subdivision (which includes a transportation authority) may not enter a contract with a company for goods or services unless the contract contains a written verification from the company that: (i) it does not Boycott Israel; and (ii) will not Boycott Israel during the term of the contract.

"Boycott Israel" is defined to mean refusing to deal with, terminating business activities with, or otherwise taking any action that is intended to penalize, inflict economic harm on, or limit commercial relations specifically with Israel, or with a person or entity doing business in Israel or in an Israeli-controlled territory, but does not include an action made for ordinary business purposes.

"Company" is defined to mean a for-profit sole proprietorship, organization, association, corporation, partnership, joint venture, limited partnership, limited liability partnership, or limited liability company, including a wholly owned subsidiary, majority-owned subsidiary, parent company, or affiliate of those entities or business associations that exists to make a profit.

"I, **Michelle M. Stearns-Marzka** (Name of certifying official), the **Chief Operating Officer** (title or position of certifying official) of **PS-Stearns, Inc.** (name of company), verifies that (i) it does not Boycott Israel; and (ii) will not Boycott Israel during the term of the Contract. This section does not apply if the Company is a sole proprietor, a non-profit entity or a governmental entity; and only applies if: (i) the Company has ten (10) or more fulltime employees and (ii) this Contract has a value of \$100,000.00 or more to be paid under the terms of this Contract.

Michelle M. Stearns-Marzka

Signature of Certifying Official Title:

Title: **Chief Operating Officer**

Date: **2/8/21**

Board of Directors Memo

April 22, 2021

SUBJECT: Consider Approval Of Assignment of Ground Lease From Eastsky Hebron Phase 3 and 4 Owner LLC (“Assignor”) to Eastsky Hebron Phase 3 and 4 Owner LLC ; Eastsky Hebron Phase 3 and 4 Owner II LLC; and Eastsky Hebron Phase 3 and Phase 4 Owner III LLC as Tenants In Common (“Assignee”).

Background

In coordination with the City of Lewisville in 2016, DCTA entered into a Ground Lease Agreement with Riverside DPH, L.P. to lease a small portion of DCTA’s land at the Hebron Station allowing the developer (Huffines) to construct and maintain parking and additional driveway access to the Hebron 121 Station multifamily development.

In exchange for the land lease arrangement, Riverside DPH, LP. agreed to construct and maintain additional active transportation components to improve bike and pedestrian connectivity between the development and the Hebron Station. The active transportation components included a sidewalk with lighting along the newly constructed driveway as well as an additional sidewalk with lighting connecting the northeastern quadrant of the development to the Hebron Station.

The portion of land required to complete the developer’s request was initially purchased by DCTA using federal funds. To meet federal requirements for allowing the private sector to lease portions of the Agency’s land, DCTA worked with the initial adjacent property owner, Riverside DPH, LP. and the Federal Transit Administration (FTA) to complete the federal Joint Development process which demonstrated how DCTA would receive a greater value of return from the project than the value of the portion of land being leased by the developer. The Joint Development process was completed and approved by the FTA in 2016.

Previous Board Activity & Action

January 28, 2021	Board approved and authorized the CEO to execute a ground lease assignment to the ground lease assignment to Eastsky Hebron Phase 3 and 4 Owner LLC.
July 23, 2020	Board approved and authorized the CEO to execute ground lease assignment to HC Hebron 121 Station 4, LLC.
July 2017	Board approved and authorized the CEO to execute an amendment to the ground lease agreement which added irrigation to the project.
March 2016	Board approved and authorized the CEO to execute a ground lease agreement with Riverside DPH, L.P.

Identified Need

The Hebron 121 Station property ownership was previously assigned to Eastsky Hebron Phase 3 and 4 Owner LLC. The Parties have requested the ground lease be assigned to Eastsky Hebron Phase 3 and 4 Owner LLC; Eastsky Hebron Phase 3 and 4 Owner II LLC; and Eastsky Hebron Phase 3 and Phase 4 Owner III LLC as tenants in common.



Financial Impact

There is no financial impact to DCTA for transferring the ground lease to the new owners.

Recommendation

Staff recommends approval of the Assignment of the Ground Lease to Eastsky Hebron Phase 3 and 4 owner LLC, a Delaware limited liability company, Eastsky Hebron Phase 3 and 4 owner II LLC, a Delaware limited liability company, and Eastsky Hebron Phase 3 and 4 owner III LLC, a Delaware limited liability company, as tenants-in-common.

Exhibits

Exhibit 1: Assignment of Ground Lease

Approval:

A handwritten signature in blue ink, appearing to read "K. Holcomb", is written over a horizontal line.

Kristina Holcomb, Deputy CEO

ASSIGNMENT OF GROUND LEASE

This Assignment of Ground Lease (this "Assignment") is made and entered into effective as of the 22nd day of April, 2021 (the "Effective Date") by and (i) EASTSKY HEBRON PHASE 3 AND 4 OWNER LLC, a Delaware limited liability company ("Assignor"), and (ii) EASTSKY HEBRON PHASE 3 AND 4 OWNER LLC, a Delaware limited liability company, EASTSKY HEBRON PHASE 3 AND 4 OWNER II LLC, a Delaware limited liability company, and EASTSKY HEBRON PHASE 3 AND 4 OWNER III LLC, a Delaware limited liability company, as tenants in common (collectively, the "Assignee")

A. Reference is hereby made to that certain Ground Lease Agreement dated August 18, 2016, between Denton County Transportation Authority, a Texas coordinated county transportation authority ("DCTA"), as lessor, and Assignor (as successor by assignment from HC Hebron 121 Station 4, LLC), as lessee, as amended by First Amendment to Ground Lease Agreement dated effective May 4, 2017 (collectively, the "Ground Lease"), under which Assignor, as lessee, leases from DCTA and DCTA, as lessor, leases to Assignor, certain premises located in Denton County, Texas, as more particularly described on Exhibit A and depicted on Exhibit B attached hereto (the "Leased Premises").

B. By Special Warranty Deed recorded as Document No. _____ in the Official Records of Denton County, Texas, HC Hebron 121 Station 4, LLC sold and conveyed to Assignee certain real property described as Lot 4, Block B, Lots 2 and 3, Block C and Lot 2, Block E of HEBRON 121 STATION ADDITION PHASE 4 in Denton County, Texas, that benefits by the Improvements (as defined in the Ground Lease) on the Leased Premises.

C. Assignor desires to transfer and assign to Assignee, all of Assignor's right, title and interest, as lessor under the Ground Lease, and Assignee desires to take assignment of the Ground Lease and assume all of Assignors' right, title and interests in and to the Ground Lease and to assume all obligations of Assignor thereunder.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby transfers and assigns to Assignee all of Assignor's right, title and interest in and to Ground Lease including all of Assignor's obligations and liabilities thereunder, and Assignee hereby accepts the assignment of Assignor's right, title and interest in and to the Ground Lease and assumes all of Assignor's obligations and liabilities thereunder.

Pursuant to Section 8.01 of the Ground Lease, DCTA joins in execution of this Assignment to evidence its consent to Assignor's sale of the Leased Premises to Assignee, and to Assignor's assignment of the Ground Lease to Assignee and Assignee's acceptance and assumption of all obligations and liabilities thereunder first accruing after the Effective Date.

This Assignment may be executed in two or more counterparts and each of such counterparts, for all purposes, shall be deemed to be an original but all of such counterparts

together shall constitute but one and the same instrument, binding upon all parties hereto, notwithstanding that all of such parties may not have executed the same counterpart. Facsimile or pdf signatures shall be binding.

This Assignment if executed as of the date first set forth above.

ASSIGNOR:

EASTSKY HEBRON PHASE 3 AND 4 OWNER LLC,
a Delaware limited liability company

By: _____
Name: Chaim Kiffel
Title: President

THE STATE OF _____ §
COUNTY OF _____ §

This instrument was acknowledged before me on _____, 2021 by Chaim Kiffel, as President of EastSky Hebron Phase 3 and 4 Owner LLC, a Delaware limited liability company, the Assignor of the above instrument, on behalf of said Assignor.

[seal of notary]

NOTARY PUBLIC in and for the State of _____

ASSIGNEE:

EASTSKY HEBRON PHASE 3 AND 4 OWNER LLC,
a Delaware limited liability company, as tenant-in-common

By: _____

Name: Chaim Kiffel

Title: President

THE STATE OF _____ §

COUNTY OF _____ §
§

This instrument was acknowledged before me on _____, 2021 by Chaim Kiffel, as President of EastSky Hebron Phase 3 and 4 Owner LLC, a Delaware limited liability company, an Assignee of the above instrument, on behalf of said Assignee.

[seal of notary]

NOTARY PUBLIC in and for the State of _____

EASTSKY HEBRON PHASE 3 AND 4 OWNER II LLC,
a Delaware limited liability company, as tenant-in-common

By: _____
Name: Chaim Kiffel
Title: President

THE STATE OF _____ §
COUNTY OF _____ §

This instrument was acknowledged before me on _____, 2021 by Chaim Kiffel, as President of EastSky Hebron Phase 3 and 4 Owner II LLC, a Delaware limited liability company, as Assignee of the above instrument, on behalf of said Assignee.

[seal of notary]

NOTARY PUBLIC in and for the State of _____

Denton County Transportation Authority, a Texas coordinated county transportation authority joins in execution of this Assignment solely for the purpose of evidencing its consent to the assignment made by this Assignment:

DENTON COUNTY TRANSPORTATION AUTHORITY,
a Texas coordinated county transportation authority

By: _____
Name: _____
Title: _____

THE STATE OF TEXAS §
 §
COUNTY OF _____ §

 This instrument was acknowledged before me on _____, 2021 by _____, as _____ of Denton County Transportation Authority, a Texas Texas coordinated county transportation authority, who is joining the above instrument, on behalf of said Denton County Transportation Authority.

[seal of notary]

NOTARY PUBLIC in and for the State of Texas

Board of Directors Memo

April 22, 2021

SUBJECT: Monthly Financial Statements for February 2021

Background

The financial statements are presented monthly to the Board of Directors for acceptance. The reports presented for the period ending February 28, 2021 include the Statement of Change in Net Position, Statement of Net Position, and Capital Projects Fund. These reports provide a comparison of budget vs. actual for the fiscal year as of the current month.

Previous Board Activity & Action

There has been no previous Board-level activity on this item.

Identified Need

Provides the Board a review of the agency's financial position and performance to budget.

Financial Impact

The following are major variances between year-to-date budget and year-to-date actuals, which are annotated on the Statement of Change in Net Position.

- **Note A:** Passenger Revenues – YTD unfavorable by \$7k as YTD bus ridership for Connect, Access, Zone service, North Texas Xpress, Frisco and CCT of 93k was 21% lower than budgeted ridership of 119k and YTD rail ridership of 38k which was 30% lower than budgeted rail ridership of 55k. Ridership for bus and rail remained under budget throughout the month of February in response to COVID-19, telecommuting arrangements, and declines in travel. This variance is partially offset by rail average fare per rider of \$2.37 at 58% higher than the budgeted \$1.50 fare per rider.

		YTD FY21 Actual Ridership	YTD FY21 Budgeted Ridership	% Variance, Actual to Budget	YTD FY20 Actual Ridership	% Variance, Actual to Prior Yr
Total Rail Ridership		38,425	54,603	-30%	161,874	-76%
Connect		83,094	100,812	-18%	233,692	-64%
Access & Zone Service		7,363	12,798	-42%	17,280	-57%
Frisco	(A)	876	2,811	-69%	4,021	-78%
Collin County Transit (CCT)	(A)	4,026	968	316%	6,708	-40%
North Texas Express		1,860	1,671	11%	5,729	-68%
University of North Texas	(B)	114,218	332,892	-66%	839,583	-86%
Special Movements	(B)	-	-	N/A	4,763	-100%
Total Bus Ridership		211,437	451,952	-53%	1,111,776	-81%
Vanpool	(B)	81,733	-	N/A	62,197	31%
Total System Ridership		331,595	506,555	-35%	1,335,847	-75%

(A) Includes Demand Response service and Taxi service.

(B) These ridership numbers are not linked to passenger revenues and are shown for information purposes only to include all system ridership. DCTA is installing trail counters with an anticipated usage reporting in Spring 2021.

- **Note B:** Contract Service Revenue – YTD unfavorable by \$307k primarily due to lower than budgeted revenue hours and billable fuel costs. Actual YTD billed service hours were under budget due to lower than budgeted service requested for UNT, Frisco and CCT (\$149k decreased revenue). Average YTD pass-through fuel cost of \$1.60/gallon was 42% lower than budgeted \$2.75/gallon and YTD usage of 34k gallons was 38% lower than budgeted usage of 55k gallons (\$96k decreased revenue). Additionally, Special Movements, Lyft, and Taxi services were all under budget (\$62k decreased revenue).
- **Note C:** Sales Tax Revenue – February sales tax revenue was not yet received as of month-end close and is accrued for the month based on budget. Sales tax generated in February will be received in April. The Sales Tax Report included in this agenda packet provides a more detailed Budget to Actual comparison of sales tax receipts collected through March, representing sales tax generated through January.
- **Note D:** Federal/State Grants - Capital – YTD unfavorable by \$3.7 million mainly due to timing differences of drawdowns for Positive Train Control (PTC) funding and Fleet Replacement. The PTC Enhancements project has been put on hold to ensure that future plans align with the potential partnership with DART for the joint rail operations facility. The Fleet Replacement purchase was approved by the Board in August 2020 and vehicles are expected to begin arriving in June 2021; purchase of additional fleet is on hold pending service changes.

	YTD FY21 Actual Revenue	YTD FY21 Budgeted Revenue	Variance, Actual to Budget
PTC Implementation & Enhancements	\$ 61,189	\$ 1,350,345	\$ (1,289,156)
Fleet Replacement	-	2,408,319	(2,408,319)
	<u>\$ 61,189</u>	<u>\$ 3,758,664</u>	<u>\$ (3,697,475)</u>

- **Note E:** Federal/State Grants - Operating – YTD unfavorable by \$1.6 million due in part to the delay in execution of the Fixed Guideway grant that is used for Rail Preventive Maintenance as well as a timing difference in budgeted CARES Act funding. Reimbursement requests will be made as expenses are incurred; DCTA will continue to monitor and will propose a budget revision if necessary.

	YTD FY21 Actual Revenue	YTD FY21 Budgeted Revenue	Variance, Actual to Budget
Bus Preventive Maintenance	\$ 270,158	\$ 666,169	\$ (396,011)
Rail Preventive Maintenance	176,970	822,181	(645,211)
Bus Operating Assistance	1,313,049	1,265,955	47,094
Rail Operating Assistance	1,299,806	1,787,695	(487,889)
ADA Assistance	106,019	125,000	(18,981)
Vanpool	83,431	128,922	(45,491)
Safety & Security Equipment	-	26,795	(26,795)
NCTCOG Train the Trainer	56,364	123,940	(67,577)
	<u>\$ 3,305,797</u>	<u>\$ 4,946,657</u>	<u>\$ (1,640,861)</u>

Recommendation

Staff recommends approval.

Exhibits

Exhibit 1(a): Monthly Financial Statements – February 2021

Exhibit 1(b): Capital Projects Budget Report – February 2021

Submitted By: 
Amber Karkauskas, Controller

Final Review: 
Marisa Perry, CPA, Chief Financial Officer/VP of Finance

Approval: 
Raymond Suarez, Chief Executive Officer



DENTON COUNTY TRANSPORTATION AUTHORITY

CHANGE IN NET POSITION

MONTH AND YEAR TO DATE AS OF FEBRUARY 28, 2021

(UNAUDITED)

Description	Month Ended February 28, 2021			Year to Date February 28, 2021			Annual Budget	
	Actual	Budget	Variance	Actual	Budget	Variance		
Revenue and Other Income								
Passenger Revenues	\$ 28,251	\$ 42,111	\$ (13,860)	\$ 186,116	\$ 192,634	\$ (6,518)	\$ 580,291	Note A
Contract Service Revenues	249,953	318,628	(68,675)	1,154,135	1,412,162	(258,027)	3,633,760	Note B
Sales Tax Revenues	2,250,205	2,022,897	227,308	13,237,769	9,652,419	3,585,350	26,624,124	Note C
Federal/State Grants - Capital	57,393	2,568,319	(2,510,926)	61,189	3,758,664	(3,697,475)	6,094,359	Note D
Federal/State Grants - Operating	127,372	63,022	64,350	3,305,797	4,946,657	(1,640,861)	16,506,874	Note E
Total Revenues and Other Income	<u>2,713,174</u>	<u>5,014,977</u>	<u>(2,301,803)</u>	<u>17,945,006</u>	<u>19,962,536</u>	<u>(2,017,530)</u>	<u>53,439,408</u>	
Operating Expenses								
Salary, Wages and Benefits	351,948	355,867	3,919	1,645,991	1,772,589	126,598	4,263,661	
Outsourced Services and Charges	211,694	376,208	164,514	1,200,098	2,174,274	974,176	4,934,792	
Materials and Supplies	89,999	244,272	154,273	463,035	1,248,206	785,171	2,953,519	
Utilities	35,533	42,503	6,970	145,605	212,436	66,831	508,810	
Insurance	118,828	140,658	21,830	596,656	703,290	106,634	1,685,712	
Purchased Transportation Services	676,256	914,446	238,190	3,670,926	4,544,885	873,959	11,203,657	
Employee Development	2,345	18,257	15,912	22,843	123,664	100,821	241,604	
Leases and Rentals	19,181	19,584	403	87,315	98,060	10,745	238,468	
Depreciation	798,867	891,481	92,614	3,987,244	4,179,789	192,545	10,489,375	
Total Operating Expenses	<u>2,304,652</u>	<u>3,003,276</u>	<u>698,624</u>	<u>11,819,714</u>	<u>15,057,193</u>	<u>3,237,479</u>	<u>36,519,598</u>	
Income Before Non-Operating Revenues and Expenses	408,522	2,011,701	(1,603,179)	6,125,292	4,905,343	1,219,949	16,919,810	
Non-Operating Revenues / (Expense)								
Investment Income	10,688	8,330	2,358	32,988	41,650	(8,662)	100,000	
Gain (Loss) on Disposal of Assets	-	-	-	3,850	-	3,850	-	
Fare Evasion Fee	-	-	-	-	-	-	-	
Other Income/(Expense) - Miscellaneous	12,489	-	12,489	25,961	-	25,961	200,000	
Long Term Debt Interest/Expense	<u>(38,329)</u>	<u>(47,729)</u>	<u>9,400</u>	<u>(343,886)</u>	<u>(278,225)</u>	<u>(65,661)</u>	<u>(612,330)</u>	
Total Non-Operating Revenues / (Expenses)	<u>(15,152)</u>	<u>(39,399)</u>	<u>24,247</u>	<u>(281,087)</u>	<u>(236,575)</u>	<u>(44,512)</u>	<u>(312,330)</u>	
Income (Loss) before Transfers	393,370	1,972,302	(1,578,932)	5,844,204	4,668,768	1,175,436	16,607,480	
Transfers Out	<u>(412,492)</u>	<u>(677,708)</u>	<u>265,216</u>	<u>(2,614,407)</u>	<u>(3,297,352)</u>	<u>682,945</u>	<u>(8,027,839)</u>	
Total Transfers	<u>(412,492)</u>	<u>(677,708)</u>	<u>265,216</u>	<u>(2,614,407)</u>	<u>(3,297,352)</u>	<u>682,945</u>	<u>(8,027,839)</u>	
Change in Net Position	<u>\$ (19,122)</u>	<u>\$ 1,294,594</u>	<u>\$ (1,313,716)</u>	<u>\$ 3,229,797</u>	<u>\$ 1,371,416</u>	<u>\$ 1,858,381</u>	<u>\$ 8,579,641</u>	



DENTON COUNTY TRANSPORTATION AUTHORITY

STATEMENT OF NET POSITION

AS OF FEBRUARY 28, 2021

(UNAUDITED)

	February 28, 2021	January 31, 2021	Change
Assets			
Current Assets			
Operating Cash & Cash Equivalents	\$ 38,548,574	\$ 35,020,662	\$ 3,527,912
Reserves: Cash & Cash Equivalents	5,043,525	6,526,112	(1,482,587)
Reserves: Investments	7,074,212	5,546,323	1,527,890
Accounts & Notes Receivable	5,411,817	8,743,806	(3,331,989)
Prepaid Expenses	984,404	1,129,624	(145,220)
Inventory	47,587	23,339	24,249
Restricted Asset-Cash and Equivalents	2,238,305	1,538,413	699,892
Total Current Assets	59,348,424	58,528,279	820,145
Non-Current Assets			
Land	17,394,147	17,394,147	-
Land Improvements	12,148,631	12,148,631	-
Machinery & Equipment	5,243,986	5,243,986	-
Vehicles	92,885,535	92,885,535	-
Computers & Software	1,791,431	1,791,431	-
Intangible Assets	16,997,155	16,997,155	-
Construction in Progress	20,684,545	20,675,197	9,347
Other Capital Assets, Net	234,616,978	234,616,978	-
Accumulated Depreciation	(91,077,829)	(90,278,961)	(798,867)
Net Pension Asset	25,989	25,989	-
Total Non-Current Assets	310,710,568	311,500,088	(789,520)
Total Assets	370,058,992	370,028,367	30,625
Deferred Outflow of Resources			
Deferred Outflows Related to Pensions	290,447	290,447	-
Total Deferred Outflow of Resources	290,447	290,447	-
Liabilities			
Current Liabilities			
Accounts Payable and Accrued Expenses	493,927	480,299	13,628
Deferred Revenues	47,554	49,763	(2,209)
Interest Payable	168,886	130,558	38,329
Retainage Payable	621,036	621,036	-
Total Current Liabilities	1,331,404	1,281,656	49,748
Non-Current Liabilities			
Rail Easement Payable	900,000	900,000	-
Bonds Payable	23,535,000	23,535,000	-
Net Pension Liability	-	-	-
Total Non-Current Liabilities	24,435,000	24,435,000	-
Total Liabilities	25,766,404	25,716,656	49,748
Deferred Inflow of Resources			
Deferred Inflows Related to Pensions	70,096	70,096	-
Total Deferred Inflow of Resources	70,096	70,096	-
Net Position			
Net Investment in Capital Assets	289,978,580	289,978,580	-
Unrestricted	51,304,562	51,304,562	-
Change in Net Position	3,229,797	3,248,920	(19,122)
Total Net Position	\$ 344,512,939	\$ 344,532,061	\$ (19,122)



NORTH TEXAS MOBILITY CORPORATION

CHANGE IN NET POSITION

MONTH AND YEAR TO DATE AS OF FEBRUARY 28, 2021

(UNAUDITED)

Description	Month Ended February 28, 2021			Year to Date February 28, 2021			Annual Budget
	Actual	Budget	Variance	Actual	Budget	Variance	
Operating Expenses							
Salary, Wages and Benefits	\$ 373,141	\$ 630,993	\$ 257,852	\$ 2,469,965	\$ 3,056,632	\$ 586,667	\$ 7,451,314
Outsourced Services and Charges	21,827	33,061	11,234	88,691	166,081	77,390	399,919
Materials and Supplies	75	291	216	188	1,387	1,199	3,293
Insurance	9,158	9,868	710	45,791	49,802	4,011	118,878
Employee Development	8,291	3,495	(4,796)	9,772	23,450	13,678	54,435
Total Operating Expenses	<u>412,492</u>	<u>677,708</u>	<u>265,216</u>	<u>2,614,407</u>	<u>3,297,352</u>	<u>682,945</u>	<u>8,027,839</u>
Income (Loss) before Transfers	(412,492)	(677,708)	265,216	(2,614,407)	(3,297,352)	682,945	(8,027,839)
Transfers In	<u>412,492</u>	<u>677,708</u>	<u>(265,216)</u>	<u>2,614,407</u>	<u>3,297,352</u>	<u>(682,945)</u>	<u>8,027,839</u>
Total Transfers	<u>412,492</u>	<u>677,708</u>	<u>(265,216)</u>	<u>2,614,407</u>	<u>3,297,352</u>	<u>(682,945)</u>	<u>8,027,839</u>
Change in Net Position	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>



NORTH TEXAS MOBILITY CORPORATION

STATEMENT OF NET POSITION

AS OF FEBRUARY 28, 2021

(UNAUDITED)

	February 28, 2021	January 31, 2021	Change
Assets			
Operating Cash & Cash Equivalents	\$ 164,075	\$ 164,212	\$ (137)
Accounts & Notes Receivable	-	-	-
Prepaid Expenses	64,107	73,266	(9,158)
Total Assets	<u>228,182</u>	<u>237,478</u>	<u>(9,296)</u>
Liabilities			
Accounts Payable and Accrued Expenses	<u>228,182</u>	<u>237,478</u>	<u>(9,296)</u>
Total Liabilities	<u>228,182</u>	<u>237,478</u>	<u>(9,296)</u>
Net Position			
Change in Net Position	-	-	-
Total Net Position	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>

DENTON COUNTY TRANSPORTATION AUTHORITY

CAPITAL PROJECT FUND

AS OF FEBRUARY 28, 2021

Capital Project Number/Name	Project Budget	February 2021 Actuals Booked	Actuals Life To Date	\$ Under/ (Over) Budget	% of Budget (As of February 2021 Close)
Construction Work in Progress					
G&A Capital Projects					
Total 10302 · Infrastructure Acquisition	\$ 3,251,990	\$ -	\$ 2,605,264	\$ 646,726	80%
Total 10702 · Transportation Reinvestment Program	100,000	1,673	1,673	98,327	2%
Total 10702.1 · Transportation Reinvestment Program - Denton	2,605,707	-	-	2,605,707	0%
Total 10702.2 · Transportation Reinvestment Program - Highland Village	288,794	-	-	288,794	0%
Total 10702.3 · Transportation Reinvestment Program - Lewisville	2,919,651	-	-	2,919,651	0%
Total G&A Capital Projects	9,166,142	1,673	2,606,937	6,559,205	28%
Bus Capital Projects					
Total 50306 · Major Maintenance - Bus	125,000	-	119,780	5,220	96%
Total 50411 · Integrated Fare Payment	600,000	-	-	600,000	0%
Total 50514 · Fleet {2020}	1,062,600	-	-	1,062,600	0%
Total 50515 · Fleet {2021}	1,880,100	-	875	1,879,225	0%
Total Bus Capital Projects	3,667,700	-	120,655	3,547,045	3%
Rail Capital Projects					
Total 61406.1 · Positive Train Control Implementation	16,720,141	-	15,989,972	730,169	96%
Total 61406.2 · Positive Train Control Enhancements	5,000,000	-	148,180	4,851,820	3%
Total 61605 · Brownfield Remediation	385,000	7,674	361,984	23,016	94%
Total 61715 · Trail Safety Improvements	181,157	-	170,507	10,650	94%
Total 61723 · Major Maintenance - Rail 2021	1,638,566	-	558,162	1,080,404	34%
Total 61723.1 · Canopy Repairs 2021	486,127	-	-	486,127	0%
Total Rail Capital Projects	24,410,991	7,674	17,228,805	7,182,186	71%
Total Construction Work in Progress	\$ 37,244,833	\$ 9,347	\$ 19,956,398	\$ 17,288,435	54%

Board of Directors Memo

April 22, 2021

SUBJECT: Monthly Financial Statements for March 2021

Background

The financial statements are presented monthly to the Board of Directors for acceptance. The reports presented for the period ending March 31, 2021 include the Statement of Change in Net Position, Statement of Net Position, and Capital Projects Fund. These reports provide a comparison of budget vs. actual for the fiscal year as of the current month.

Previous Board Activity & Action

There has been no previous Board-level activity on this item.

Identified Need

Provides the Board a review of the agency's financial position and performance to budget.

Financial Impact

The following are major variances between year-to-date budget and year-to-date actuals, which are annotated on the Statement of Change in Net Position.

- **Note A:** Passenger Revenues – YTD unfavorable by \$5k as YTD bus ridership for Connect, Access, Zone service, North Texas Xpress, Frisco and CCT of 116k was 20% lower than budgeted ridership of 145k and YTD rail ridership of 48k which was 29% lower than budgeted rail ridership of 68k. This variance is partially offset by rail average fare per rider of \$2.35 which is 56% higher than the budgeted \$1.50 fare per rider. Ridership for bus and rail remained under budget throughout the month of March in response to COVID-19, telecommuting arrangements, and declines in travel.

		YTD FY21 Actual Ridership	YTD FY21 Budgeted Ridership	% Variance, Actual to Budget	YTD FY20 Actual Ridership	% Variance, Actual to Prior Yr
Total Rail Ridership		48,445	68,462	-29%	180,353	-73%
Connect		102,864	122,981	-16%	263,484	-61%
Access & Zone Service		9,372	15,763	-41%	19,690	-52%
Frisco	(A)	1,083	3,296	-67%	4,524	-76%
Collin County Transit (CCT)	(A)	4,967	968	413%	7,496	-34%
North Texas Express		2,261	1,956	16%	6,280	-64%
University of North Texas	(B)	151,171	396,648	-62%	885,832	-83%
Special Movements	(B)	-	-	N/A	4,763	-100%
Total Bus Ridership		271,718	541,612	-50%	1,192,069	-77%
Vanpool	(B)(C)	81,733	-	N/A	75,175	9%
Total System Ridership		401,896	610,074	-34%	1,447,597	-72%

(A) Includes Demand Response service and Taxi service.

(B) These ridership numbers are not linked to passenger revenues and are shown for information purposes only to include all system ridership. DCTA is installing trail counters with an anticipated usage reporting in Spring 2021.

(C) Vanpool reporting was not received for March ridership and will be reported next month.

- **Note B:** Contract Service Revenue – YTD unfavorable by \$285k primarily due to lower than budgeted revenue hours and billable fuel costs. Actual YTD billed service hours were under budget due to lower than budgeted service requested for UNT, Frisco, CCT, and Coppell (\$99k decreased revenue). Average YTD pass-through fuel cost of \$1.74/gallon was 37% lower than budgeted \$2.75/gallon and YTD usage of 46k gallons was 32% lower than budgeted usage of 67k gallons (\$105k decreased revenue). Additionally, Special Movements, Lyft, and Taxi services were all under budget (\$80k decreased revenue).
- **Note C:** Sales Tax Revenue – March sales tax revenue was not yet received as of month-end close and is accrued for the month based on budget. Sales tax generated in March will be received in May. The Sales Tax Report included in this agenda packet provides a more detailed Budget to Actual comparison of sales tax receipts collected through April, representing sales tax generated through February.
- **Note D:** Federal/State Grants - Capital – YTD unfavorable by \$3.4 million mainly due to timing differences of drawdowns for Positive Train Control (PTC) funding and Fleet Replacement. The PTC Enhancements project has been put on hold to ensure that future plans align with the potential partnership with DART for the joint rail operations facility. The Fleet Replacement purchase was approved by the Board in August 2020 and vehicles are expected to begin arriving in June 2021; purchase of additional fleet is on hold pending service changes.

	YTD FY21 Actual Revenue	YTD FY21 Budgeted Revenue	Variance, Actual to Budget
PTC Implementation & Enhancements	\$ 558,018	\$ 1,510,345	\$ (952,327)
Fleet Replacement	-	2,408,319	(2,408,319)
	\$ 558,018	\$ 3,918,664	\$ (3,360,646)

- **Note E:** Federal/State Grants - Operating – YTD unfavorable by \$1.5 million due in part to the delay in execution of the Fixed Guideway grant that is used for Rail Preventive Maintenance as well as a timing difference in budgeted CARES Act funding. Reimbursement requests will be made as expenses are incurred; DCTA will continue to monitor and will propose a budget revision if necessary.

	YTD FY21 Actual Revenue	YTD FY21 Budgeted Revenue	Variance, Actual to Budget
Bus Preventive Maintenance	\$ 406,307	\$ 666,169	\$ (259,862)
Rail Preventive Maintenance	176,970	822,181	(645,211)
Bus Operating Assistance	1,313,049	1,265,955	47,094
Rail Operating Assistance	1,299,806	1,787,695	(487,889)
ADA Assistance	124,341	150,000	(25,659)
Vanpool	104,041	155,645	(51,604)
Safety & Security Equipment	-	32,154	(32,154)
NCTCOG Train the Trainer	81,006	125,540	(44,534)
	\$ 3,505,520	\$ 5,005,339	\$ (1,499,820)

- **Note F:** Insurance Expense – YTD unfavorable by (\$102k) due to timing differences in rail liability insurance premiums paid. DCTA processed payment in March to DART for premiums due for December 2020 – October 2021 coverage, allocated monthly through prepaid expenses. A refund for the unused portion of the previous policy secured by DCTA's broker was deposited in April and will be reflected to offset a portion of this expense in the April financials.

Recommendation

Staff recommends approval.


Exhibits

Exhibit 2(a): Monthly Financial Statements – March 2021

Exhibit 2(b): Capital Projects Budget Report – March 2021

Submitted By: 
Amber Karkauskas, Controller

Final Review: 
Marisa Perry, CPA, Chief Financial Officer/VP of Finance

Approval: 
Raymond Suarez, Chief Executive Officer



DENTON COUNTY TRANSPORTATION AUTHORITY

CHANGE IN NET POSITION

MONTH AND YEAR TO DATE AS OF MARCH 31, 2021

(UNAUDITED)

Description	Month Ended March 31, 2021			Year to Date March 31, 2021			Annual Budget
	Actual	Budget	Variance	Actual	Budget	Variance	
Revenue and Other Income							
Passenger Revenues	\$ 46,379	\$ 44,949	\$ 1,430	\$ 232,495	\$ 237,583	\$ (5,088)	\$ 580,291 Note A
Contract Service Revenues	356,351	334,107	22,244	1,510,486	1,795,269	(284,783)	3,633,760 Note B
Sales Tax Revenues	2,541,736	2,483,676	58,060	15,779,506	12,136,095	3,643,411	26,624,124 Note C
Federal/State Grants - Capital	496,829	160,000	336,829	558,018	3,918,664	(3,360,646)	6,094,359 Note D
Federal/State Grants - Operating	199,723	58,682	141,041	3,505,520	5,005,339	(1,499,820)	16,506,874 Note E
Total Revenues and Other Income	<u>3,641,018</u>	<u>3,081,414</u>	<u>559,604</u>	<u>21,586,024</u>	<u>23,092,950</u>	<u>(1,506,926)</u>	<u>53,439,408</u>
Operating Expenses							
Salary, Wages and Benefits	338,284	355,867	17,583	1,984,275	2,128,456	144,181	4,263,661
Outsourced Services and Charges	372,859	376,165	3,306	1,572,958	2,550,439	977,481	5,029,792
Materials and Supplies	210,581	153,697	(56,884)	673,616	1,401,903	728,287	2,858,519
Utilities	41,512	42,418	906	187,117	254,854	67,737	508,810
Insurance	349,268	140,658	(208,610)	945,924	843,948	(101,976)	1,685,712 Note F
Purchased Transportation Services	839,454	1,032,694	193,240	4,510,380	5,577,579	1,067,199	11,203,657
Employee Development	4,609	15,672	11,063	27,453	139,336	111,883	241,604
Leases and Rentals	20,864	19,689	(1,175)	108,179	117,749	9,570	238,468
Depreciation	790,818	887,289	96,471	4,778,062	5,067,078	289,016	10,489,375
Total Operating Expenses	<u>2,968,250</u>	<u>3,024,149</u>	<u>55,899</u>	<u>14,787,963</u>	<u>18,081,342</u>	<u>3,293,379</u>	<u>36,519,598</u>
Income Before Non-Operating Revenues and Expenses	672,769	57,265	615,504	6,798,060	5,011,608	1,786,452	16,919,810
Non-Operating Revenues / (Expense)							
Investment Income	(12,694)	8,330	(21,024)	20,293	49,980	(29,687)	100,000
Gain (Loss) on Disposal of Assets	-	-	-	3,850	-	3,850	-
Fare Evasion Fee	-	-	-	-	-	-	-
Other Income/(Expense) - Miscellaneous	918	-	918	26,879	-	26,879	200,000
Long Term Debt Interest/Expense	(38,329)	(47,729)	9,400	(382,215)	(325,954)	(56,261)	(612,330)
Total Non-Operating Revenues / (Expenses)	<u>(50,105)</u>	<u>(39,399)</u>	<u>(10,706)</u>	<u>(331,192)</u>	<u>(275,974)</u>	<u>(55,218)</u>	<u>(312,330)</u>
Income (Loss) before Transfers	622,664	17,866	604,798	6,466,868	4,735,634	1,731,234	16,607,480
Transfers Out	(691,884)	(689,335)	(2,549)	(3,306,291)	(3,986,687)	680,396	(8,214,303)
Total Transfers	<u>(691,884)</u>	<u>(689,335)</u>	<u>(2,549)</u>	<u>(3,306,291)</u>	<u>(3,986,687)</u>	<u>680,396</u>	<u>(8,214,303)</u>
Change in Net Position	<u>\$ (69,220)</u>	<u>\$ (671,469)</u>	<u>\$ 602,249</u>	<u>\$ 3,160,577</u>	<u>\$ 748,947</u>	<u>\$ 2,411,630</u>	<u>\$ 8,393,177</u>



DENTON COUNTY TRANSPORTATION AUTHORITY

STATEMENT OF NET POSITION

AS OF MARCH 31, 2021

(UNAUDITED)

	March 31, 2021	February 28, 2021	Change
Assets			
Current Assets			
Operating Cash & Cash Equivalents	\$ 38,868,579	\$ 38,548,574	\$ 320,005
Reserves: Cash & Cash Equivalents	5,104,422	5,043,525	60,897
Reserves: Investments	7,053,142	7,074,212	(21,070)
Accounts & Notes Receivable	5,298,286	5,411,817	(113,531)
Prepaid Expenses	1,148,308	984,404	163,904
Inventory	38,280	47,587	(9,308)
Restricted Asset-Cash and Equivalents	2,016,173	2,238,305	(222,132)
Total Current Assets	59,527,190	59,348,424	178,766
Non-Current Assets			
Land	17,394,147	17,394,147	-
Land Improvements	12,148,631	12,148,631	-
Machinery & Equipment	5,243,986	5,243,986	-
Vehicles	92,885,535	92,885,535	-
Computers & Software	1,791,431	1,791,431	-
Intangible Assets	16,997,155	16,997,155	-
Construction in Progress	21,191,128	20,684,545	506,583
Other Capital Assets, Net	234,616,978	234,616,978	-
Accumulated Depreciation	(91,868,646)	(91,077,829)	(790,818)
Net Pension Asset	25,989	25,989	-
Total Non-Current Assets	310,426,333	310,710,568	(284,235)
Total Assets	369,953,523	370,058,992	(105,469)
Deferred Outflow of Resources			
Deferred Outflows Related to Pensions	290,447	290,447	-
Total Deferred Outflow of Resources	290,447	290,447	-
Liabilities			
Current Liabilities			
Accounts Payable and Accrued Expenses	1,248,506	493,927	754,579
Deferred Revenues	46,649	47,554	(905)
Interest Payable	-	168,886	(168,886)
Retainage Payable	-	621,036	(621,036)
Total Current Liabilities	1,295,156	1,331,404	(36,248)
Non-Current Liabilities			
Rail Easement Payable	900,000	900,000	-
Bonds Payable	23,535,000	23,535,000	-
Net Pension Liability	-	-	-
Total Non-Current Liabilities	24,435,000	24,435,000	-
Total Liabilities	25,730,156	25,766,404	(36,248)
Deferred Inflow of Resources			
Deferred Inflows Related to Pensions	70,096	70,096	-
Total Deferred Inflow of Resources	70,096	70,096	-
Net Position			
Net Investment in Capital Assets	289,978,580	289,978,580	-
Unrestricted	51,304,562	51,304,562	-
Change in Net Position	3,160,577	3,229,797	(69,220)
Total Net Position	\$ 344,443,719	\$ 344,512,939	\$ (69,220)



NORTH TEXAS MOBILITY CORPORATION

CHANGE IN NET POSITION

MONTH AND YEAR TO DATE AS OF MARCH 31, 2021

(UNAUDITED)

Description	Month Ended March 31, 2021			Year to Date March 31, 2021			Annual Budget
	Actual	Budget	Variance	Actual	Budget	Variance	
Operating Expenses							
Salary, Wages and Benefits	\$ 655,068	\$ 642,150	\$ (12,918)	\$ 3,125,033	\$ 3,698,782	\$ 573,749	\$ 7,636,554
Outsourced Services and Charges	25,333	33,390	8,057	114,024	199,471	85,447	400,219
Materials and Supplies	-	257	257	188	1,644	1,456	3,293
Insurance	9,158	9,868	710	54,949	59,670	4,721	119,802
Employee Development	2,325	3,670	1,345	12,097	27,120	15,023	54,435
Total Operating Expenses	<u>691,884</u>	<u>689,335</u>	<u>(2,549)</u>	<u>3,306,291</u>	<u>3,986,687</u>	<u>680,396</u>	<u>8,214,303</u>
Income (Loss) before Transfers	(691,884)	(689,335)	(2,549)	(3,306,291)	(3,986,687)	680,396	(8,214,303)
Transfers In	<u>691,884</u>	<u>689,335</u>	<u>2,549</u>	<u>3,306,291</u>	<u>3,986,687</u>	<u>(680,396)</u>	<u>8,214,303</u>
Total Transfers	<u>691,884</u>	<u>689,335</u>	<u>2,549</u>	<u>3,306,291</u>	<u>3,986,687</u>	<u>(680,396)</u>	<u>8,214,303</u>
Change in Net Position	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>



NORTH TEXAS MOBILITY CORPORATION

STATEMENT OF NET POSITION

AS OF MARCH 31, 2021

(UNAUDITED)

	March 31, 2021	February 28, 2021	Change
Assets			
Operating Cash & Cash Equivalents	\$ 249,070	\$ 164,075	\$ 84,995
Accounts & Notes Receivable	-	-	-
Prepaid Expenses	54,949	64,107	(9,158)
Total Assets	<u>304,020</u>	<u>228,182</u>	<u>75,837</u>
Liabilities			
Accounts Payable and Accrued Expenses	<u>304,020</u>	<u>228,182</u>	<u>75,837</u>
Total Liabilities	<u>304,020</u>	<u>228,182</u>	<u>75,837</u>
Net Position			
Change in Net Position	-	-	-
Total Net Position	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>

DENTON COUNTY TRANSPORTATION AUTHORITY

CAPITAL PROJECT FUND

AS OF MARCH 31, 2021

Capital Project Number/Name	Project Budget	March 2021 Actuals Booked	Actuals Life To Date	\$ Under/ (Over) Budget	% of Budget (As of March 2021 Close)
Construction Work in Progress					
G&A Capital Projects					
Total 10302 · Infrastructure Acquisition	\$ 3,251,990	\$ -	\$ 2,605,264	\$ 646,726	80%
Total 10702 · Transportation Reinvestment Program	100,000	4,385	6,058	93,942	6%
Total 10702.1 · Transportation Reinvestment Program - Denton	2,605,707	-	-	2,605,707	0%
Total 10702.2 · Transportation Reinvestment Program - Highland Village	288,794	-	-	288,794	0%
Total 10702.3 · Transportation Reinvestment Program - Lewisville	2,919,651	-	-	2,919,651	0%
Total G&A Capital Projects	9,166,142	4,385	2,611,322	6,554,820	28%
Bus Capital Projects					
Total 50306 · Major Maintenance - Bus	125,000	-	119,780	5,220	96%
Total 50411 · Integrated Fare Payment	600,000	-	-	600,000	0%
Total 50514 · Fleet {2020}	1,062,600	-	-	1,062,600	0%
Total 50515 · Fleet {2021}	1,880,100	-	875	1,879,225	0%
Total Bus Capital Projects	3,667,700	-	120,655	3,547,045	3%
Rail Capital Projects					
Total 61406.1 · Positive Train Control Implementation	16,720,141	32,000	16,021,972	698,169	96%
Total 61406.2 · Positive Train Control Enhancements	5,000,000	-	148,180	4,851,820	3%
Total 61605 · Brownfield Remediation	385,000	-	361,984	23,016	94%
Total 61715 · Trail Safety Improvements	181,157	-	170,507	10,650	94%
Total 61723 · Major Maintenance - Rail 2021	1,638,566	470,199	1,028,361	610,205	63%
Total 61723.1 · Canopy Repairs 2021	486,127	-	-	486,127	0%
Total Rail Capital Projects	24,410,991	502,198	17,731,003	6,679,988	73%
Total Construction Work in Progress	\$ 37,244,833	\$ 506,583	\$ 20,462,981	\$ 16,781,852	55%

Board of Directors Memo**April 22, 2021****SUBJECT:** Quarterly Investment Report Q2 FY21**Background**

The Texas Public Funds Investment Act and DCTA's investment policy require a quarterly investment report signed by DCTA's Investment Officers be presented to the DCTA Board of Directors. The report must include a detail of DCTA's investment position, beginning and ending book and market value of each investment for the quarter, a comparison of the performance of DCTA's portfolio compared to other benchmarks, and a statement of compliance of the investment portfolio with DCTA Investment Policy, Investment Strategy, and the Public Funds Investment Act.

Previous Board Activity & Action

There has been no previous Board-level activity on this item.

Identified Need

Provides the Board of Directors a quarterly status of DCTA's investment position.

Financial Impact

This item is included for informational purposes only; there is no financial impact associated with this item.

Recommendation

Staff recommends approval of the quarterly investment report for Q2 FY21.

Exhibits

Exhibit 3(a): Quarterly Investment Report Q2 FY21

Submitted By:


Amber Karkauskas, Controller

Final Review:


Marisa Perry, CPA, CFO/VP of Finance

Approval:


Raymond Suarez, CEO



Investment Portfolio Summary

Denton County Transportation Authority



For the Quarter Ended

March 31, 2021

Prepared by
HilltopSecurities Asset Management

Table of Contents / Market Recap

Report Name

Certification Page
Executive Summary

Benchmark Comparison

Detail of Security Holdings

Change in Value

Earned Income

Investment Transactions

Amortization and Accretion

Projected Fixed Income Cash Flows

MARKET RECAP - MARCH 2021:

The economic outlook brightened considerably in March as the pace of vaccine distribution accelerated and Congress passed another massive stimulus package. Consumers were already sitting on an abundance of cash and the \$1.9 trillion American Rescue Plan will add to that pile. Progress on the vaccine front suggests herd immunity could be reached by early summer, several months sooner than previously expected, setting the stage for a return to something resembling normal in the second half of 2021.

The headline ISM manufacturing index climbed from 58.7 to a 10-year high of 60.8 in February. Numbers above 50 indicate expansion, while numbers above 60 are consistent with exceptionally strong growth. The ISM non-manufacturing index slipped to a nine-month low as the service sector remains hamstrung by the virus-related shutdowns and restrictions, but it is poised to rebound as the economy normalizes. Employment conditions improved as U.S. businesses added +379k jobs to payrolls in February, nearly twice the median forecast. Upward revisions to prior months boosted the tally by another +38k. The unemployment rate declined from 6.3% to 6.2% and while unemployment remains well above the five-decade low of 3.5% from a year ago, it is much improved from the 14.8% pandemic high ten months ago. Initial jobless claims, though still elevated relative to pre-pandemic levels, fell to their lowest level in over a year. Consumer spending soared in January, with the original +5.3% gain revised even higher to +7.6%. February retail sales couldn't keep up the pace, falling -3.0% month-over-month. This was to be expected as January's torrid pace, supported by stimulus checks, wasn't sustainable. Freezing weather across much of the nation had a negative impact as well. Spending is set to boom in the months ahead as the American Rescue Plan includes almost \$450 billion in aid to individuals and families. If the last round of \$600 stimulus checks managed to bolster retail sales so much in January, imagine what March's \$1,400 checks will do to sales in the next few months. That idea is supported by a big jump in March's consumer confidence index which posted its biggest single month gain in 18 years, climbing to 109.7. March's slate of housing data reflected February's freezing weather with both new and existing home sales declining, though home prices continue to rise. Existing home sales are being restrained by a lack of homes available for sale. Low inventories and higher prices are a recipe for new construction, which will further add to 2021 GDP growth.

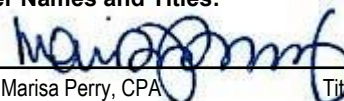
With conditions rapidly improving on both the Covid-19 and economic fronts, economists have been busy revising their 2021 growth forecasts higher. The median forecast in Bloomberg's survey of economists currently shows first quarter gross domestic product advancing at a +4.7% quarter-over-quarter annualized rate, followed by a second quarter booming at +7%. GDP could easily expand more than +6% in 2021. Bond markets have taken note. Although the short end remains anchored by a Fed determined to stand pat until they see both sustained inflation and full employment, intermediate to long yields have climbed significantly. The five-year Treasury note yield, which rose 31 basis points during February, climbed another 21 basis points in March to close the month at 0.94%. The 10-year T-note closed March at 1.74%, up 83 bps since the year began.

For the Quarter Ended
March 31, 2021

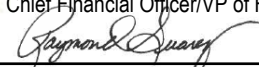
This report is prepared for the **Denton County Transportation Authority** (the "Entity") in accordance with Chapter 2256 of the Texas Public Funds Investment Act ("PFIA"). Section 2256.023(a) of the PFIA states that: "Not less than quarterly, the investment officer shall prepare and submit to the governing body of the entity a written report of the investment transactions for all funds covered by this chapter for the preceding reporting period." This report is signed by the Entity's investment officers and includes the disclosures required in the PFIA. To the extent possible, market prices have been obtained from independent pricing sources.

The investment portfolio complied with the PFIA and the Entity's approved Investment Policy and Strategy throughout the period. All investment transactions made in the portfolio during this period were made on behalf of the Entity and were made in full compliance with the PFIA and the approved Investment Policy.

Officer Names and Titles:


Name: Marisa Perry, CPA

Title: Chief Financial Officer/VP of Finance


Name: Raymond Suarez

Title: Chief Executive Officer

Account Summary

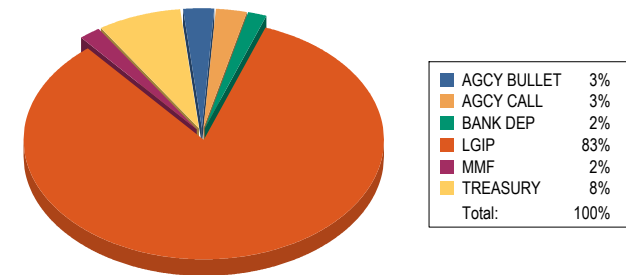
Allocation by Security Type

Beginning Values as of 12/31/20

Ending Values as of 03/31/21

Par Value	47,418,119.33	53,302,178.89
Market Value	47,464,441.83	53,355,321.19
Book Value	47,446,316.65	53,345,352.91
Unrealized Gain/(Loss)	18,125.18	9,968.28
Market Value %	100.04%	100.02%

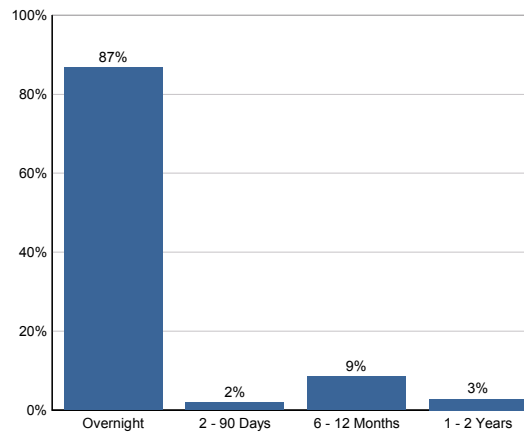
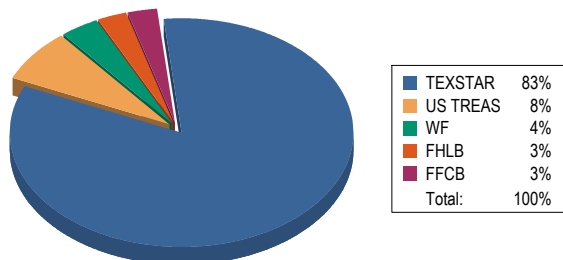
Weighted Avg. YTW	0.172%	0.081%
Weighted Avg. YTM	0.172%	0.081%



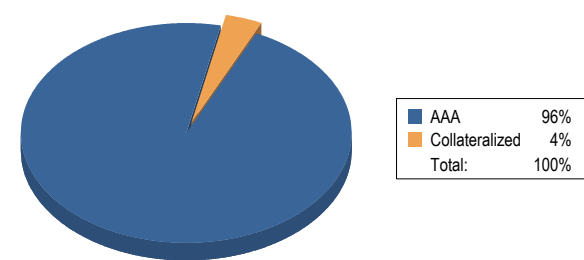
Allocation by Issuer

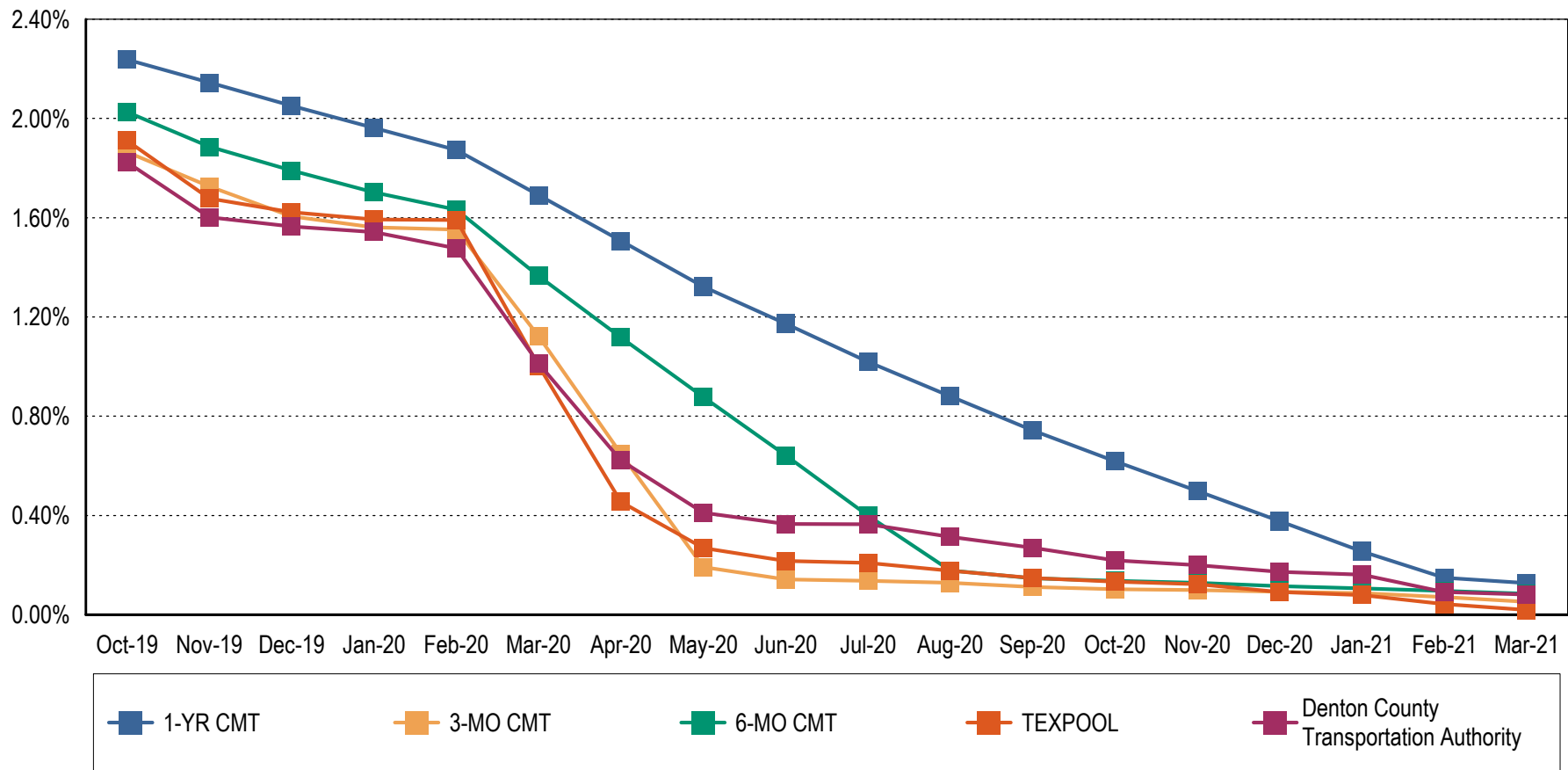
Maturity Distribution %

Credit Quality



Weighted Average Days to Maturity: 46





Note 1: CMT stands for Constant Maturity Treasury. This data is published in Federal Reserve Statistical Release H.15 and represents an average of all actively traded Treasury securities having that time remaining until maturity. This is a standard industry benchmark for Treasury securities. The CMT benchmarks are moving averages. The 3-month CMT is the daily average for the previous 3 months, the 6-month CMT is the daily average for the previous 6 months, and the 1-year and 2-year CMT's are the daily averages for the previous 12-months.

Note 2: Benchmark data for TexPool is the monthly average yield.



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Detail of Security Holdings
As of 03/31/2021

CUSIP	Settle Date	Sec. Type	Sec. Description	CPN	Mty Date	Next Call	Call Type	Par Value	Purch Price	Orig Cost	Book Value	Mkt Price	Market Value	Days to Mty	Days to Call	YTM	YTW
2011 Bond Fund																	
WF-MANA		BANK DEP	Wells Fargo Managed Rate					823,248.58	100.000	823,248.58	823,248.58	100.000	823,248.58	1		0.160	0.160
Total for 2011 Bond Fund								823,248.58	100.000	823,248.58	823,248.58	100.000	823,248.58	1		0.160	0.160
Additional Reserve Fund																	
TEXSTAR		LGIP	TexSTAR					887,567.76	100.000	887,567.76	887,567.76	100.000	887,567.76	1		0.022	0.022
Total for Additional Reserve Fund								887,567.76	100.000	887,567.76	887,567.76	100.000	887,567.76	1		0.022	0.022
Bond Fund																	
TEXSTAR		LGIP	TexSTAR					1,192,924.79	100.000	1,192,924.79	1,192,924.79	100.000	1,192,924.79	1		0.022	0.022
Total for Bond Fund								1,192,924.79	100.000	1,192,924.79	1,192,924.79	100.000	1,192,924.79	1		0.022	0.022
Operating Fund																	
WF-SWEEP		MMF	Wells Fargo Sweep					1,053,705.93	100.000	1,053,705.93	1,053,705.93	100.000	1,053,705.93	1		0.000	0.000
Total for Operating Fund								1,053,705.93	100.000	1,053,705.93	1,053,705.93	100.000	1,053,705.93	1		0.000	0.000
Reserve Fund																	
TEXSTAR		LGIP	TexSTAR					4,216,854.17	100.000	4,216,854.17	4,216,854.17	100.000	4,216,854.17	1		0.022	0.022
9128284G2	01/17/20	TREAS NOTE	U.S. Treasury	2.375	04/15/21			1,000,000.00	100.941	1,009,414.06	1,000,293.36	100.089	1,000,890.10	15		1.606	1.606
912828H86	02/12/21	TREAS NOTE	U.S. Treasury	1.500	01/31/22			1,500,000.00	101.367	1,520,507.81	1,517,695.94	101.188	1,517,812.50	306		0.085	0.085
313378CR0	03/13/20	AGCY BULET	FHLB	2.250	03/11/22			1,500,000.00	103.110	1,546,650.00	1,522,167.17	102.026	1,530,385.65	345		0.677	0.677
912828ZG8	02/22/21	TREAS NOTE	U.S. Treasury	0.375	03/31/22			1,500,000.00	100.328	1,504,921.88	1,504,455.78	100.297	1,504,453.20	365		0.077	0.077
3133EMCH3	10/13/20	AGCY CALL	FFCB	0.160	10/13/22	10/13/2021	CONT	1,500,000.00	99.875	1,498,125.00	1,498,561.77	99.973	1,499,600.85	561	196	0.223	0.223
Total for Reserve Fund								11,216,854.17	100.716	11,296,472.92	11,260,028.19	100.478	11,269,996.47	213		0.294	0.294



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Detail of Security Holdings
As of 03/31/2021

CUSIP	Settle Date	Sec. Type	Sec. Description	CPN	Mty Date	Next Call	Call Type	Par Value	Purch Price	Orig Cost	Book Value	Mkt Price	Market Value	Days to Mty	Days to Call	YTM	YTW
Sales Tax Fund																	
TEXSTAR		LGIP	TexSTAR					38,127,877.66	100.000	38,127,877.66	38,127,877.66	100.000	38,127,877.66	1		0.022	0.022
Total for Sales Tax Fund								38,127,877.66	100.000	38,127,877.66	38,127,877.66	100.000	38,127,877.66	1		0.022	0.022
Total for Denton County Transportation Authority								53,302,178.89	100.151	53,381,797.64	53,345,352.91	100.101	53,355,321.19	46		0.081	0.081

CUSIP	Security Type	Security Description	12/31/20 Book Value	Cost of Purchases	Maturities / Calls / Sales	Amortization / Accretion	Realized Gain/(Loss)	03/31/21 Book Value	12/31/20 Market Value	03/31/21 Market Value	Change in Mkt Value
2011 Bond Fund											
WF-MANA	BANK DEP	Wells Fargo Managed Rate	838,219.01	113.91	(15,084.34)	0.00	0.00	823,248.58	838,219.01	823,248.58	(14,970.43)
Total for 2011 Bond Fund			838,219.01	113.91	(15,084.34)	0.00	0.00	823,248.58	838,219.01	823,248.58	(14,970.43)
Additional Reserve Fund											
TEXSTAR	LGIP	TexSTAR	791,321.13	96,246.63	0.00	0.00	0.00	887,567.76	791,321.13	887,567.76	96,246.63
Total for Additional Reserve Fund			791,321.13	96,246.63	0.00	0.00	0.00	887,567.76	791,321.13	887,567.76	96,246.63
Bond Fund											
TEXSTAR	LGIP	TexSTAR	700,045.70	700,070.50	(207,191.41)	0.00	0.00	1,192,924.79	700,045.70	1,192,924.79	492,879.09
Total for Bond Fund			700,045.70	700,070.50	(207,191.41)	0.00	0.00	1,192,924.79	700,045.70	1,192,924.79	492,879.09
Operating Fund											
WF-MANA	BANK DEP	Wells Fargo Managed Rate	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
WF-SWEEP	MMF	Wells Fargo Sweep	369,194.36	684,511.57	0.00	0.00	0.00	1,053,705.93	369,194.36	1,053,705.93	684,511.57
Total for Operating Fund			369,194.36	684,511.57	0.00	0.00	0.00	1,053,705.93	369,194.36	1,053,705.93	684,511.57
Reserve Fund											
TEXSTAR	LGIP	TexSTAR	5,734,468.37	3,050.10	(1,520,664.30)	0.00	0.00	4,216,854.17	5,734,468.37	4,216,854.17	(1,517,614.20)
WF-PREM	BANK DEP	Wells Fargo Premium Rate	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
3130A7CV5	AGCY BULET	FHLB 1.375 02/18/21	1,499,681.24	0.00	(1,500,000.00)	318.76	0.00	0.00	1,502,344.20	0.00	(1,502,344.20)
9128284G2	TREAS NOTE	U.S. Treasury 2.375 04/15/21	1,002,179.22	0.00	0.00	(1,885.86)	0.00	1,000,293.36	1,006,406.30	1,000,890.10	(5,516.20)
912828H86	TREAS NOTE	U.S. Treasury 1.500 01/31/22	0.00	1,520,507.81	0.00	(2,811.87)	0.00	1,517,695.94	0.00	1,517,812.50	1,517,812.50
313378CR0	AGCY BULET	FHLB 2.250 03/11/22	1,528,009.07	0.00	0.00	(5,841.90)	0.00	1,522,167.17	1,538,360.25	1,530,385.65	(7,974.60)
912828ZG8	TREAS NOTE	U.S. Treasury 0.375 03/31/22	0.00	1,504,921.88	0.00	(466.10)	0.00	1,504,455.78	0.00	1,504,453.20	1,504,453.20
3133EMCH3	AGCY CALL	FFCB 0.160 10/13/22	1,498,327.79	0.00	0.00	233.98	0.00	1,498,561.77	1,499,211.75	1,499,600.85	389.10
Total for Reserve Fund			11,262,665.69	3,028,479.79	(3,020,664.30)	(10,452.99)	0.00	11,260,028.19	11,280,790.87	11,269,996.47	(10,794.40)



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Change in Value
From 12/31/2020 to 03/31/2021

CUSIP	Security Type	Security Description	12/31/20 Book Value	Cost of Purchases	Maturities / Calls / Sales	Amortization / Accretion	Realized Gain/(Loss)	03/31/21 Book Value	12/31/20 Market Value	03/31/21 Market Value	Change in Mkt Value
Sales Tax Fund											
TEXSTAR	LGIP	TexSTAR	33,484,870.76	4,896,145.92	(253,139.02)	0.00	0.00	38,127,877.66	33,484,870.76	38,127,877.66	4,643,006.90
Total for Sales Tax Fund			33,484,870.76	4,896,145.92	(253,139.02)	0.00	0.00	38,127,877.66	33,484,870.76	38,127,877.66	4,643,006.90
Total for Denton County Transportation Authority			47,446,316.65	9,405,568.32	(3,496,079.07)	(10,452.99)	0.00	53,345,352.91	47,464,441.83	53,355,321.19	5,890,879.36

CUSIP	Security Type	Security Description	Beg. Accrued	Interest Earned	Interest Rec'd / Sold / Matured	Interest Purchased	Ending Accrued	Disc Accr / Prem Amort	Net Income
2011 Bond Fund									
WF-MANA	BANK DEP	Wells Fargo Managed Rate	0.00	328.75	328.75	0.00	0.00	0.00	328.75
Total for 2011 Bond Fund			0.00	328.75	328.75	0.00	0.00	0.00	328.75
Additional Reserve Fund									
TEXSTAR	LGIP	TexSTAR	0.00	75.72	75.72	0.00	0.00	0.00	75.72
Total for Additional Reserve Fund			0.00	75.72	75.72	0.00	0.00	0.00	75.72
Bond Fund									
TEXSTAR	LGIP	TexSTAR	0.00	94.04	94.04	0.00	0.00	0.00	94.04
Total for Bond Fund			0.00	94.04	94.04	0.00	0.00	0.00	94.04
Operating Fund									
Total for Operating Fund			0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserve Fund									
TEXSTAR	LGIP	TexSTAR	0.00	489.58	489.58	0.00	0.00	0.00	489.58
3130A7CV5	AGCY BULET	FHLB 1.375 02/18/21	7,619.79	2,692.71	10,312.50	0.00	0.00	318.76	3,011.47
9128284G2	TREAS NOTE	U.S. Treasury 2.375 04/15/21	5,089.29	5,872.25	0.00	0.00	10,961.54	(1,885.86)	3,986.39
912828H86	TREAS NOTE	U.S. Treasury 1.500 01/31/22	0.00	2,983.42	0.00	(745.86)	3,729.28	(2,811.87)	171.55
313378CR0	AGCY BULET	FHLB 2.250 03/11/22	10,312.50	8,437.50	16,875.00	0.00	1,875.00	(5,841.90)	2,595.60
912828ZG8	TREAS NOTE	U.S. Treasury 0.375 03/31/22	0.00	587.14	2,812.50	(2,240.73)	15.37	(466.10)	121.04
3133EMCH3	AGCY CALL	FFCB 0.160 10/13/22	520.00	600.00	0.00	0.00	1,120.00	233.98	833.98
Total for Reserve Fund			23,541.58	21,662.60	30,489.58	(2,986.59)	17,701.19	(10,452.99)	11,209.61



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Earned Income
From 12/31/2020 to 03/31/2021

CUSIP	Security Type	Security Description	Beg. Accrued	Interest Earned	Interest Rec'd / Sold / Matured	Interest Purchased	Ending Accrued	Disc Accr / Prem Amort	Net Income
Sales Tax Fund									
TEXSTAR	LGIP	TexSTAR	0.00	3,399.40	3,399.40	0.00	0.00	0.00	3,399.40
Total for Sales Tax Fund			0.00	3,399.40	3,399.40	0.00	0.00	0.00	3,399.40
Total for Denton County Transportation Authority			23,541.58	25,560.51	34,387.49	(2,986.59)	17,701.19	(10,452.99)	15,107.52



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Investment Transactions
From 01/01/2021 to 03/31/2021

Trade Date	Settle Date	CUSIP	Security Type	Security Description	Coupon	Mty Date	Call Date	Par Value	Price	Principal Amount	Int Purchased / Received	Total Amount	Realized Gain / Loss	YTM	YTW
Reserve Fund															
Maturities															
02/18/21	02/18/21	3130A7CV5	AGCY BULET	FHLB	1.375	02/18/21		1,500,000.00	100.000	1,500,000.00	0.00	1,500,000.00		1.539	
Total for: Maturities								1,500,000.00		1,500,000.00	0.00	1,500,000.00		1.539	
Purchases															
02/11/21	02/12/21	912828H86	TREAS NOTE	U.S. Treasury	1.500	01/31/22		1,500,000.00	101.367	1,520,507.81	745.86	1,521,253.67		0.085	0.085
02/19/21	02/22/21	912828ZG8	TREAS NOTE	U.S. Treasury	0.375	03/31/22		1,500,000.00	100.328	1,504,921.88	2,240.73	1,507,162.61		0.077	0.077
Total for: Purchases								3,000,000.00		3,025,429.69	2,986.59	3,028,416.28		0.081	0.081
Income Payments															
02/18/21	02/18/21	3130A7CV5	AGCY BULET	FHLB	1.375	02/18/21				0.00	10,312.50	10,312.50			
03/11/21	03/11/21	313378CR0	AGCY BULET	FHLB	2.250	03/11/22				0.00	16,875.00	16,875.00			
03/31/21	03/31/21	912828ZG8	TREAS NOTE	U.S. Treasury	0.375	03/31/22				0.00	2,812.50	2,812.50			
Total for: Income Payments										0.00	30,000.00	30,000.00			



Trade Date	Settle Date	CUSIP	Security Type	Security Description	Coupon	Mty Date	Call Date	Par Value	Price	Principal Amount	Int Purchased / Received	Total Amount	Realized Gain / Loss	YTM	YTW
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Total for All Portfolios

Transaction Type	Quantity	Total Amount	Realized G/L	YTM	YTW
Total Maturities	1,500,000.00	1,500,000.00		1.539	
Total Purchases	3,000,000.00	3,028,416.28		0.081	0.081
Total Income Payments	0.00	30,000.00			

CUSIP	Settle Date	Security Type	Security Description	Next Call Date	Purchase Qty	Orig Price	Original Cost	Amrt/Accr for Period	Total Amrt/Accr Since Purch	Remaining Disc / Prem	Book Value
Reserve Fund											
3130A7CV5	02/14/20	AGCY BULET	FHLB 1.375 02/18/21		0.00	99.836	0.00	318.76	0.00	0.00	0.00
9128284G2	01/17/20	TREAS NOTE	U.S. Treasury 2.375 04/15/21		1,000,000.00	100.941	1,009,414.06	(1,885.86)	(9,120.70)	(293.36)	1,000,293.36
912828H86	02/12/21	TREAS NOTE	U.S. Treasury 1.500 01/31/22		1,500,000.00	101.367	1,520,507.81	(2,811.87)	(2,811.87)	(17,695.94)	1,517,695.94
313378CR0	03/13/20	AGCY BULET	FHLB 2.250 03/11/22		1,500,000.00	103.110	1,546,650.00	(5,841.90)	(24,482.83)	(22,167.17)	1,522,167.17
912828ZG8	02/22/21	TREAS NOTE	U.S. Treasury 0.375 03/31/22		1,500,000.00	100.328	1,504,921.88	(466.10)	(466.10)	(4,455.78)	1,504,455.78
3133EMCH3	10/13/20	AGCY CALL	FFCB 0.160 10/13/22	10/13/21	1,500,000.00	99.875	1,498,125.00	233.98	436.77	1,438.23	1,498,561.77
Total for Reserve Fund					7,000,000.00		7,079,618.75	(10,452.99)	(36,444.73)	(43,174.02)	7,043,174.02
Total for Denton County Transportation Authority					7,000,000.00		7,079,618.75	(10,452.99)	(36,444.73)	(43,174.02)	7,043,174.02

CUSIP	Security Type	Security Description	Pay Date	Interest	Principal	Total Amount
Reserve Fund						
3133EMCH3	AGCY CALL	FFCB 0.160 10/13/22	04/13/21	1,200.00	0.00	1,200.00
9128284G2	TREAS NOTE	U.S. Treasury 2.375 04/15/21	04/15/21	11,875.00	1,000,000.00	1,011,875.00
912828H86	TREAS NOTE	U.S. Treasury 1.500 01/31/22	07/31/21	11,250.00	0.00	11,250.00
313378CR0	AGCY BULET	FHLB 2.250 03/11/22	09/11/21	16,875.00	0.00	16,875.00
Total for Reserve Fund				41,200.00	1,000,000.00	1,041,200.00



Regular Agenda 1, Exhibit 3(a)
Denton County Transportation Authority
Projected Cash Flows
Cash Flows for next 180 days from 03/31/2021

CUSIP	Security Type	Security Description	Pay Date	Interest	Principal	Total Amount
Total for All Portfolios						
			April 2021	13,075.00	1,000,000.00	1,013,075.00
			July 2021	11,250.00	0.00	11,250.00
			September 2021	16,875.00	0.00	16,875.00
Total Projected Cash Flows for Denton County Transportation Authorit				41,200.00	1,000,000.00	1,041,200.00

Board of Directors Memo

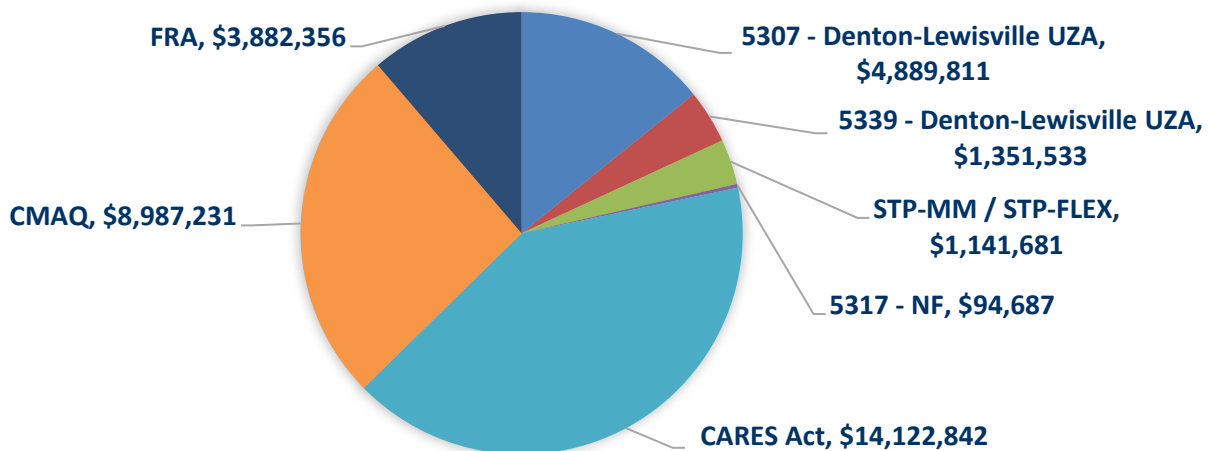
April 22, 2021

SUBJECT: Quarterly Grants Report Q2 FY21

Background

DCTA currently has 13 open, fully executed grants that provide reimbursements for various capital projects, rail and bus preventive maintenance, operating assistance and ADA paratransit service. The grant funding sources include Federal Transit Administration (FTA), Federal Railroad Administration (FRA), and North Central Texas Council of Governments (NCTCOG). Total grant balance was \$34.5 million as of 3/31/2021. Of this total, \$4.5 million is obligated for Positive Train Control (PTC), \$6.2 million is obligated for the FY16-19 Program of Projects, \$14.1 million is obligated for the Coronavirus Aid, Relief, and Economic Security (CARES) Act, and \$9.0 million is obligated for the Congestion, Mitigation & Quality (CMAQ) program.

GRANTS FUNDING LEVELS \$34.5 MILLION AS OF 3/31/2021



Program	Q1 FY21 Balance	Q2 FY21 Balance	Grant Activity
Denton-Lewisville UZA (5307)	\$ 5,333,360	\$ 4,889,811	Fleet Replacement, Preventive Maintenance, Safety & Security, ADA Paratransit
Fixed Guideway (5337)	176,970	-	Rail Preventive Maintenance
Bus and Bus Facilities (5339)	779,477	1,351,533	Fleet Replacement
STP-MM / STP-FLEX	1,502,140	1,141,681	PTC Implementation & Vanpool
New Freedom (NF) Funding (5317)	148,303	94,687	Train-the-Trainer
CARES Act	16,761,299	14,122,842	Operating Assistance, Safety & Security
Congestion Mitigation & Air Quality	8,987,231	8,987,231	Land Acquisition and Construction (Old Town)
Consolidated Rail Infrastructure and Safety Improvements (CRISI) (FRA)	3,882,356	3,882,356	PTC Enhancements
Total	\$ 37,571,136	\$ 34,470,141	

Pending Funding and Other Grant Activity

In January 2021, FTA released its annual appropriations of FY21 POP formula funding in which DCTA was apportioned \$9 million. Staff will discuss options for programming these federal funds as well as FY20's previously announced apportionment with the Board upon review of agency priority projects identified in the Transformation Initiative.

On March 11, 2021 President Biden signed the American Rescue Plan (ARP) Act of 2021 into law, making \$30.5 billion available for Public Transportation. DCTA was apportioned \$14 million at 100% federal share to be used for operating expenses. Staff is working to learn more about the funds and their eligibility.

DCTA is exploring potential FEMA reimbursement through Denton County for costs incurred to provide vaccine shuttle services to Texas Motor Speedway.

The table below provides information on all pending grants that have not yet been fully executed.

Program	Amount	Grant Activity	Funding Status
FY17 Bus & Bus Facilities	\$ 2,625,000	Light maintenance facility	Development; pending project planning by DCTA
FY19 TOD	600,000	KCS line TOD planning	Development; pending project planning by DCTA
FY19 5339 Formula	530,768	Fleet replacement, enhanced ADA access	Development; pending project planning by DCTA
FY20 POP Formula	8,702,722	Not currently programmed	To be programmed by DCTA
FY21 POP Formula	9,008,301	Not currently programmed	To be programmed by DCTA
FY21 ARP	14,073,192	Not currently programmed	To be programmed by DCTA
TOTAL	\$ 35,539,983		

Previous Board Activity & Action

There has been no previous Board-level activity on this item.

Identified Need

Provides the Board of Directors a quarterly status on grant balances and significant grant activity.

Financial Impact

This item is included for informational purposes only; there is no financial impact associated with this item. Grant revenues were adopted with the FY21 budget.

Recommendation

Staff recommends approval of the quarterly grants report for Q2 FY21.

Submitted By: Whitney Traylor
Whitney Traylor, Grants Manager



Final Review:

A handwritten signature in blue ink, appearing to read "Marisa Perry", is written over a horizontal line.

Marisa Perry, CPA, Chief Financial Officer/VP of Finance

Approval:

A handwritten signature in black ink, appearing to read "Raymond Suarez", is written over a horizontal line.

Raymond Suarez, Chief Executive Officer

Board of Directors Memo

April 22, 2021

SUBJECT: Discuss and Consider Authorizing CEO to Execute a Task Order with Via for Microtransit On-Demand Service Delivery

Background

In July of 2020, DCTA issued Solicitation 2007-001 to current MaaS providers seeking responses for On-Demand Service from firms or contractor teams that have entered into master on-call contracts under Request for Proposals (RFP) 19-05 Mobility-as-a-Service with the intent to use these services within Member Cities and other areas DCTA serves outside the member cities through contracted services.

The purpose of the solicitation was to select non-traditional, mobility brokers, providers, and system integrators with the ability to provide DCTA with the expertise, resources, and innovative ideas needed to plan, design, operate, maintain, and broker on-demand, shared ride transit services within and between the boundaries of various locations throughout DCTA's service area.

A recommendation for award to two providers, SpareLabs/Lyft and River North Transit (Via) were presented at the September 2020 board meeting. The board authorized staff to negotiate service plan proposals and cost estimates from both providers.

Upon completion of the Transformation Initiative, DCTA conducted service plan negotiations with SpareLabs/Lyft and River North Transit (Via) who each provided DCTA with secondary proposals in January 2020 detailing proposed service plans to replace existing fixed route service with more dynamic and cost-efficient mobility solutions.

The solicitation evaluation team reviewed the secondary proposals submitted by both providers and the board approved River North Transit (Via) as the vendor of choice at the January 28, 2021 DCTA board meeting.

DCTA staff, Via and Accenture hosted member city roundtables in early March to review Via's Proposal #3 in depth and collect feedback from attendees. Via incorporated all member city roundtable feedback in their Proposal #4, which was presented to the board and approved on April 7, 2021.

Approving a task order that identifies the proposed service plan and associated costs for a four-year term the next milestone for this initiative. A signed task order is also required by Via in order to move into the launch phase of the process in an effort to implement Phase I on September 7, 2021.

DCTA staff and Accenture continue to coordinate with Via daily to prepare for a successful launch of on-demand service in DCTA member cities on September 7, 2021 (estimated target date).

Previous Board Activity & Action

- **June 25, 2020** – Regular Agenda Item 3 – Mobility as a Service (MaaS) Task Order for Member City Services

- **July 31, 2020** – Specially Called Board Meeting – Transformation Initiative Workshop – Discussed as part of the future planning process
- **August 27, 2020** – Regular Agenda Item 8 – Discuss MaaS Task Order #2: On-Demand Service in Member Cities
- **September 24, 2020** – Regular Agenda Item 8 – Consider Approval of MaaS Task Order #2: On-Demand Services for Member Cities and Contracted Cities
- **November 12, 2020** – Regular Agenda Item 1 - Discuss Transformation Initiative Progress Report – Initial introduction of the Agency Priority Actions flowchart which included plans and estimated dates for the MaaS service plan
- **December 10, 2020** – Regular Agenda Item 6 - Discuss DCTA Priority Actions
- **January 28, 2021**
 - Regular Agenda Item 5 – Approval and Award of Mobility as a Service Contract
 - Joint Info Item 1 – DCTA Agency Priorities Update (memo and flowchart)
- **March 10, 2021** – Regular Agenda Item 7 – Review and Discuss MaaS Service Plan Update and Considerations
- **April 7, 2021**
 - Regular Agenda Item 1 – Presentation, Discussion and Approval of Via’s Proposal #4
 - Regular Agenda Item 2 – Presentation and Discussion of Task Order with Via

Identified Need

Via has requested an executed task order, with both service parameters and cost, before moving into the “implementation phase” of the project.

Staff reviewed the following items with the board on April 7, 2021 in order to prepare a task order for board approval on April 21, 2021:

- Via’s Proposal #4 – discussion led to slight modification of proposed service (see summary below)
- Timeframe – including implementation and service launch
- Fleet options – singular fleet model
- Add on options – modification of Phase I, Phase IIA and Phase IIB
- Estimated service launch date – slated for September 7, 2021
- Proposed service name – GoZone

Summary of April 7, 2021 Board Feedback

The changes below have also been provided in detail within Exhibit 2.

- Base Plan:
 - Extended the service hours to start at 5 a.m. (instead of 6 a.m.) to align with the A-train schedule.
 - Updated service hours below:
 - Monday - Thursday: 5 a.m. – 10 p.m. (regular service) / 10 p.m. – 1 a.m. (Trinity Mills)
 - Friday: 5 a.m. – 11 p.m. (regular service) / 11 p.m. – 2 a.m. (Trinity Mills)
 - Saturday: 8 a.m. – 11 p.m. (regular service) / 11 p.m. – 2 a.m. (Trinity Mills)
 - Sundays and Holidays (up to 10 holidays; DCTA doesn’t operate on 6): 8 a.m. – 6 p.m.
- Phase I will include the following service components:
 - Base Plan: Extended service to 5 a.m.
 - Sunday Service: No change
 - Saturday Service Hours Extension: No change

- Denia Zone:
 - Extended to include the new housing development with the shared boundaries of Roselawn to the South and Bonnie Brae to the West
 - This expansion does require a total of 2 extra vehicles (as opposed to 1 extra vehicle in the original Denia expansion)
 - The not-to-exceed cost went from \$159k to \$257k
- Highland Village Hours Extension: Included by default as the service now begins at 5 a.m.
- Business 121 North Zones Expansion:
 - Updated to exclude Castle Hills and include Josie and 544 neighborhoods
 - There is no additional cost for this change
- Frankford Station (Option 2):
 - Move forward with Option 2 which included the later service hours (Mon-Thu: 5 a.m. – 10 p.m. / Fri 5 a.m. – 11 p.m.)
- Sunday A-train: No change
- Trinity Mills: Moved to Phase I
- Phase II will include the following service components:
 - Castle Hills:
 - Updated to include all of the Castle Hills boundaries
 - There is no additional cost for change
 - Late-night Weekday Service Hours: No change
 - Access:
 - Via and DCTA will continue to refine service parameters
 - Task order will capture the high-end, not-to-exceed cost

Financial Impact

The total not-to-exceed cost for a two-year term with two additional one-year options (a total of four years), as outlined in the Via's updated Proposal #4, is \$33,520,691. Deployment of any mobility services within the task order will require board approval of the following:

- Service plan
- Hard costs and not-to-exceed service costs
- Budget amendment

As it currently stands, board consideration and approval of the final service plan (Phase I, Phase IIA and Phase IIB), including results of the public involvement process and any required budget amendment, will be presented to the board on July 22, 2021 in preparation for a September 7, 2021 service launch.

Recommendation

Staff recommends that the board authorize the CEO to execute a task order with Via for microtransit on-demand service delivery, for a two-year term with two additional one-year options (a total of four years), for a total not-to-exceed amount of \$33,520,691.

Exhibits

Exhibit 1: Via Task Order

Exhibit 2: Via's Updated Proposal #4

Exhibit 3: Project Timeline

Submitted By: _____



Nicole Recker, VP of Mobility Services and Administration



Denton County Transportation Authority

Task Order

Task Number:	1 (one)	Project ID:		Grant #	
Contractor:	River North Transit LLC (VIA)				
Description:	On-Demand Service in Member Cities and Contract Cities				
DCTA Account Code: (Contract to be Billed Under)				Approved Budget Yes <input type="checkbox"/> No <input type="checkbox"/>	
Project Lead	Sarah Hultquist, Mobility Services Specialist Nicole Recker, VP of Mobility Services & Admin				
Cost Estimate	\$33,520,691				
Not to Exceed Budget	\$33,520,691				
Plan, develop and implement services as outlined in Via's updated Proposal #4 and authorized by the DCTA Board of Directors on April 7, 2021. All work shall be in compliance with the terms and conditions of the master agreement executed June 13, 2019.					
Contractor:				Date	
DCTA Vice President:				Date	
DCTA CEO:				Date	

All costs below are based on Via's updated Proposal #4 (including board feedback provided during the April 7, 2021 DCTA board of directors meeting). All costs are presented as not-to-exceed, based on a singular fleet model provided by Via.

Timing for Task Order 1 includes:

- Implementation Phase: April 23, 2021 – September 6, 2021
- Service Deployment:
 - o First two years – September 7, 2021 – September 6, 2023
 - o Two one-year options – September 7, 2023 – September 6, 2025

DCTA will be billed for the fees as described below. Driver hours will be billed as incurred and for services used at the end of each month. Customer shall pay the following fees to Via:

Fixed (Upfront) Costs

DCTA shall pay to River North a non-refundable installation fee of \$128,000, payable upon completion of the approved retrofits of Via vehicles.

Should DCTA choose to add bike racks to vehicles, a \$1,500 fee per bike rack will be invoiced by River North upon installation of the bike rack.

Should DCTA choose to retrofit additional vehicles to be wheelchair accessible (beyond the 9 included in the base scenario), an \$11,000 fee per retrofitted vehicle will be invoiced by River North upon retrofit of the vehicle.

Ongoing Invoice Fees

DCTA shall pay the following fees to be invoiced monthly by Via, starting upon launch of the Service:

- \$41.06 per vehicle hour during Year 1
- \$41.28 per vehicle hour during Year 2
- \$42.11 per vehicle hour during Year 3
- \$42.95 per vehicle hour during Year 4

Via will invoice DCTA on or before the 5th of each month for vehicle hours incurred in the prior month.

Should changes in applicable federal, state or local law result in a significant change in Via's costs, Via or Customer may opt to renegotiate the ongoing vehicle hour fees, pending Customer Board approval.

Service	Timeframe	Two-Year Base Contract Term (9/7/21 - 9/6/23)					
		Year 1			Year 2		
		Cost / Vehicle Hour	Max. No. of Vehicle Hours	Total Cost	Cost / Vehicle Hour	Max. No. of Vehicle Hours	Total Cost
Implementation Phase	April 23, 2021 – September 6, 2021	n/a	n/a	\$0	n/a	n/a	\$0
Up Front Hard Costs	Retrofits & vehicle wraps	n/a	n/a	\$128,000	n/a	n/a	\$0

	Bike Racks for Every Vehicle in Singular Fleet (\$1,500/vehicle) <i>Estimated at 29 vehicles</i>	n/a	n/a	\$43,500	n/a	n/a	\$10,500
	Option: Additional Retrofits from Expansions	n/a	n/a	\$11,000	n/a	n/a	\$0
	Option: Additional Bike Racks from Expansions & Access <i>Estimated at 14 vehicles (10 Access, 4 from other potential expansions)</i>	n/a	n/a	\$22,500	n/a	n/a	\$0
	Access Retrofits	n/a	n/a	\$33,000	n/a	n/a	\$0
Base Service (Monday – Saturday)	Phase I Launch – September 7, 2021 25 vehicles <i>Hours estimate includes cost for starting service at 5 a.m. M-F in all years</i>	\$41.06	99,097	\$4,068,910	\$41.28	133,535	\$5,512,341
Sunday and Holiday Service	Phase I Launch – September 7, 2021	\$41.06	9,300	\$381,858	\$41.28	11,902	\$491,315
Saturday Service Hours Extension	Phase I Launch – September 7, 2021	\$41.06	1,560	\$64,054	\$41.28	1,996	\$82,395
Denia Neighborhood Expansion	Phase I Launch – September 7, 2021 1 extra vehicle	\$41.06	6,250	\$256,625	\$41.28	7,999	\$330,199
Business 121 North Zone Expansion	Phase I Launch – September 7, 2021 1 extra vehicle	\$41.06	4,874	\$200,126	\$41.28	6,238	\$257,505
Frankford Station (DART) to the Lewisville/HV Zone	Phase I Launch – September 7, 2021 1 extra vehicle	\$41.06	4,250	\$174,505	\$41.28	5,439	\$224,522
Sunday A-train Replacement	Phase I Launch – September 7, 2021	\$41.06	1,860	\$76,372	\$41.28	2,380	\$98,246
Service To/From Trinity Mills Station (“Guaranteed Ride Home”)	Phase I Launch – September 7, 2021	\$41.06	2,750	\$112,915	\$41.28	3,519	\$145,264
Castle Hills Zone Expansion	Phase 2A Launch – Estimated for January / February 2022 1 extra vehicle <i>Via is currently modifying this zone but does not anticipate the modification</i>	\$41.06	4,874	\$200,126	\$41.28	6,238	\$257,505

	<i>requiring any additional vehicles</i>						
Access Service	Phase 2A Launch – Estimated for January / February 2022 8-10 extra vehicles <i>DCTA and Via still need to discuss and analyze date to provide an accurate not-to-exceed amount</i>	\$41.06	24,355	\$1,000,000	\$41.28	24,355	\$1,005,358
Weekday Late-Night Service Hours Extension	Phase 2B Launch – Estimated for Summer 2022	\$41.06	5,000	\$205,300	\$41.28	6,399	\$264,151
Total Not-to-Exceed Amount			164,169	\$6,978,791		210,000	\$8,679,300
Total Not-to-Exceed Amount: Two-Year Base Term	\$15,658,091						

Service	Timeframe	Two-Year Option Period (9/7/23 - 9/6/25)					
		Option Year 1			Option Year 2		
		Cost / Vehicle Hour	Max. No. of Vehicle Hours	Total Cost	Cost / Vehicle Hour	Max. No. of Vehicle Hours	Total Cost
Implementation Phase	April 23, 2021 – September 6, 2021	n/a	n/a	\$0	n/a	n/a	\$0
Up Front Hard Costs	Retrofits & vehicle wraps	n/a	n/a	\$0	n/a	n/a	\$0
	Bike Racks for Every Vehicle in Singular Fleet (\$1,500/vehicle) <i>Estimated at 29 vehicles</i>	n/a	n/a	\$0	n/a	n/a	\$0
	Access Retrofits	n/a	n/a	\$0	n/a	n/a	\$0
Base Service (Monday – Saturday)	Phase I Launch – September 7, 2021 25 vehicles <i>Hours estimate includes cost for starting service at 5 a.m. M-F in all years</i>	\$42.11	133,535	\$5,623,176	\$42.95	133,535	\$5,735,345

Sunday and Holiday Service	Phase I Launch – September 7, 2021	\$42.11	11,902	\$501,193	\$42.95	11,902	\$511,191
Saturday Service Hours Extension	Phase I Launch – September 7, 2021	\$42.11	1,996	\$84,052	\$42.95	1,996	\$85,728
Denia Neighborhood Expansion	Phase I Launch – September 7, 2021 1 extra vehicle	\$42.11	7,999	\$336,838	\$42.95	7,999	\$343,557
Business 121 North Zone Expansion	Phase I Launch – September 7, 2021 1 extra vehicle	\$42.11	6,238	\$262,682	\$42.95	6,238	\$267,922
Frankford Station (DART) to the Lewisville/HV Zone	Phase I Launch – September 7, 2021 1 extra vehicle	\$42.11	5,439	\$229,036	\$42.95	5,439	\$233,605
Sunday A-train Replacement	Phase I Launch – September 7, 2021	\$42.11	2,380	\$100,222	\$42.95	2,380	\$102,221
Service To/From Trinity Mills Station (“Guaranteed Ride Home”)	Phase I Launch – September 7, 2021	\$42.11	3,519	\$148,185	\$42.95	3,519	\$151,141
Castle Hills Zone Expansion	Phase 2A Launch – Estimated for January / February 2022 1 extra vehicle <i>Via is currently modifying this zone but does not anticipate the modification requiring any additional vehicles</i>	\$42.11	6,238	\$262,682	\$42.95	6,238	\$267,922
Access Service	Phase 2A Launch – Estimated for January / February 2022 8-10 extra vehicles <i>DCTA and Via still need to discuss and analyze date to provide an accurate not-to-exceed amount</i>	\$42.11	24,355	\$1,025,572	\$42.95	24,355	\$1,046,030
Weekday Late-Night Service Hours Extension	Phase 2B Launch – Estimated for Summer 2022	\$42.11	6,399	\$269,462	\$42.95	6,399	\$274,837
Total Not-to-Exceed Amount			210,000	\$8,843,100		210,000	\$9,019,500
Total Not-to-Exceed Amount: Two-Year Option Period	\$17,862,600						



DENTON COUNTY
TRANSPORTATION
AUTHORITY



Via Service Plan

Proposal # 4 with Board Modifications from
DCTA Board Meeting on April 7, 2021

Fixed Costs



Bike Racks to Vans

Service Description

- Addition of bike racks to all vehicles

	Year 1
Vehicles	25
Cost / Bike Rack (Incl. Install)	\$1,500
Cost for Base Fleet	\$37,500



Bike Racks to Vans

	Year 1
Vehicles - Base + Spares	29
Vehicles - Access + Add-ons	15
Cost / Bike Rack (Incl. Install)	\$1,500
Cost	\$66,000

Wheelchair Accessible Retrofits & Vehicle Wraps

	Year 1
Vehicles - Base + Spares	9
Vehicles - Access + Add-ons	11
Cost / Retrofit (Incl. Install)	\$11,000
Cost	\$172,000

Total Year 1 Fixed Costs: \$238,000

Phase I: Base Scenario



Monday - Saturday Service

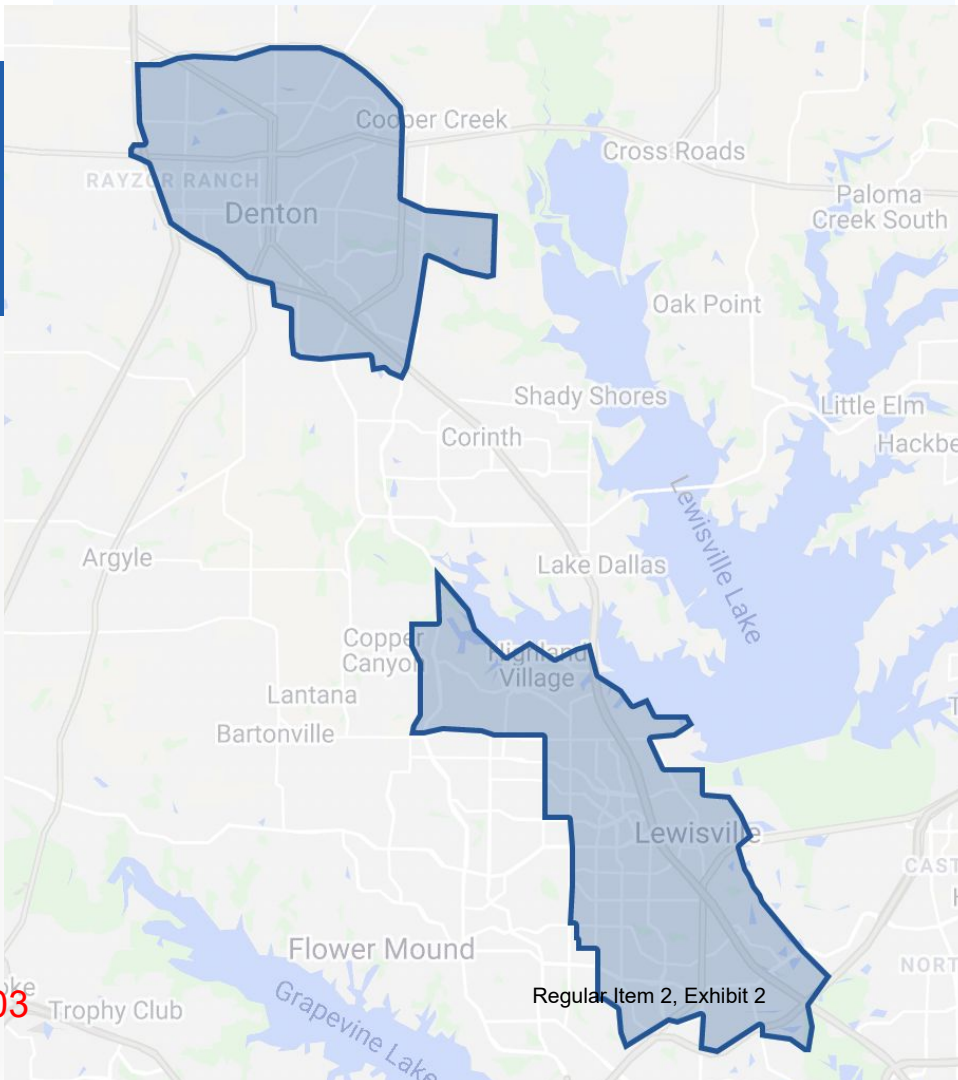
Service Description

- Monday - Thursday: 6am-10pm
- Friday: 6am-11pm
- Saturday: 8am-8pm
- Rides must begin and end in the same zone (i.e. Denton<->Denton or Lewisville/HV<->Lewisville/HV)

Year 1

Vehicles	25
Vehicle Hours	94,000
Y1 Ridership Estimates	280k-470k
Cost	\$3.5M*/\$3.9M

*\$3.5M assumes nine DCTA cutaways and does not include the cost to fuel, maintain, or insure those vehicles.





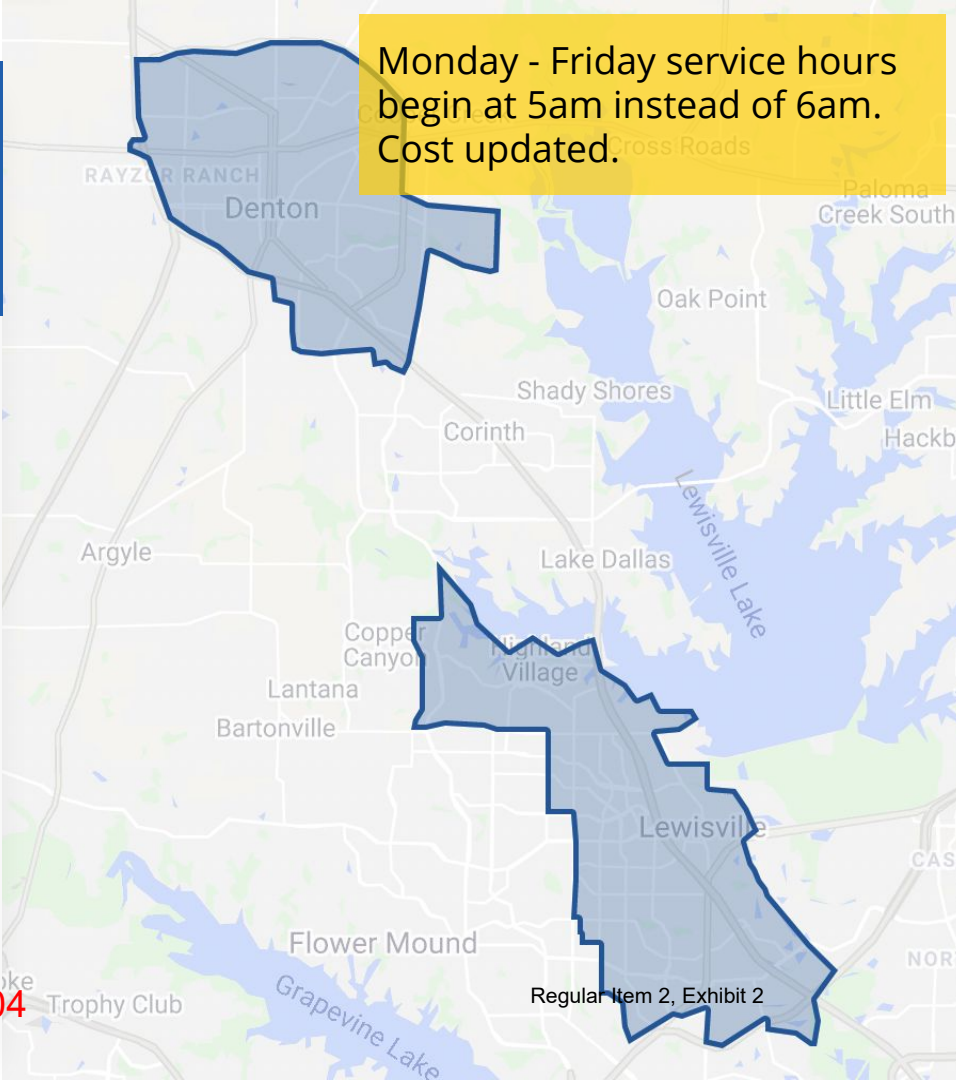
Base Service: Monday - Saturday

Service Description

- Monday - Thursday: 5am-10pm
- Friday: 5am-11pm
- Saturday: 8am-8pm
- Rides must begin and end in the same zone (i.e. Denton<->Denton or Lewisville/HV<->Lewisville/HV)

	Year 1
Vehicles	25
Vehicle Hours	99,097
Y1 Ridership Estimates	280k-470k
Cost (Singular Fleet)	\$4.07M

Monday - Friday service hours begin at 5am instead of 6am.
Cost updated.



Regular Item 2, Exhibit 2

Phase I: Add-Ons



Denia Neighborhood Expansion

Service Description

- Extension of Denton service area to include the Denia neighborhood
- Hours of operation in line with Denton/Lewisville base scenario
- Note: Unlikely to need extra vehicle at all times. This is a not-to-exceed amount should demand from this neighborhood become significant.

	Year 1
Vehicles	1 extra
Vehicle Hours	3,150
Cost	\$117K/\$129K



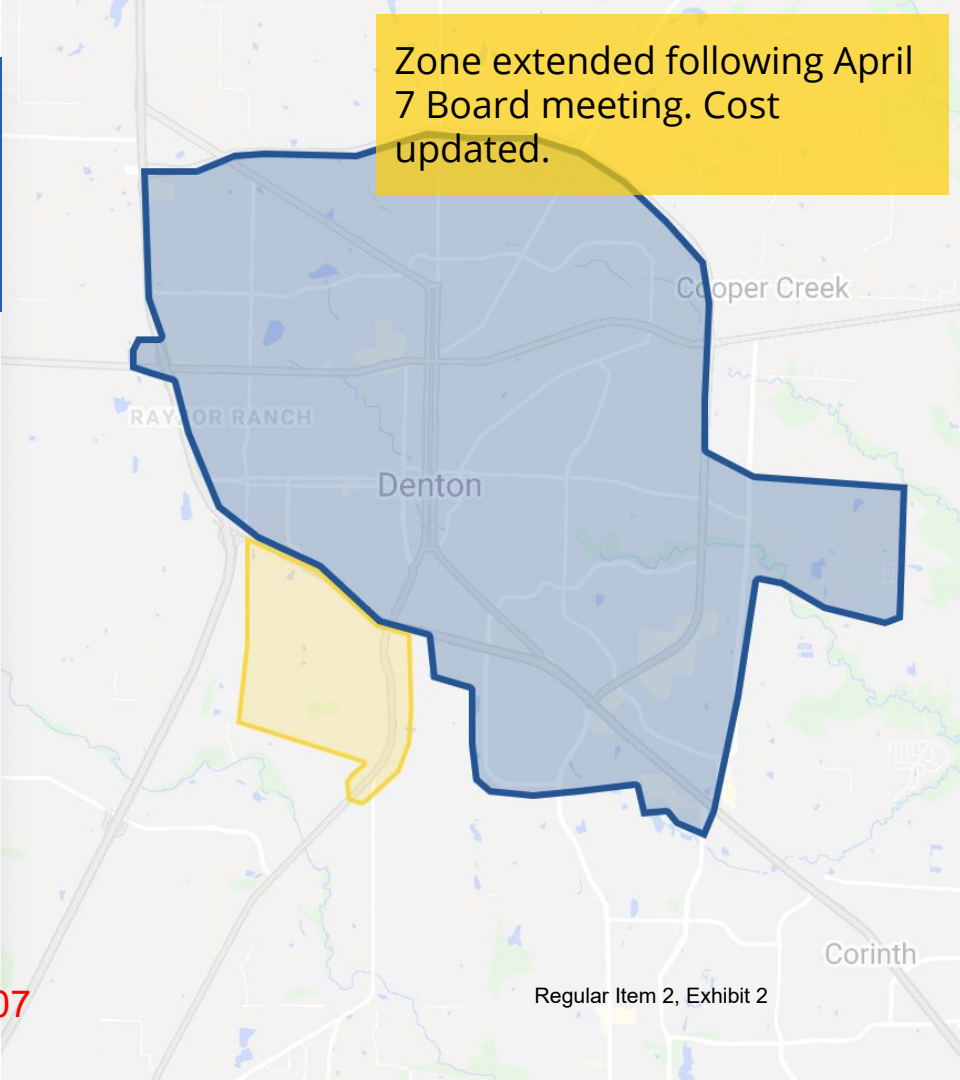
Denia Neighborhood Expansion

Service Description

- Extension of Denton service area to include the Denia neighborhood
- Hours of operation in line with Denton/Lewisville Phase I

	Year 1
Vehicles	2 extra
Vehicle Hours	6,250
Cost (Singular Fleet)	\$257K

Zone extended following April 7 Board meeting. Cost updated.



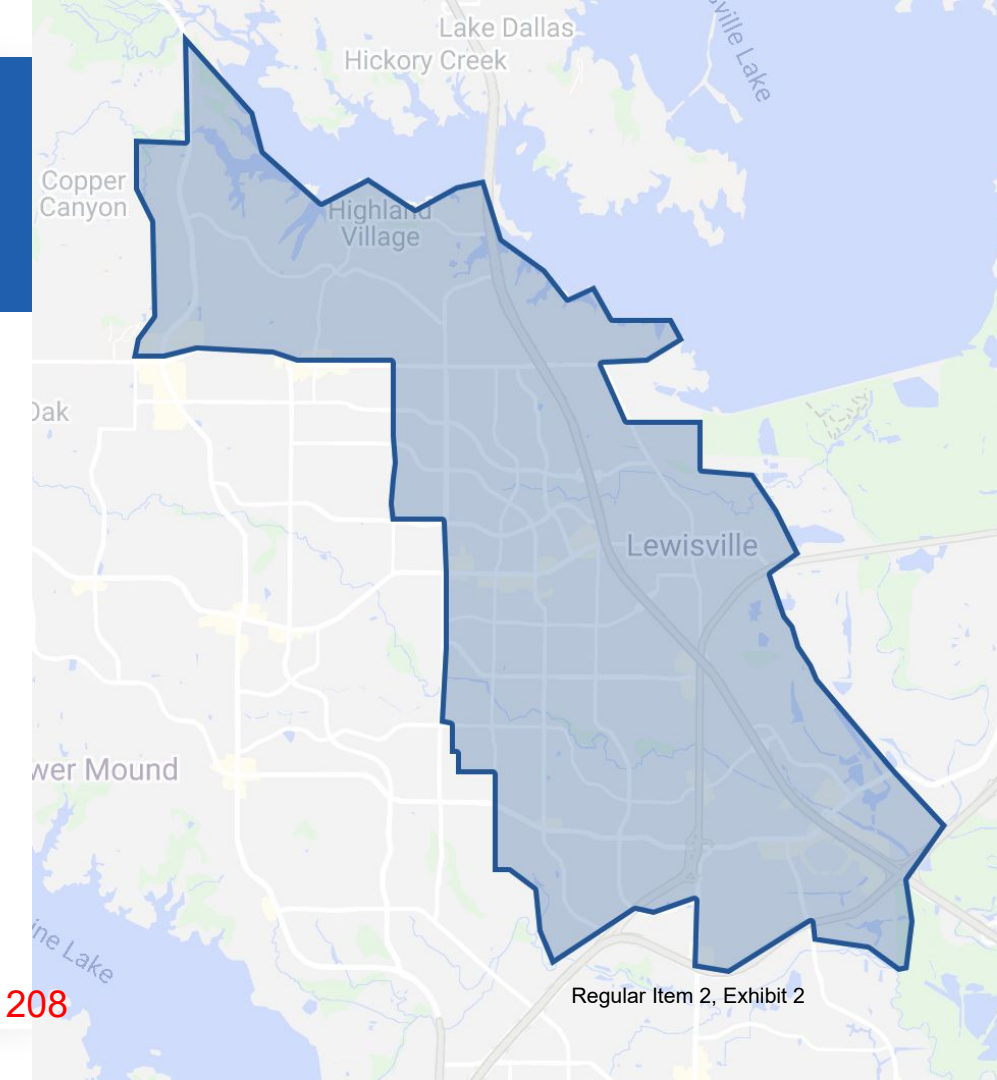


Frankford Station (DART) to the Lewisville/HV Zone

Service Description

- Addition of Frankford Dart Station to Lewisville zone
- Rides can be booked between Frankford Station and Lewisville / Highland Village (Blue)
- **Option 1: Mon-Fri 6:30am-6:30pm**

	Year 1
Vehicles	1 extra
Vehicle Hours	3,000
Cost	\$112K/\$123K



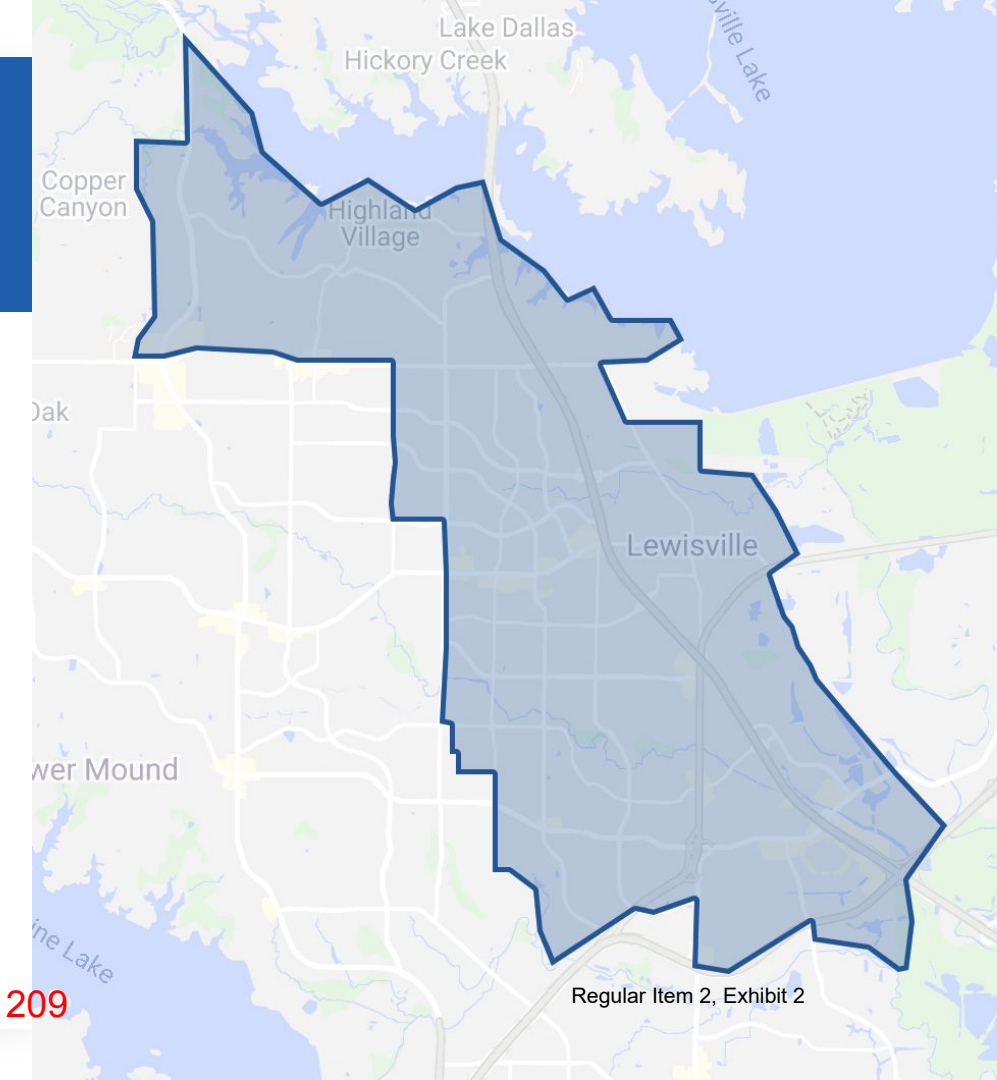


Frankford Station (DART) to the Lewisville/HV Zone

Service Description

- Addition of Frankford Dart Station to Lewisville zone
- Rides can be booked between Frankford Station and Lewisville / Highland Village (Blue)
- **Option 2: Mon-Thu: 6am-10pm, Fri 6am-11pm**

	Year 1
Vehicles	1 extra
Vehicle Hours	4,250
Cost	\$158K/\$174K





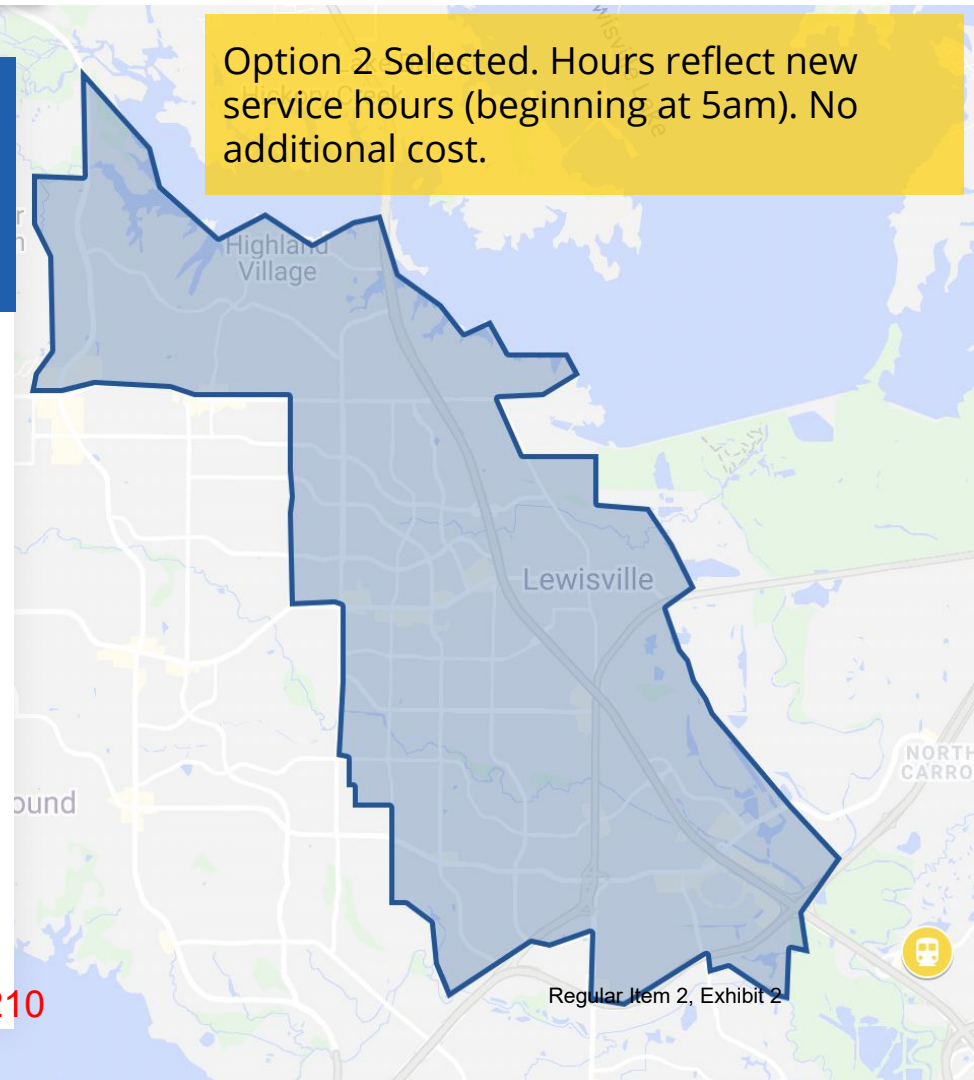
Frankford Station (DART) to the Lewisville/HV Zone

Option 2 Selected. Hours reflect new service hours (beginning at 5am). No additional cost.

Service Description

- Addition of Frankford Dart Station to Lewisville zone
- Rides can be booked between Frankford Station and Lewisville / Highland Village (Blue)
- **Mon-Thu: 5am-10pm, Fri 5am-11pm**

	Year 1
Vehicles	1 extra
Vehicle Hours	4,250
Cost (Singular Fleet)	\$174K



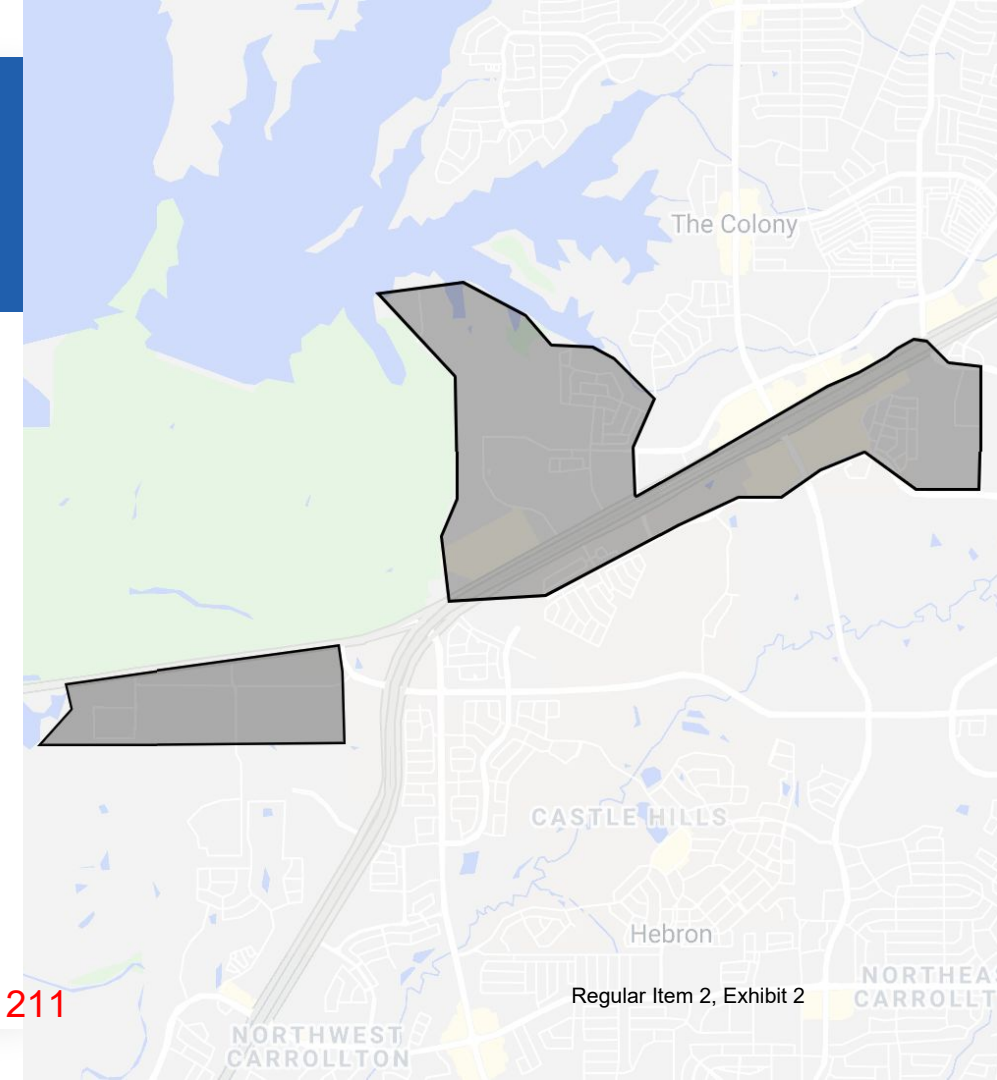


Business 121 North Zone Expansion (w/ First Park 121)

Service Description

- Island service to Business 121 North
- Hours of operation in line with Denton/Lewisville base scenario
- Rides can be booked intra-zone or to/from Lewisville/HV zone

	Year 1
Vehicles	1 extra
Vehicle Hours	4,874
Cost	\$181K/\$200K





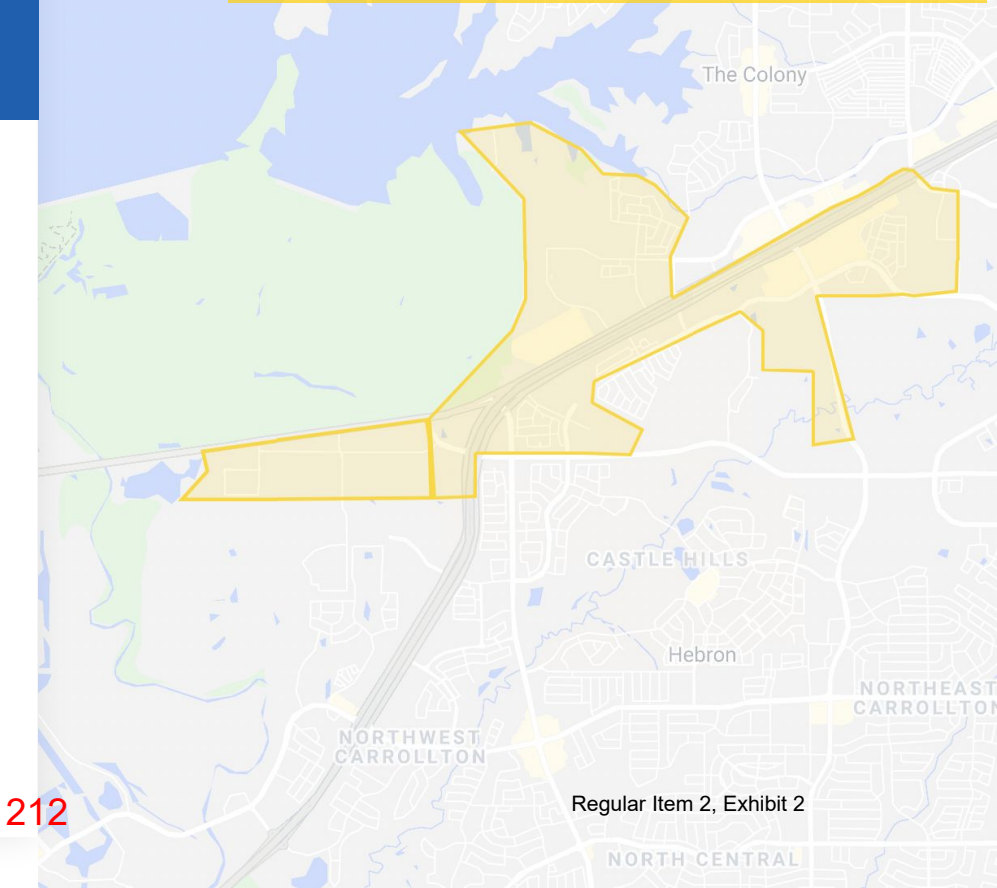
Business 121 North Zone Expansion (w/ First Park 121)

Service Description

- Island service to Business 121 North
- Hours of operation in line with Denton/Lewisville base scenario
- Rides can be booked intra-zone or to/from Lewisville/HV zone

	Year 1
Vehicles	1 extra
Vehicle Hours	4,874
Cost (Singular Fleet)	\$200K

Zone updated to exclude Castle Hills and include Josie and 544 neighborhood. No additional cost for zone change.



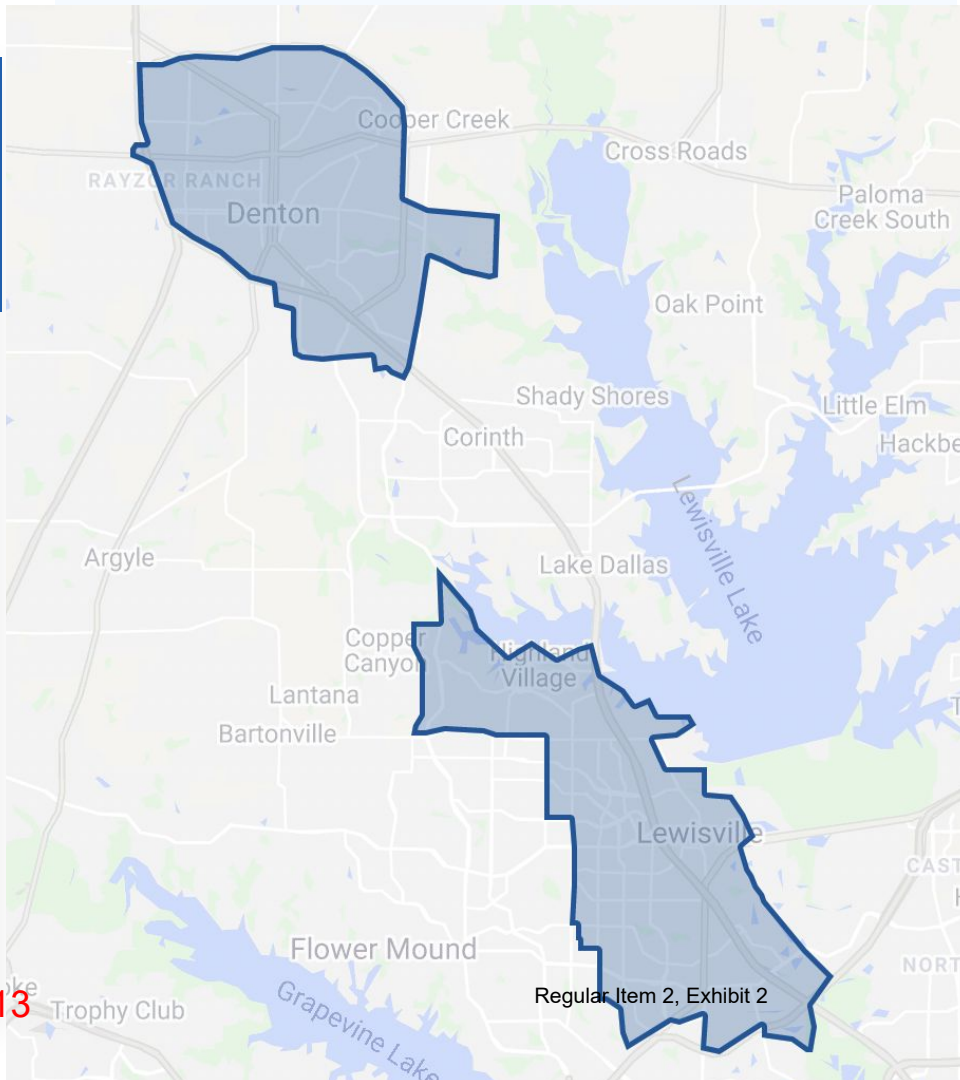


Sunday & Holiday Service

Service Description

- Sunday and holiday service, 8am-6pm
- Assumes 10 holidays per year
- Rides must begin and end in the same zone (i.e. Denton<>Denton or Lewisville/HV<>Lewisville/HV)

	Year 1
Vehicles	15
Vehicle Hours	9,300
Cost	\$346K/\$380K



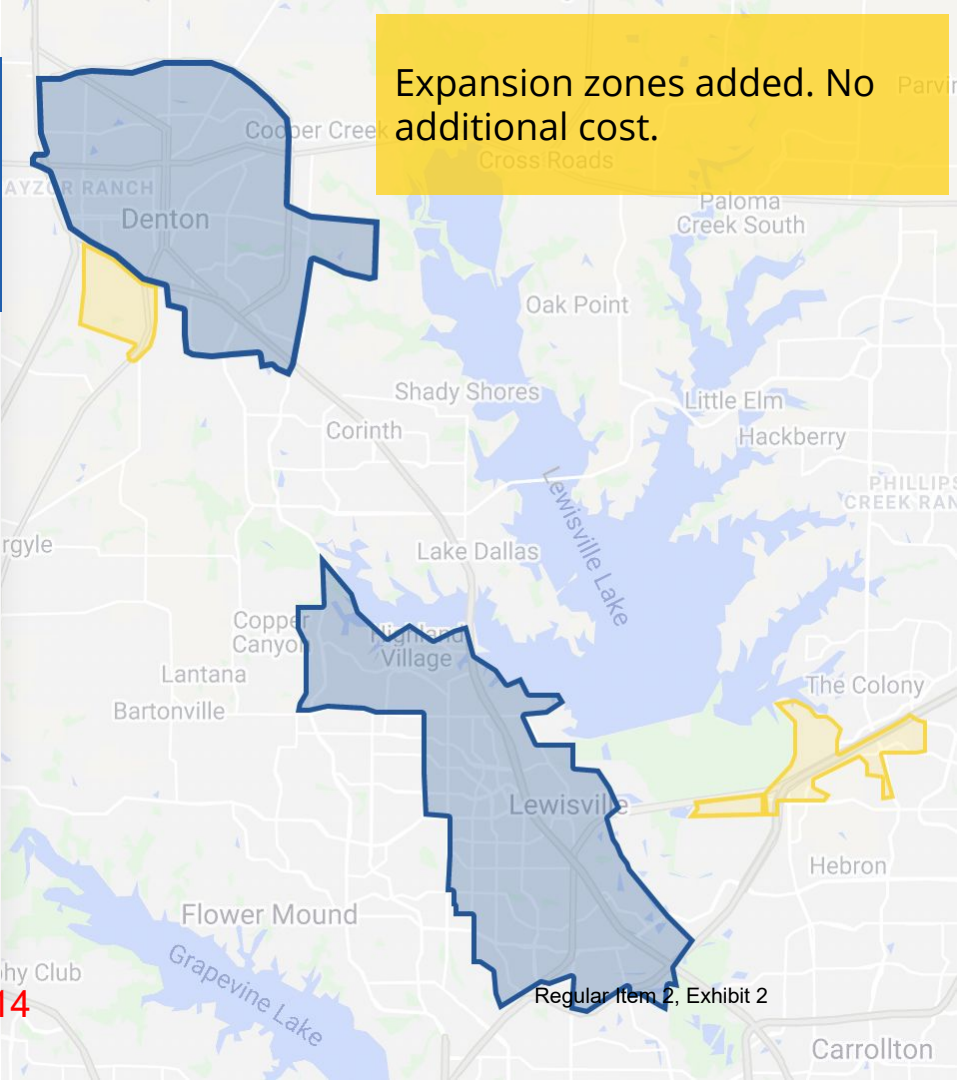


Sunday & Holiday Service

Service Description

- Sunday and holiday service, 8am-6pm
- Assumes 10 holidays per year

	Year 1
Vehicles	15
Vehicle Hours	9,300
Cost (Singular Fleet)	\$381K



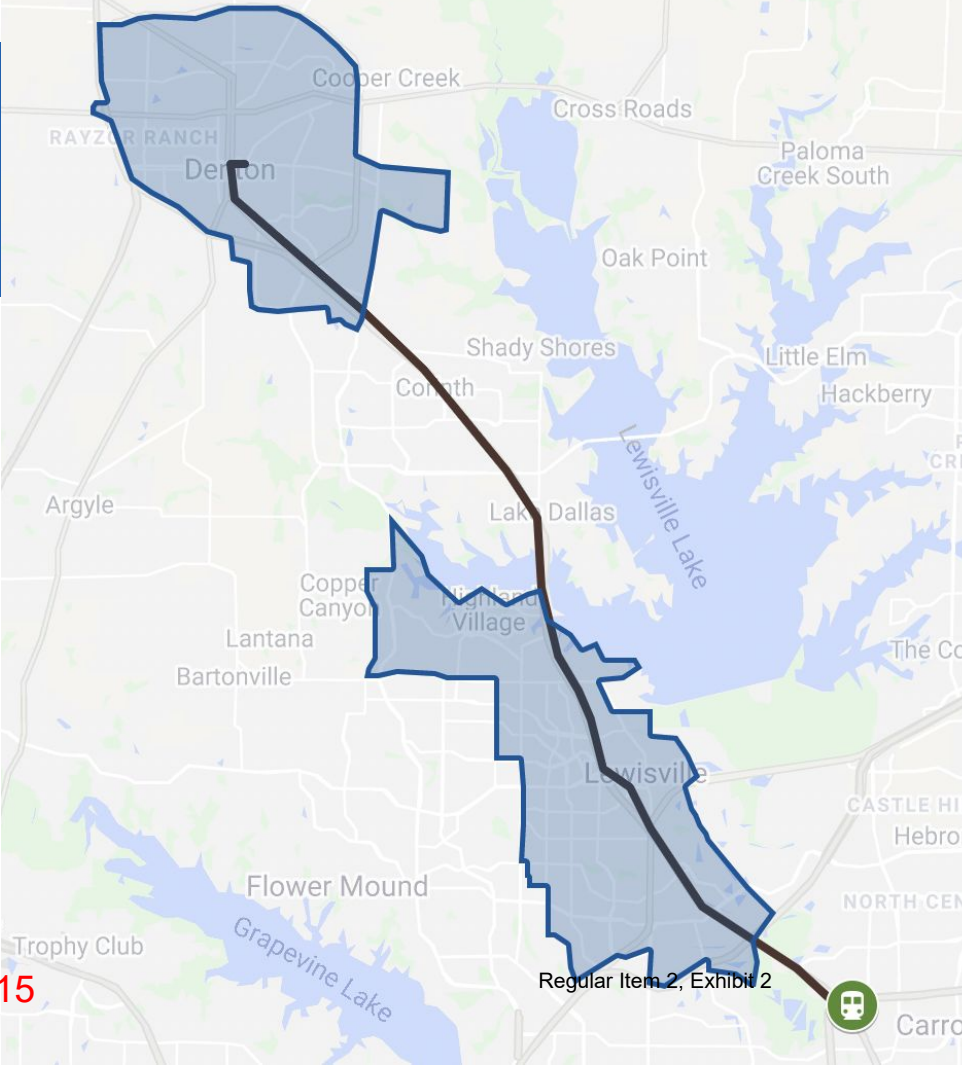


Sunday A-Train Replacement

Service Description

- Sundays, between 8am-6pm
- Rides must originate and terminate within either of the blue zones or Trinity Mills Station. Rides cannot be booked to/from outside of the blue zones.
- Note: Add on price only applicable if included with regular Sunday service

	Year 1
Vehicles	3
Vehicle Hours	1,860
Cost	\$69K/\$76K





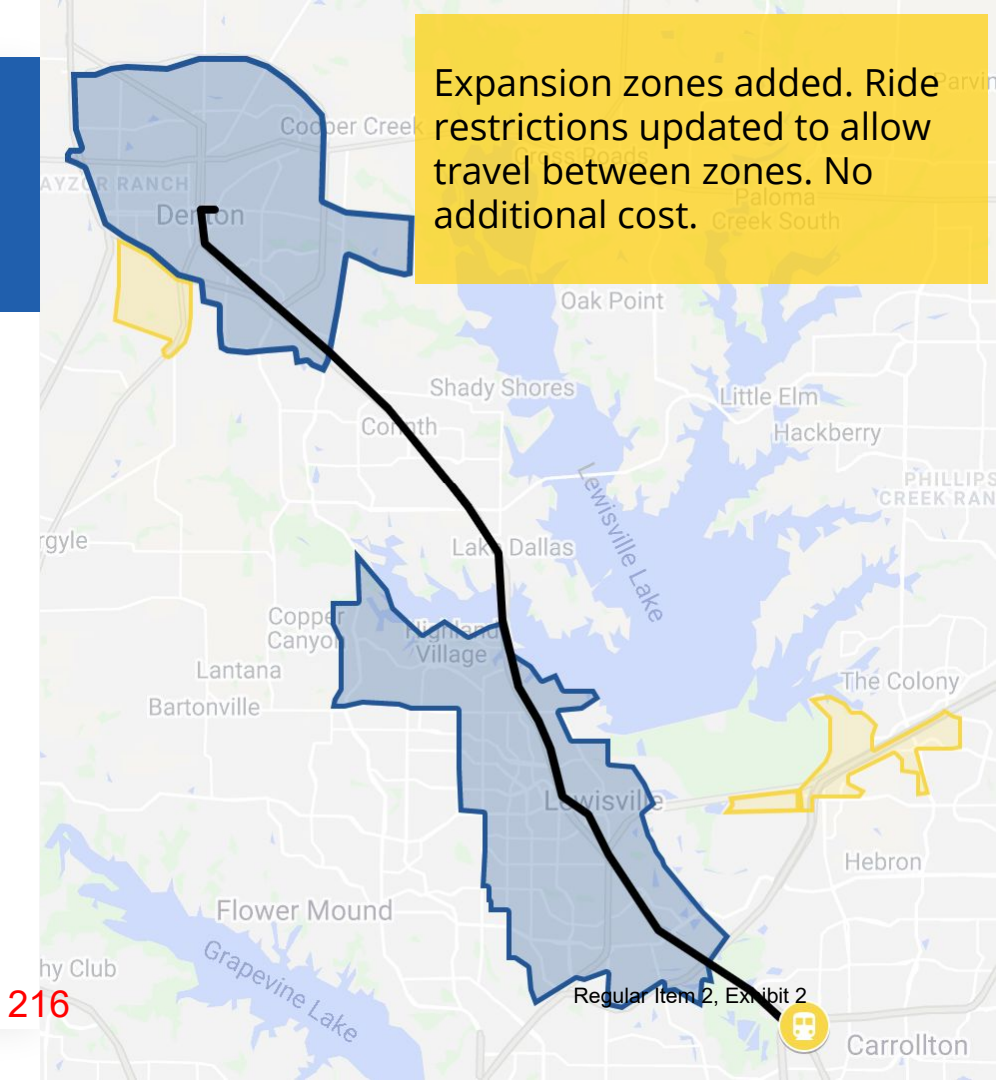
Sunday A-Train Replacement

Service Description

- Sundays, between 8am-6pm
- Rides cannot be booked to/from outside of the blue/yellow zones.
- Note: Add on price only applicable if included with regular Sunday service

	Year 1
Vehicles	3
Vehicle Hours	1,860
Cost (Singular Fleet)	\$76K

Expansion zones added. Ride restrictions updated to allow travel between zones. No additional cost.



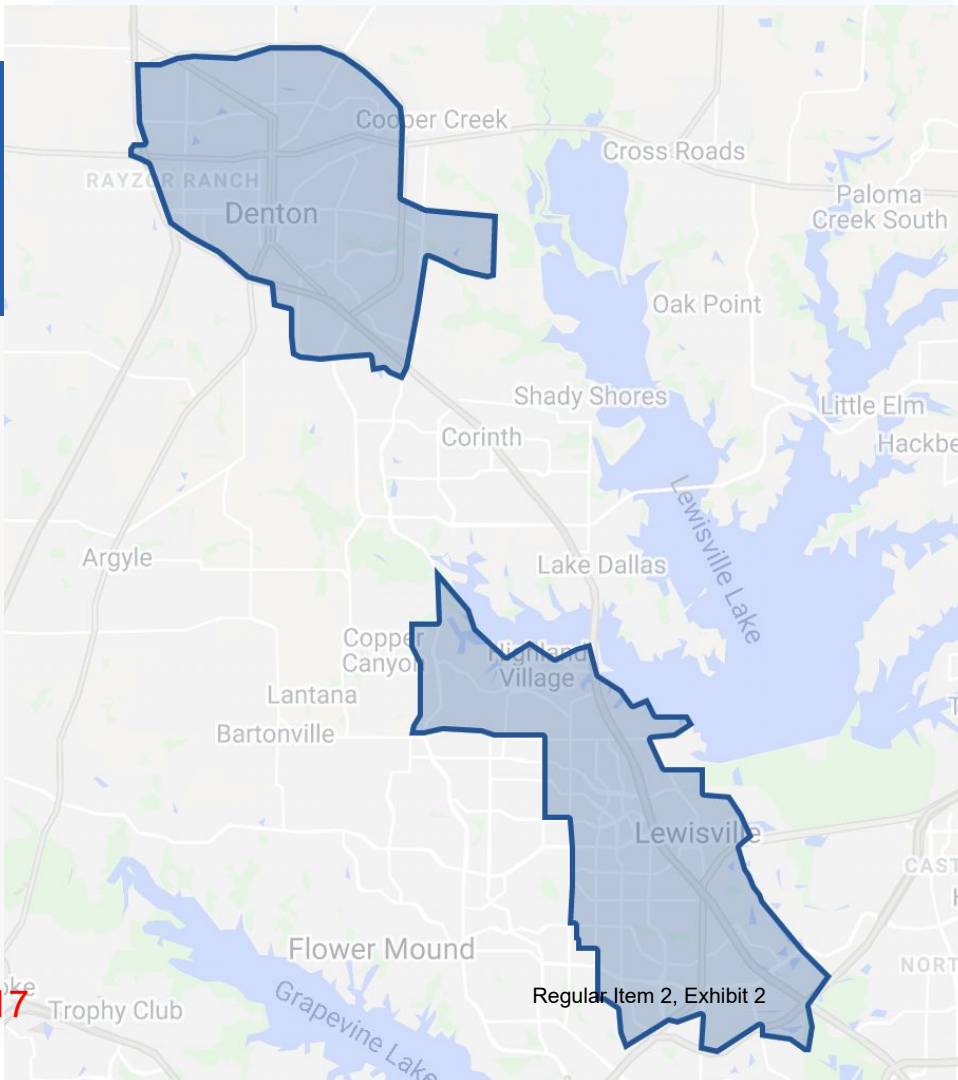


Saturday Service Hours Extension

Service Description

- Additional 3 hours, extending service hours to 11pm (instead of 8pm)
- Rides must begin and end in the same zone (i.e. Denton<>Denton or Lewisville/HV<>Lewisville/HV)

	Year 1
Vehicles	10
Vehicle Hours	1,560
Cost	\$58K/\$64K



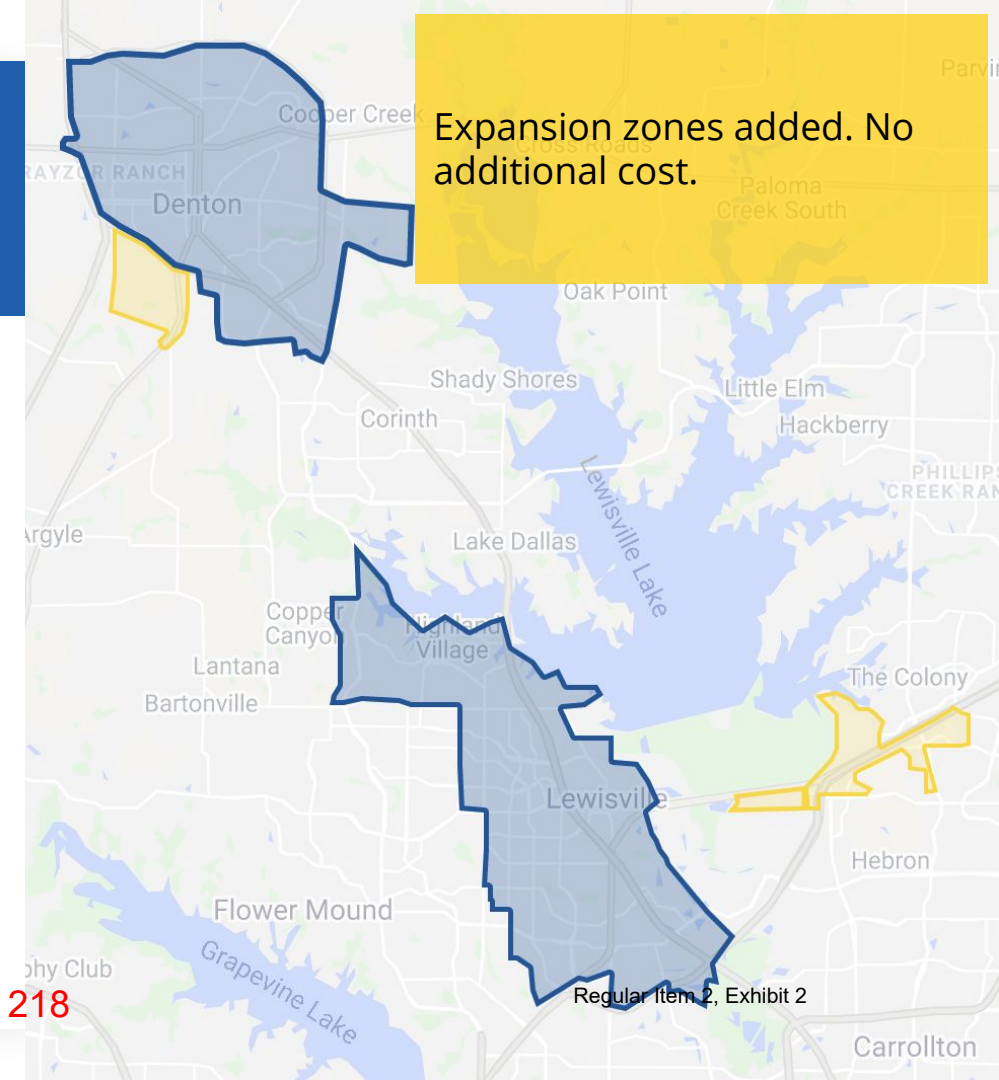


Saturday Service Hours Extension

Service Description

- Additional 3 hours, extending service hours to 11pm (instead of 8pm)
- Rides must begin and end in the same zone (i.e. Denton<->Denton or Lewisville/HV<->Lewisville/HV)

	Year 1
Vehicles	10
Vehicle Hours	1,560
Cost (Singular Fleet)	\$64K



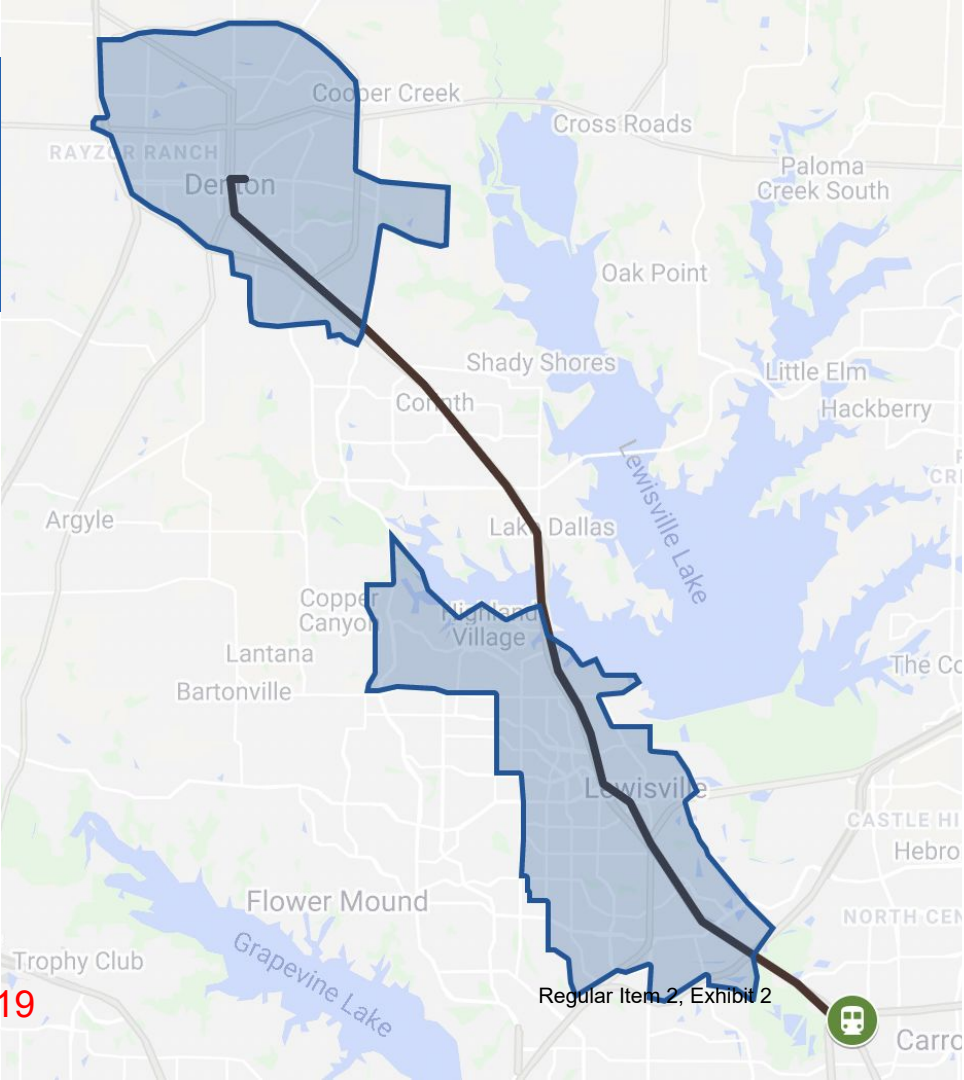


Service To/From Trinity Mills Station

Service Description

- Additional 3 hours of service each night (to begin at the end of regular operating hours), providing last-mile ride from Trinity mills station only.
- Monday - Saturday
- Rides must originate at Trinity mills station, and can be dropped off anywhere within the blue zones.

	Year 1
Vehicles	3
Vehicle Hours	2,750
Cost	\$102K/\$112K





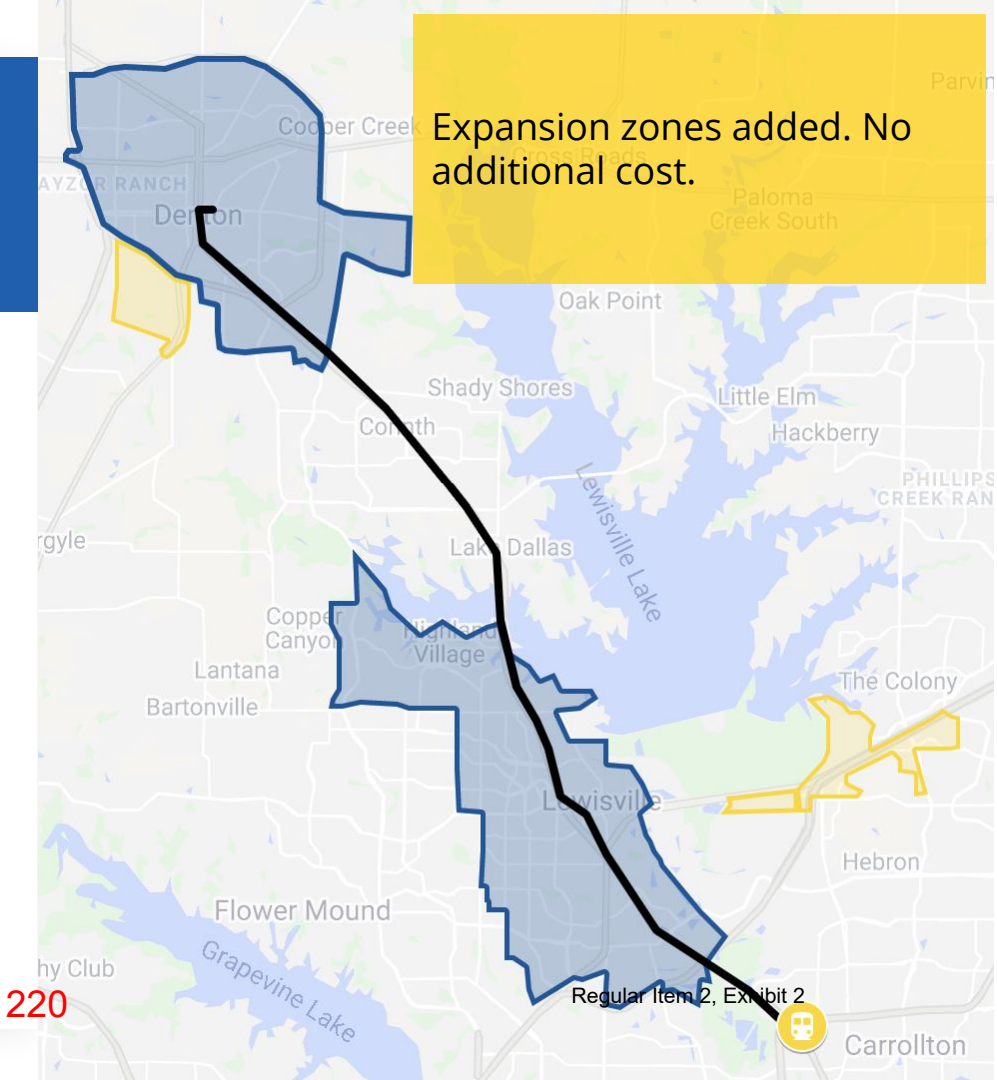
Service To/From Trinity Mills Station

Service Description

- Additional 3 hours of service each night (to begin at the end of regular operating hours), providing last-mile ride from Trinity mills station only.
- Monday - Saturday
- Rides must originate at Trinity mills station, and can be dropped off anywhere within the blue/yellow zones.

	Year 1
Vehicles	3
Vehicle Hours	2,750
Cost (Singular Fleet)	\$112K

Expansion zones added. No additional cost.



220

Regular Item 2, Exhibit 2



Phase II: Add Ons

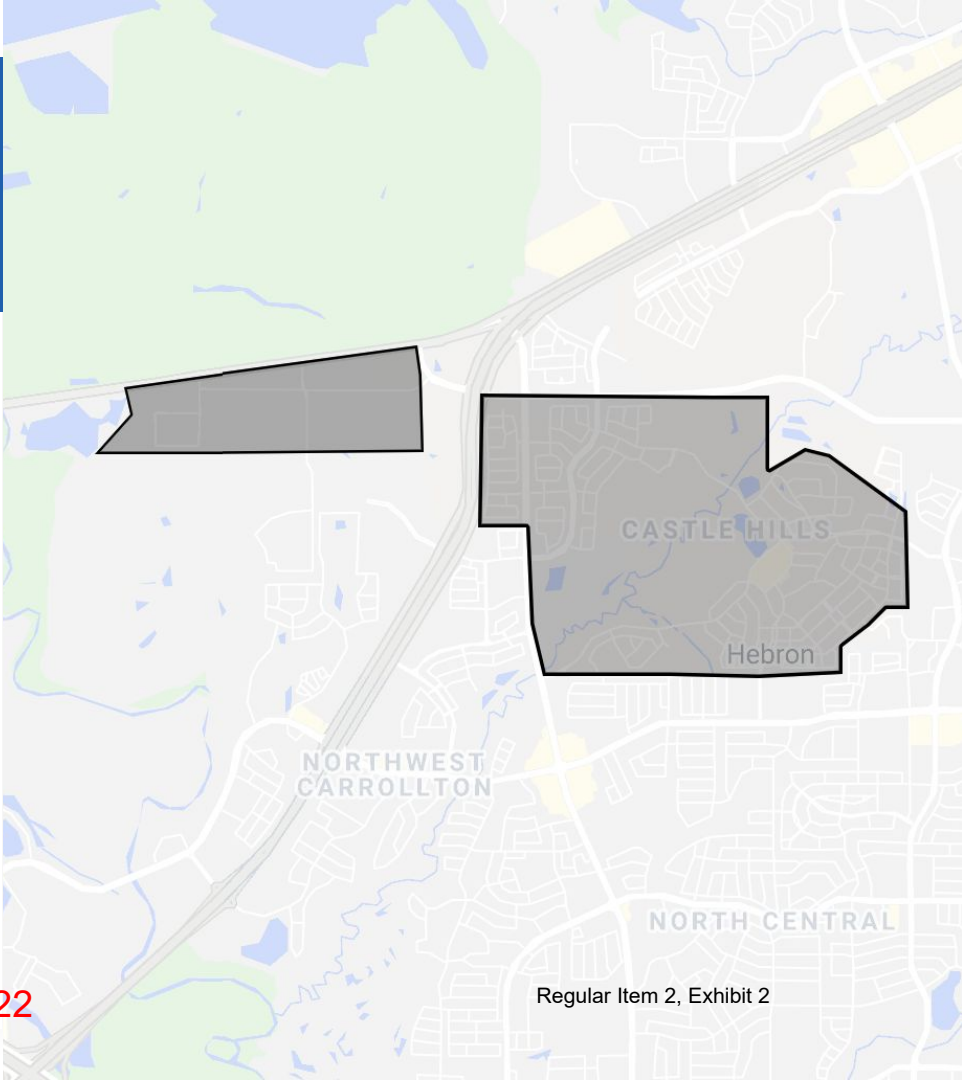


Castle Hills Zone Expansion

Service Description

- Island service to Castle Hills
- Hours of operation in line with Denton/Lewisville
- Rides can be booked intra-zone or to/from Lewisville/HV zone

	Year 1
Vehicles	1 extra
Vehicle Hours	4,874
Cost	\$181K/\$200K





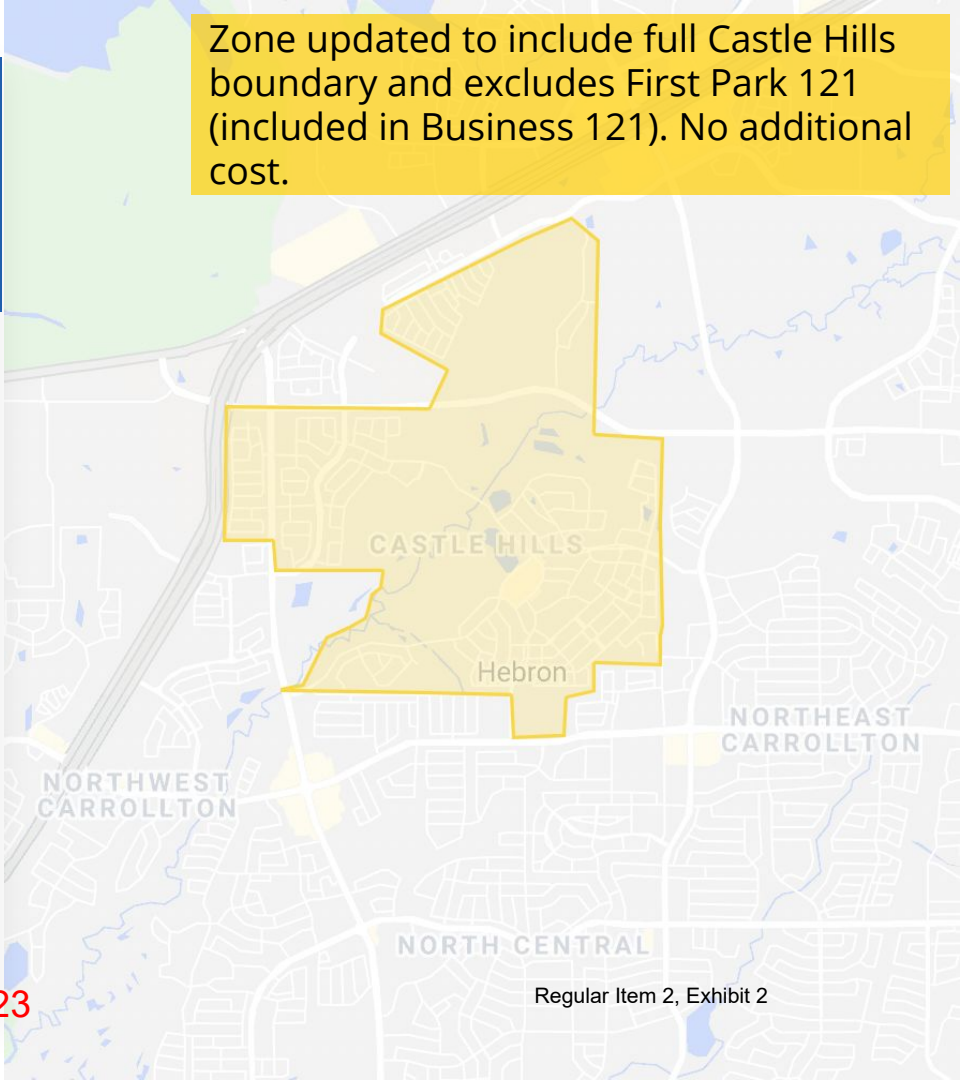
Castle Hills Zone Expansion

Service Description

- Island service to Castle Hills
- Hours of operation in line with Denton/Lewisville
- Rides can be booked intra-zone or to/from Lewisville/HV zone

	Year 1
Vehicles	1 extra
Vehicle Hours	4,874
Cost (Singular Fleet)	\$200K

Zone updated to include full Castle Hills boundary and excludes First Park 121 (included in Business 121). No additional cost.





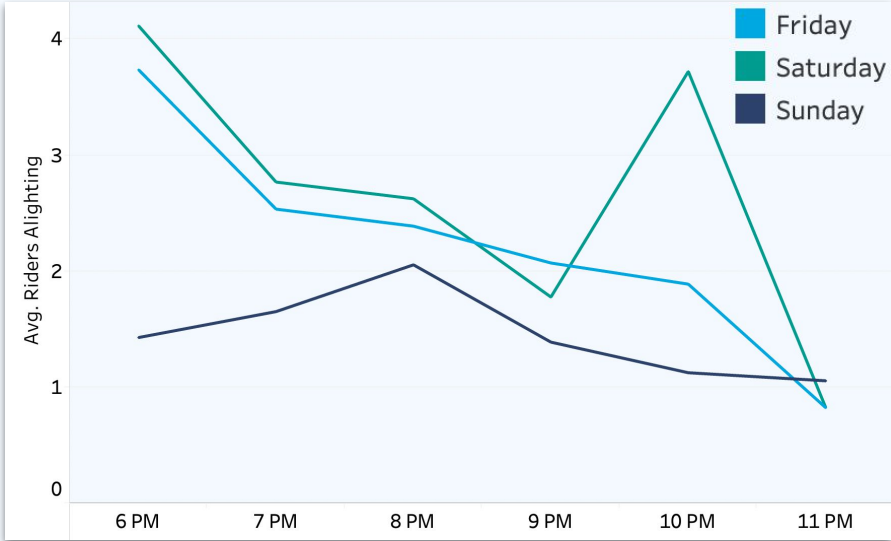
Weekday Late-Night Service Hours Extension

Service Description

- Additional 3 hours of service each night
- Monday - Thurs
- Rides must begin and end in the same zone (i.e. Denton<>Denton or Lewisville/HV<>Lewisville/HV)

	Year 1
Vehicles	8
Vehicle Hours	5,000
Cost	\$186K/\$205K

Green Line: Alighting at Trinity Mills Station
Jan 2021



Via Recommendation: Green Line weekend data suggests very low ridership potential during late night hours. **Via recommend to consider weekday late-night extension as a later phase.**



Weekday Late-Night Service Hours Extension

Service Description

- Additional 3 hours of service each night
- Monday - Thurs
- Rides must begin and end in the same zone (i.e. Denton<>Denton or Lewisville/HV<>Lewisville/HV)

	Year 1
Vehicles	8
Vehicle Hours	5,000
Cost (Singular Fleet)	\$205K

No change.



8-10 Access vehicles

Service Description

- Paratransit service, door-to-door rides
- Hours and ride restrictions in line with base scenario
- Note that the per vehicle hour fee for Access is higher than the other scenarios at \$40 due to more intensive support needs for Access customers. WAV retrofits would be an additional charge.

Year 1

Vehicles	8-10 extra
Vehicle Hours	15,500 - 25,000
Cost	\$0.62M - \$1M



Additional data on Access trip volumes will help determine exact cost of service.

Regular Item 2, Exhibit 2



8-10

Access
vehicles

Service Description

- Paratransit service, door-to-door rides
- Hours and ride restrictions in line with base scenario
- Note that the per vehicle hour fee for Access is higher than the other scenarios at \$40 due to more intensive support needs for Access customers. WAV retrofits would be an additional charge.

Year 1

Vehicles	8-10 extra
Vehicle Hours	15,500 - 25,000
Cost	\$1M

Including high estimate for purpose of task order. Additional analysis will be completed to further refine costs.

Additional data on Access trip volumes will help determine exact cost of service.

Pricing Summary

Base + Add-Ons

Singular Fleet (No DCTA-Provided Cutaways)

April 7th

Option	Incremental Annual Cost (Recurring)	Incremental Upfront Cost (One-time)
Phase One		
Base Service (Full Avis Fleet)	\$3,859,640	\$128,000*
Phase One: Add-Ons		
Sunday Service	\$381,858	-
Saturday Service Hours Extension	\$64,054	-
Denia Zone	\$129,339	-
Highland Village Hours Extension	Not recommended	-
Business 121 North Zone Expansion	\$200,126	-
Bike Racks to Vans	-	\$37,500
Frankford Station (DART) to the Lewisville/HV Zone (Option 1)	\$123,180	-
Frankford Station (DART) to the Lewisville/HV Zone (Option 2)	\$174,105	-
Phase Two: Add-Ons		
Sunday A-Train Replacement	\$76,372	-
Trinity Mills	\$112,915	-
Castle Hills Zone Expansion	\$200,126	-
Late-Night Service Hours Extension	\$205,300	-
Access	\$678,900-\$1,095,000	\$33,000

229

Regular Item 2, Exhibit 2

*One-time costs in Y1 to retrofit vehicles

New	Option	Incremental Annual Cost (Recurring)
Phase One: Base		
Base Service (Full Avis Fleet)		\$4,068,910
Phase One: Add-Ons		
Incremental Up Front Hard Costs		\$238,000*
Sunday Service		\$381,858
Saturday Service Hours Extension		\$64,054
Denia Zone		\$256,625
Highland Village Hours Extension		-
Business 121 North Zone Expansion		\$200,126
Frankford Station (DART) to the Lewisville/HV Zone (Option 2)		\$174,505
Sunday A-Train Replacement		\$76,372
Trinity Mills		\$112,915
Phase Two: Add-Ons		
Castle Hills Zone Expansion		\$200,126
Late-Night Service Hours Extension		\$205,300
Access		\$1,000,000
Total Year 1		
Not-To-Exceed Amount: Year 1		Regular Item 2, Exhibit 2 \$6,978,791

230

*One-time costs in Y1 to retrofit vehicles and bike racks on all vehicles

Pricing Summary

Base + Add-Ons

Four Year Projection

Singular Fleet

	Base Scenario	Maximum: All Add-Ons	Total Year 1	Total Year 2	Total Year 3	Total Year 4	Total All 4 Years
Total Cost	\$3,987,640	\$2,639,595	\$6,627,235	\$8,256,000	\$8,422,000	\$8,590,000	\$31,895,235
o/w Upfront Cost	\$128,000	\$70,500	\$198,500	\$0	\$0	\$0	\$198,500
Total Annual Vehicle Hours	94,000	62,569	156,569	200,000	200,000	200,000	756,569
Price/Vehicle Hour (Excluding Upfront Cost)	\$41.06	\$41.06	\$41.06	\$41.28	\$42.11	\$42.95	\$41.90
Memo: Ridership Potential	280k-470k	190k-315k	470k-785k	750k-1,100k	770k-1,120k	790k-1,140k	2,780k-4,145k

*For all add-ons, costs shown are incremental to the base. Note: All ridership and cost per ride figures are estimates.

Singular Fleet

	Base Scenario	Maximum: All Add-Ons	Total Year 1	Total Year 2	Total Year 3	Total Year 4	Total All 4 Years
Total Cost	\$4,068,910	\$2,909,881	\$6,978,791	\$8,679,300	\$8,843,100	\$9,019,500	\$33,520,691
o/w Upfront Cost	\$238,000		\$10,500	\$0	\$0	\$0	\$248,500
Total Annual Vehicle Hours	99,097	65,072	164,169	210,000	210,000	210,000	794,169
Price/Vehicle Hour (Excluding Upfront Cost)	\$41.06	\$41.06	\$41.06	\$41.28	\$42.11	\$42.95	\$41.90
Memo: Ridership Potential	280k-470k	190k-315k	470k-785k	750k-1,100k	770k-1,120k	790k-1,140k	2,780k-4,145k

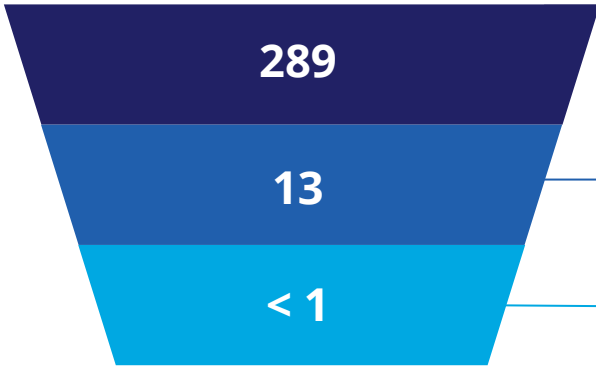
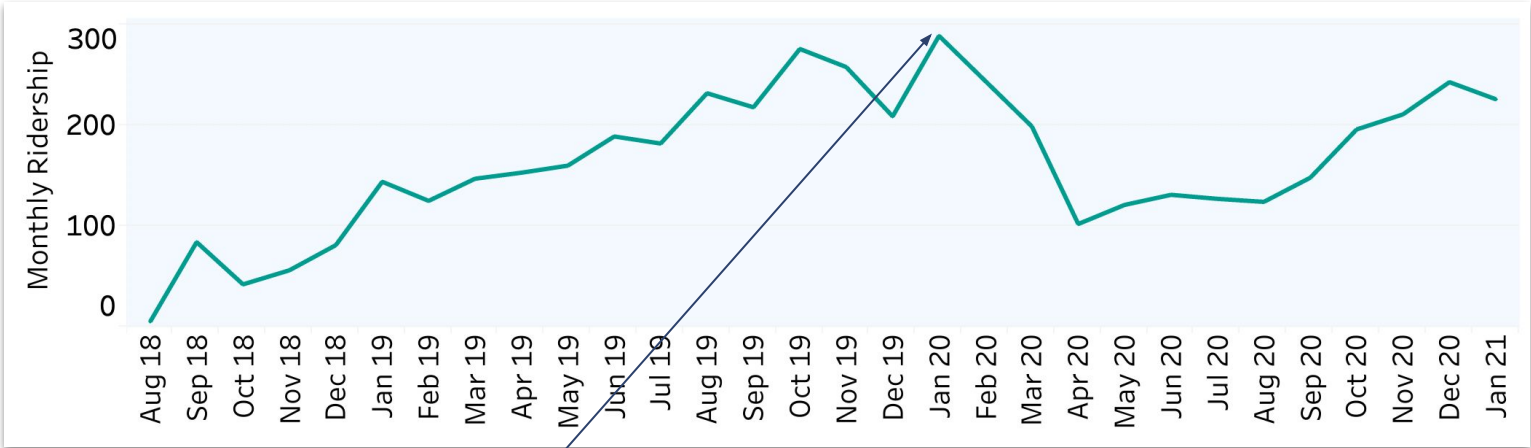
*For all add-ons, costs shown are incremental to the base. Note: All ridership and cost per ride figures are estimates.

Thank you.

Appendix

Highland Village Service Hours Extension

Ridership by Month



Peak rides per month (Jan 2020)

Avg daily rides in Jan 2020 (289 / 23 workdays)

Avg. rides between 5am-6am (0.45% * 13)

236

Early morning (5am-6am) not recommended - expected ridership is 0-1 ride between 5am-6am.

Trinity Mills Late Night Service

Request 3(a) A-train ridership for last four trains on Saturday nights

LAST four SB A-train departures by train/list train time from Denton (Boardings & Alightings)

Train No.	Depart	Pre/Post?	Average Passengers OFF
5985	6:18 PM	Post-COVID	17
5987	8:18 PM	Post-COVID	11
5989	10:18 PM	Post-COVID	5
5991	12:18 AM	Post-COVID	1

Post-COVID Average Trinity Mills SB Passengers Off 8

Train No.	Depart	Pre/Post?	Average Passengers OFF
5981	6:48 PM	Pre-COVID	20
5983	8:24 PM	Pre-COVID	20
5985	10:52 PM	Pre-COVID	17
5987	12:25 AM	Pre-COVID	11

Pre-COVID Average Trinity Mills SB Passengers Off 17

Pre-covid numbers suggest a need for late night "Safe Ride Home" from Trinity Mills between 11pm-1am.

Request 3(b) A-train ridership for last four trains on Saturday nights

Last four NB A-train departures by train/list train times from Trinity Mills (Boardings & Alightings)

Train No.	Depart	Pre/Post?	Average Passengers ON
5984	4:50 PM	Post-COVID	19
5986	6:50 PM	Post-COVID	19
5988	8:45 PM	Post-COVID	13
5990	10:45 PM	Post-COVID	9

Post-COVID Average Trinity Mills NB Passengers On 15

Train No.	Depart	Pre/Post?	Average Passengers ON
5980	5:26 PM	Pre-COVID	11
5982	7:06 PM	Pre-COVID	17
5984	9:06 PM	Pre-COVID	19
5986	11:06 PM	Pre-COVID	19

Pre-COVID Average Trinity Mills NB Passengers On 17

Suggest to implement at Phase 2.

S:\STRATEGIC PLANNING\ServicePlaningSupport\TrinityMillsRidership_Range.xlsx|PIVOTS

Estimated Ridership Range by Year



238

Regular Item 2, Exhibit 2



MaaS Service Plan Timeline

Updated 4/15/21

LEGEND

Complete
Pending
TBD

Activity	Jan '21	Feb '21	Mar '21	Apr '21	May '21	June '21	July '21	Aug '21	Sep '21	Oct '21	Nov '21	Dec '21	Jan '22	Feb '22	Mar '22	Apr '22	May '22	June '22	July '22
Board Review/Approval - Vendor	Board Mtg																		
Member City Roundtables																			
Board Review/Approval - Contract Terms, Phase I: Final Proposed Service Plan, and Conceptual Future Phases				Board Mtg On 4/7															
Public Involvement Process - Preparation																			
Public Involvement Process/Title VI Analysis - Activation																			
Service Launch Coordination				Upon Contract Signature on 4/23															
Phase IIA Access Service Data Analysis																			
Board Review/Approval - Phase I: Final Service Plan							Board Mtg on 7/22												
Phase I: Communication Launch																			
Official Phase I: Service Launch																			
Operate On-Demand and Fixed Route Simultaneously																			
Fixed Route/On-Demand A/B Testing Period (Rts 3 and 7)																			
Staff Planning for Implementation of Phase II: Access																			
Board Review - Phase II: Proposed Access Service Plan																			
Phase II Public Involvement Process - Preparation																			
Public Involvement Process/Title VI Analysis - Activation																			
Board Review/Approval - Phase II: Final Access Service Plan																			
Official Phase II: Service Launch																			
Kickstart Future Phase Discussions																			

Changes as of 3/30/21:

*Original estimated launch date of 9/6/21 is Labor Day - Proposing new launch date of 9/7/21 (DCTA does not operate service on Labor Day)

**Recommend running fixed route service from 9/7/21 - 9/18/21, which is just shy of the 2-week recommendation (DCTA could extend longer if needed)

Board of Directors Memo

April 22, 2021

SUBJECT: Review and Discuss Project Manager Office (PMO) Progress Report

Background

Effective February 1, 2021, Accenture began a 12-month engagement to deliver Agency Transformation Initiative implementation Program Management Office (PMO) services.

Accenture's scope of work under Task Order #2 includes:

- Transformation Initiative Implementation
 - PMO Activities and deliverables
 - Finalize Phase 2 program planning and governance
 - Mobility-as-a-Service (MaaS) Member City service agreement advisory services
 - Planning Staff training activities
- Mobility Orchestration – Fare Management and Regional Touchless Fare Integration
 - Fare Management Orchestration Discover-design Workshop
- ERP Sourcing Strategy
 - Develop ERP Strategy and business case
 - Define differentiating functional requirements for new ERP system
 - Conduct market scan of ERP solutions base on DCTA functional needs and risk profile, support solicitation development

Prior Board Discussion

- November 5, 2020 – Accenture and staff recommend board engage PMO resources to guide Transformation Initiative priority projects through completion
- December 10, 2020 – Board authorized CEO to negotiate Task Order #2 with Accenture, LLP
- January 28, 2021 – Board approved Task Order #2 with Accenture, LLP and associated budget amendment for Transformation Initiative PMO services
- March 10, 2021 – Accenture provided first board update re: PMO activities

Progress Report

Activities since last Board update:

- Began review of purchase channels for prior years for potential future fare and fare medium discussions
- Reviewed draft ILA between Trinity Metro and DCTA and drove a working session to revise the draft agreement
- Held a strategy discussion with DCTA staff on Trinity Metro ILA technology requirements
- Coordinated legal, IT, operations, and budgeting joint agency discussions with Trinity Metro
- Supported MaaS service plan framework Specially Called Board Meeting on 4/7
- Continued development of new ERP needs analysis, market scan, and strategy
- Kick off regional fare integration, touchless fare management discussion with DART; initial discussion set for 4/16/21

Recommendation

This is a discussion item only. There is no recommendation at this time.

Exhibits

Exhibit 1: Accenture PMO Status Report

Submitted By: Chris Newport
Chris Newport, Accenture

Reviewed By: Nicole Recker
Nicole Recker, VP of Mobility Services and Administration

Approved By: Raymond Suarez
Raymond Suarez, CEO

DCTA ACCENTURE PMO: STATUS REPORT

Week Ending: 4/16/21



DENTON COUNTY
TRANSPORTATION
AUTHORITY

Program Status Dashboard

Week Ending: 4/16/21

DRAFT: For Internal Discussion Purposes Only



Legend: **N** Not Started **C** Complete **G** On Track **Y** At Risk **R** Behind/Overdue

Regular Item 3, Exhibit 1

Overall	Detailed – Task Order 2						Current Focus / Accomplishments	Risks/Issues/ Mitigations
	Revised Roadmap	ERP Strategy	Member City Roundtables	Trinity Metro Coordination	Fare Management Process	IT Manager Staffing		
G	C	G	C	Y	G	G	<ul style="list-style-type: none"> Began review of purchase channels for prior years for potential future fare and fare medium discussions Reviewed draft ILA between Trinity Metro and DCTA and drove a working session to revise the draft agreement Held a strategy discussion with DCTA staff on Trinity Metro ILA technology requirements Coordinated legal, IT, operations, and budgeting joint agency discussions with Trinity Metro Supported Specially Called Board Meeting on 4/7 Continued development of new ERP needs analysis, market scan, and strategy Kick off regional fare integration, touchless fare management discussion with DART; initial discussion set for 4/16/21 	<ul style="list-style-type: none"> Potential lack of alignment between DCTA and Trinity Metro regarding acceptable partnership framework puts prospective benefits of plausible comprehensive Bus Operations & Maintenance services agreement at risk. Recommend consideration of next-best alternatives as part of new ILA contractual framework evaluation; i.e., continue current-state Bus Operations solution, cost to procure technology capabilities independently, etc. Accenture to support development of alternatives analysis to enable decision evaluation.

REFINED INITIATIVE PRIORITIZATION

Prioritized Initiatives		Subsequent Initiatives	
1	Enhance Regional Coordination	15	Operational & Financial Data Analytics
1.1	Joint Rail Maintenance Facility and Regional Rail Opportunity (Staff-led)	16	Enhance Use of Allocation Modelling
1.2	Bus Operations & Maintenance (potential Trinity Metro partnership)	17	Stronger training process for systems and vendor training engagement
1.3	Bus Maintenance & Parts Management Solution Training and Configuration	18	Enhance customer feedback response
1.4	Improve Data Collection & Management Practices (also dependent on: 2)	19	Compliance training
2	Mobility Orchestration/MaaS Member City Service	20	Redefine and communicate spans of control, future roles of staff
2.1	Ensure that Service Levels and Routing Match Demand	21	Explore Opportunities to Expand Membership & Service Area
2.2	Align Fleet with Service	22	Create a Seamless Passenger Experience
2.3	Improve Website Trip Planning	23	Enhance Customer Experience Awareness
3	Transformation Implementation Project Management	24	Multi-modal Trip Planning Capability
4	Hire IT Project Manager	25	Enhance Customer Communication Systems
5	Improve On-Time Performance	26	Bus Onboard Video
6	Upgrade Point of Sale Systems; Contactless Fare Management; Digital Ticket Purchases	27	Bus Announcement System
6.1	GOPass Integration	28	Invest in Consistent, High Quality Stop Infrastructure
6.2	VIX Payment Evaluation	<div>NOTES:</div> <div>*The ERP initiative encapsulates other initiatives, including: Automation of Back Office Tasks, Accomplish 3-way Invoice Matching, Integrate Bid Posting System with Finance System, Integrate Expense & Revenue Allocations Data, Integrate Operations And Finance Data Systems, Improve Data Systems for Internal Reporting, and Increase Compliance, Grant, And DBE Reporting Efficiency</div> <div>Legend:</div> <div><div></div>Staff-led Initiative underway</div> <div><div></div>Transformation PMO-led initiative underway</div> <div><div></div>Initiative not started</div>	
7	ERP Upgrade or Replacement *		
8	Granicus Board Management Implementation (Staff-led)		
9	Five-year roadmap communication		
10	IT Project Management Templates & Processes		
11	Procurement Templates & Processes		
12	Document Management, Routing & Approvals (Staff-led)		
13	Build Enterprise Performance and Financial Dashboard		
14	Source and train on data visualization and tools		

Board of Directors Memo

April 22, 2021

SUBJECT: Presentation and Update Regarding Trinity Metro Partnership

Background

As part of the first phase of the Transformation Initiative assessment, a number of improvement opportunities were identified regarding Bus Operations & Maintenance functions, largely related to capabilities that would enhance fare management, awareness of ridership at a more granular level, improve integration between Finance and Operations, and reduce the extent of manual and paper-based processes. It was also recommended to explore whether capability gaps could be addressed via partnerships with regional partners as an alternative to a series of independent procurements.

Concurrent with the Transformation Initiative, DCTA and Trinity Metro began exploratory discussions regarding whether joint bus operations could provide more efficient bus operations and management services, address identified DCTA bus-related technology needs, and increase joint purchasing economies of scale. Joint agency discovery conversations thus far indicate that a partnership is technically and functionally feasible and would plausibly be cost-effective. Trinity Metro's scale, technology inventory, and operating experience would provide a potentially elegant approach to address multiple Transformation Roadmap initiatives prioritized by the Board, as amplified in the Exhibit.

DCTA and Trinity Metro have preliminarily identified the following functions and services that may provide the intended benefits through mutually acceptable collaboration and cooperation:

1. General management services,
2. Bus operations,
3. Fleet management and maintenance,
4. Dispatch,
5. Road supervision,
6. Bus O&M facility management,
7. Technology:
8. Spare parts purchases, including consolidated capital expenditures and economies of scale,
9. Payroll,
10. Workforce management and oversight,
11. Reporting, and
12. Safety and training, including commercial driver licensing.

DCTA and Trinity Metro acknowledge that the foregoing is by no means either a minimum or exclusive list, and that (i) listed functions and services may be evaluated and then removed from consideration and (ii) additional functions and services may be identified and evaluated as potential sources of the intended benefits. DCTA and Trinity Metro plan further discussion regarding cost structure and potential budget implications.

What remains to be resolved is whether the agencies can align on a mutually agreeable governance framework for a partnership. The initial arrangement contemplated a tri-party agreement whereby DCTA would be allocated board positions in a Local Government Corporation (LGC) to govern bus operations and maintenance. This structure would assign DCTA joint responsibility and liability for operations.

Based on feedback from the DCTA board, the joint LGC construct has been abandoned in favor of an alternative approach. DCTA and Trinity Metro staff are currently discussing an arm's length contractual relationship for comprehensive bus operations and maintenance to be provided to DCTA by either Trinity Metro or MATS, an LGC established by Trinity Metro. This working model would conceptually provide the intended benefits DCTA seeks, while streamlining DCTA decision making and transaction processing.

DCTA and Trinity Metro have not reached any binding agreement of any kind regarding any potential collaboration and are simply in an investigative and exploratory stage. The end goal is to determine whether a joint agreement may be established that delivers DCTA bus operations outcomes in a more efficient manner utilizing a relationship framework that meets DCTA board expectations. Staff will provide further updates to the Board as discussions progress towards a feasible partnership, or if this option should be discarded and alternative solutions for more efficient bus operations should be developed.

Prior Board Discussion

- September 24, 2020 – Regular Agenda Item 7 – Discuss Exploration of Bus Operations and Maintenance Contracting Options
- October 22, 2020 – Regular Agenda Item 6 – Discuss Bus Operations and Maintenance Options Update
- November 12, 2020 – Regular Agenda Item 5 – Consider Authorizing the CEO to Enter into a Letter of Intent with Trinity Metro for the Purpose of Exploring Bus Operations and Maintenance Options
- December 10, 2020 – Regular Agenda Item 6 – Discuss DCTA Priority Actions
- January 28, 2021 – Joint Regular Agenda Item 2 – DCTA Status Update on Bus Operations and Maintenance Partnership Exploration
- March 10, 2021 – Regular Agenda Item 6 - Discuss the Status of DCTA and Trinity Metro's Partnership for Joint Bus Operations and Maintenance

Progress Report

Activities to Date:

- November 16, 2020 – The Trinity Metro Board of Directors authorized their CEO to sign the Joint letter of intent
- December 7, 2020 – Joint agency meeting to discuss approach and next steps
- January 14, 2021 – Joint agency meeting to discuss approach and next steps
- February 2, 2021 – Internal meeting to discuss next steps
- February 26, 2021 – Joint agency meeting to discuss approach and next steps (rescheduled due to winter storm impacts) – alternative options were discussed and considered
- April 2, 2021 – Trinity Metro site visit to DCTA Bus Operations & Maintenance Facility and joint Executive Discussion
- April 8, 2021 – Joint agency meeting to discuss approach to partnership framework
- April 12, 2021 – Joint agency information exchange regarding potential technology roles and responsibilities

- April 14, 2021 – A joint agency meeting to refine approach to partnership framework
- April 16, 2021 – Joint agency meeting to discuss IT and Operations roles and responsibilities

Next Steps:

- Discuss:
 - Status of current partnership exploration
- Still to be Determined with Trinity Metro:
 - ILA between DCTA and Trinity Metro LGC for turnkey Bus Operations and Maintenance services; includes scope of work and cost implications joint agency meeting to be scheduled for week of April 19, 2021.
 - Updates will be provided to the Board as material recommendations are developed. Board approval will be requested as needed.

Recommendation

DCTA staff will discuss current findings and potential alternative paths forward with the board to guide next steps.

Exhibits

Exhibit 1: DCTA/Trinity Metro Partnership Overview

Submitted By: Chris Newport
Chris Newport, Accenture

Reviewed By: Nicole Recker
Nicole Recker, VP of Mobility Services and Administration

Approved By: Raymond Suarez
Raymond Suarez, CEO

DCTA ACCENTURE PMO: Bus Operations & Maintenance ILA Status Overview

April 14, 2021



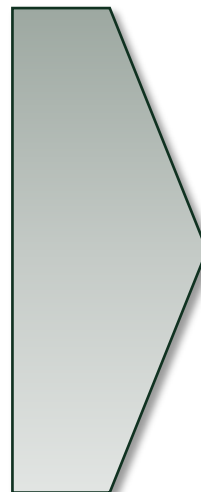
DENTON COUNTY
TRANSPORTATION
AUTHORITY

BUS O&M PARTNERSHIP DISCUSSION EVOLUTION

- **From** joint operations through a Local Government Corporation (LGC)
- **To** arm's length contractual relationship for services via an Interlocal Agreement (ILA)

Joint DCTA-Trinity Metro LGC

- Allocation of Board seats and joint responsibility/liability for operations
- Replicated Board decision-making structure
- Tri-party agreement between DCTA, Trinity Metro, and MATS (LGC)



Bus O&M Services via ILA:

- Comprehensive contractual relationship with Trinity Metro or MATS (LGC)
- Streamlined DCTA decision making and transaction processing
- Focused on service outcome achievement and efficient operations



General management services



Bus operations



Fleet mgmt, maintenance, and repair



Dispatch



Road supervision



Bus O&M facility management



Technology



Inventory supply management and purchasing power



Payroll



Workforce management and oversight



Reporting



Safety and training, including CDL

DCTA BOARD IDENTIFIED OBSTACLES

5 = Needs addressing immediately.

4 = An important issue we face.

3 = An issue, but not pressing.

2 = Could be improved.

1 = Not an issue currently.

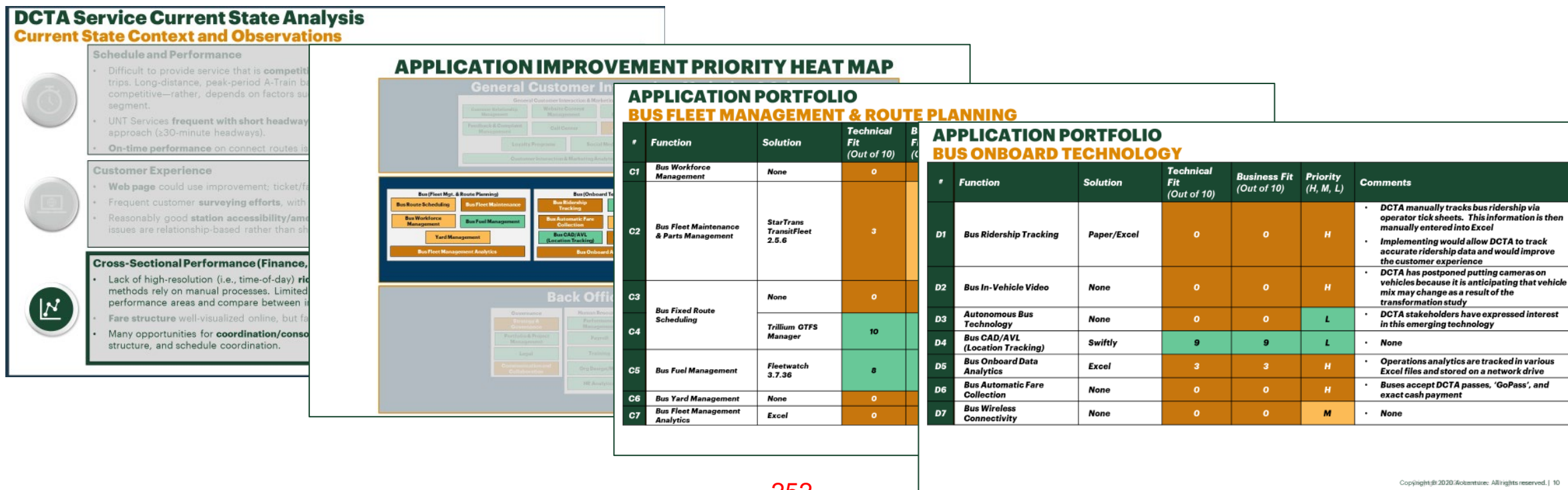
Listed in order of
severity of issue based
on Board & Executive
Staff polling.

Severity	Obstacle
4.3	Lack of automation and integration creates additional staff work and slows response times.
4	Outdated technology – ticketing and fares, schedules, connectivity with DART/Trinity Metro.
3.9	Manual procurement and accounts payable processes add costs and time.
3.9	Collection and Communication of data and information to support decision making.
3.8	Difficulty accessing and analyzing financial and operational data
3.7	Limited IT staff; no dedicated IT project management staff.
3.7	Integration in region, scheduling, and accessibility.
3.7	Refocus services to meet needs and demand.
3.4	Service curtailments lower value of service to stakeholders.
3.4	Integrating customer experience feedback into planning process
3.4	Optimal staffing pattern for future vision (ensuring proper staffing for future plans)
2.9	Frequency of service changes can reduce perceived reliability.
2.6	Difficulty converting from pilots to production implementation.

CURRENT STATE FINDINGS – SERVICE & TECH

Systems limitations impact internal and customer experiences:

1. Majority of technology improvement opportunities and Board/staff pain points related to lack of or inadequate Bus O&M applications
2. Identified opportunity to realize operational and economic synergies through regional partnerships
3. Lack of on-board technology hampers planning; integrated customer experience and awareness of same for service improvement design; and cost allocation/reporting



Current State Context and Observations



Schedule and Performance

- Difficult to provide service that is **competitive** with auto travel times for most trips in the region, particularly local trips. Long-distance, peak-period A-Train based trips are the most competitive. UNT service is not *travel time* competitive—rather, depends on factors such as parking availability, density of trip attractors, and market segment.
- UNT Services **frequent with short headways** throughout the day. Other services represent coverage-oriented approach (≥30-minute headways).
- **On-time performance** on connect routes is low (70–80%), acceptable on UNT (~85%), and excellent on A-Train.



Customer Experience

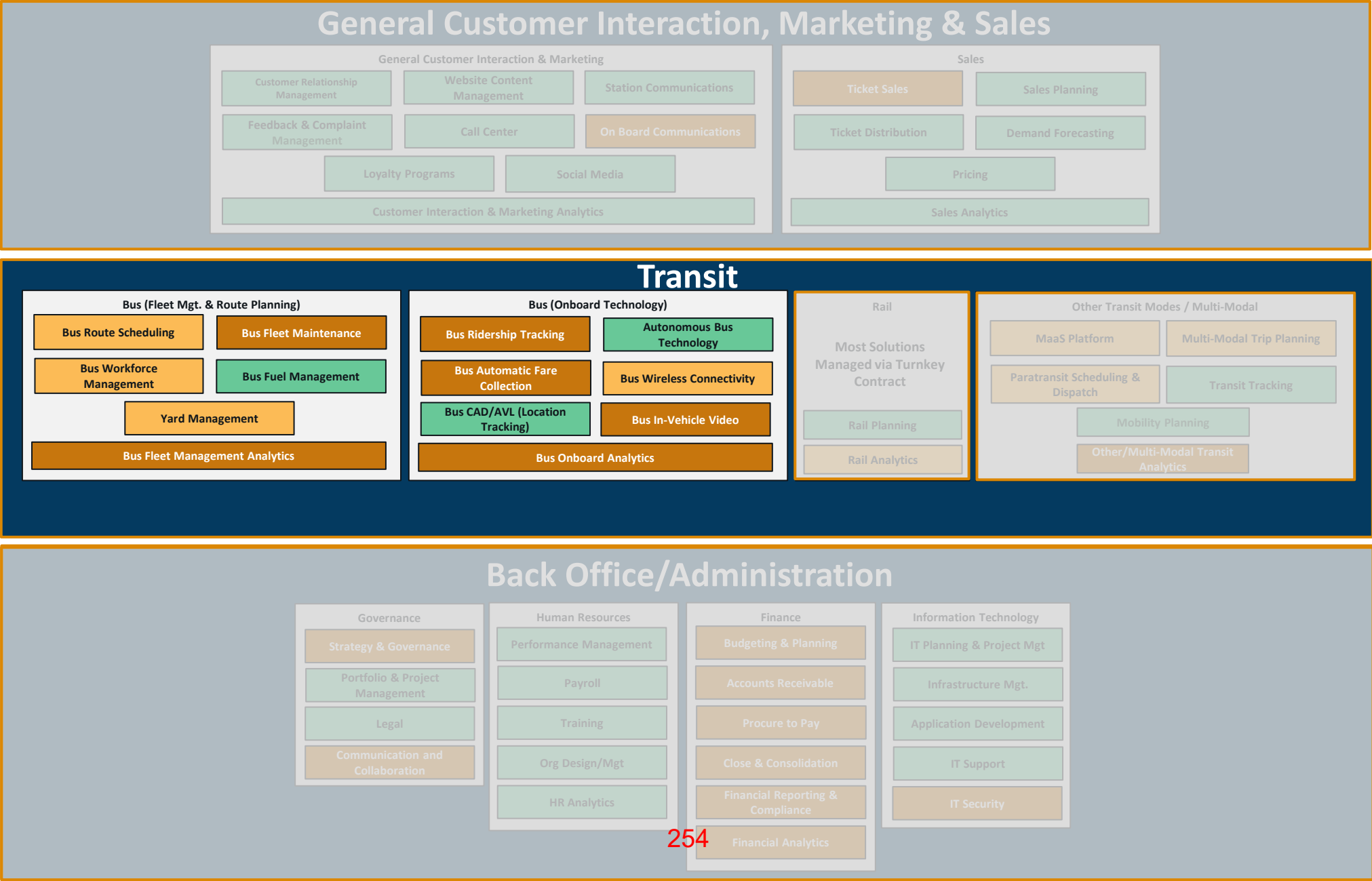
- **Web page** could use improvement; ticket/fare/pass purchase difficult.
- Frequent customer **surveying efforts**, with most key longitudinal indicators trending positive.
- Reasonably good **station accessibility/amenities**; good infrastructure deployment policy. Many accessibility issues are relationship-based rather than shortcomings on DCTA side.



Cross-Sectional Performance (Finance, Organization, and Technology)

- Lack of high-resolution (i.e., time-of-day) **ridership data** hampers service planning. In general, data collection methods rely on manual processes. Limited **high-resolution cost data** makes it difficult to identify poor performance areas and compare between innovative delivery options.
- **Fare structure** well-visualized online, but fare rules and varying fare purchase methods is confusing.
- Many opportunities for **coordination/consolidation with DART/Trinity Metro** w/r/t maintenance, operations, fare structure, and schedule coordination.

APPLICATION IMPROVEMENT PRIORITY HEAT MAP



BUS FLEET MANAGEMENT & ROUTE PLANNING

#	Function	Solution	Technical Fit (Out of 10)	Business Fit (Out of 10)	Priority (H, M, L)	Comments
C1	Bus Workforce Management	None	0	0	M	<ul style="list-style-type: none"> No automated solution implemented
C2	Bus Fleet Maintenance & Parts Management	StarTrans TransitFleet 2.5.6	3	5	H	<ul style="list-style-type: none"> Does not record repair history and when next maintenance/oil is due Employees need additional training to better use parts management functionality Hosted locally on DCTA servers Infrastructure and first level support performed by DCTA staff, software maintenance and troubleshooting advanced technical issues by StarTrans Software recently acquired by new firm – changes coming
C3	Bus Fixed Route Scheduling	None	0	0	M	<ul style="list-style-type: none"> No automated fixed route scheduling capability DCTA has considered procuring TripSpark for this (similar to Trapeze, which is in use by DART)
C4		Trillium GTFS Manager	10	10	L	<ul style="list-style-type: none"> Used for GTFS coding (Schedule Publishing) Easy to work with Also using Remix
C5	Bus Fuel Management	Fleetwatch 3.7.36	8	8	L	<ul style="list-style-type: none"> Performs consumption and fuel tank monitoring Infrastructure and first level support performed by DCTA staff, software maintenance and troubleshooting advanced technical issues by Fleetwatch
C6	Bus Yard Management	None	0	0	M	<ul style="list-style-type: none"> None
C7	Bus Fleet Management Analytics	Excel	0	0	H	<ul style="list-style-type: none"> Operations analytics are tracked in various Excel files and stored on a network drive

APPLICATION PORTFOLIO

BUS ONBOARD TECHNOLOGY

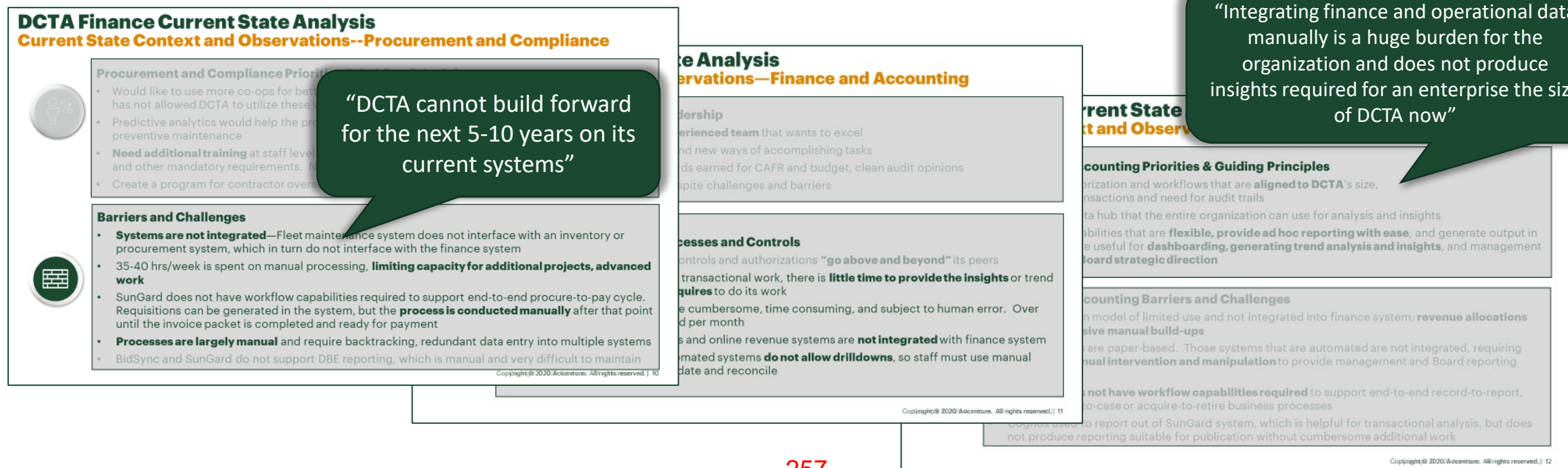
Regular Item 4, Exhibit 1

#	Function	Solution	Technical Fit (Out of 10)	Business Fit (Out of 10)	Priority (H, M, L)	Comments
D1	Bus Ridership Tracking	Paper/Excel	0	0	H	<ul style="list-style-type: none"> DCTA manually tracks bus ridership via operator tick sheets. This information is then manually entered into Excel Implementing would allow DCTA to track accurate ridership data and would improve the customer experience
D2	Bus In-Vehicle Video	None	0	0	H	<ul style="list-style-type: none"> DCTA has postponed putting cameras on vehicles because it is anticipating that vehicle mix may change as a result of the transformation study
D3	Autonomous Bus Technology	None	0	0	L	<ul style="list-style-type: none"> DCTA stakeholders have expressed interest in this emerging technology
D4	Bus CAD/AVL (Location Tracking)	Swiftly	9	9	L	<ul style="list-style-type: none"> None
D5	Bus Onboard Data Analytics	Excel	3	3	H	<ul style="list-style-type: none"> Operations analytics are tracked in various Excel files and stored on a network drive
D6	Bus Automatic Fare Collection	None	0	0	H	<ul style="list-style-type: none"> Buses accept DCTA passes, 'GoPass', and exact cash payment
D7	Bus Wireless Connectivity	None	0	0	M	<ul style="list-style-type: none"> None

CURRENT STATE FINDINGS - FINANCE

Identified key business impacts driven by Bus O&M systems capability gaps:

1. Extensive manual processes due to lack of integration between fleet maintenance, inventory management and ERP
2. Invoice reconciliation and other AP processes paper-based and subject to rework
3. Integration of financial and operational data entirely manual and challenging to produce appropriate reporting to Board



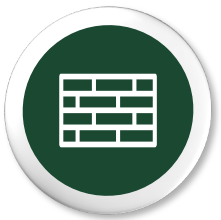
Current State Context and Observations--Procurement and Compliance



Procurement and Compliance Priorities & Guiding Principles

- Would like to use more co-ops for better pricing, but **lack of inventory management and staff time** has not allowed DCTA to utilize these vehicles
- Predictive analytics would help the procurement organization **understand future needs and plan** for preventive maintenance
- **Need additional training** at staff level related to civil rights, ADA, drug testing, safety compliance and other mandatory requirements. Need to develop annual training calendar and materials
- Create a program for contractor oversight related to compliance requirements

“DCTA cannot build forward for the next 5-10 years on its current systems”



Barriers and Challenges

- **Systems are not integrated**—Fleet maintenance system does not interface with an inventory or procurement system, which in turn do not interface with the finance system
- 35-40 hrs/week is spent on manual processing, **limiting capacity for additional projects, advanced work**
- SunGard does not have workflow capabilities required to support end-to-end procure-to-pay cycle. Requisitions can be generated in the system, but the **process is conducted manually** after that point until the invoice packet is completed and ready for payment
- **Processes are largely manual** and require backtracking, redundant data entry into multiple systems
- BidSync and SunGard do not support DBE reporting, which is manual and very difficult to maintain

Current State Context and Observations—Finance and Accounting



Finance and Accounting Leadership

- Dedicated, **high integrity, experienced team** that wants to excel
- **Open minded** to automation and new ways of accomplishing tasks
- **Strong internal controls:** awards earned for CAFR and budget, clean audit opinions
- **Ready to go** the extra mile, despite challenges and barriers



Finance and Accounting Processes and Controls

- Auditors indicate that DCTA controls and authorizations “**go above and beyond**” its peers
- Organization is so focused on transactional work, there is **little time to provide the insights** or trend information that the **Board requires** to do its work
- **Paper-based** AP processes are cumbersome, time consuming, and subject to human error. Over 400 AP invoices are processed per month
- Separate point of sale systems and online revenue systems are **not integrated** with finance system
- Operational reports from automated systems **do not allow drilldowns**, so staff must use manual supporting documents to validate and reconcile

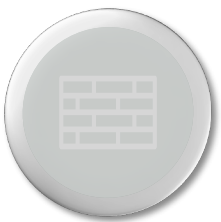
Current State Context and Observations—Finance and Accounting



Finance and Accounting Priorities & Guiding Principles

- Approval authorization and workflows that are **aligned to DCTA's** size, transactions and need for audit trails
- One central data hub that the entire organization can use for analysis and insights
- Reporting capabilities that are **flexible, provide ad hoc reporting with ease**, and generate output in formats that are useful for **dashboarding, generating trend analysis and insights**, and management priorities and **Board strategic direction**

"Integrating finance and operational data manually is a huge burden for the organization and does not produce insights required for an enterprise the size of DCTA now"



Finance and Accounting Barriers and Challenges

- Cost Allocation model of limited use and not integrated into finance system; **revenue allocations require extensive manual build-ups**
- Some systems are paper-based. Those systems that are automated are not integrated, requiring **extensive manual intervention and manipulation** to provide management and Board reporting required
- **SunGard does not have workflow capabilities required** to support end-to-end record-to-report, sales/service-to-case or acquire-to-retire business processes
- Cognos used to report out of SunGard system, which is helpful for transactional analysis, but does not produce reporting suitable for publication without cumbersome additional work

BUS O&M ILA POTENTIAL IMPACT ON TRANSFORMATION INITIATIVES

Prioritized Initiatives		Subsequent Initiatives	
1	Enhance Regional Coordination	15	Operational & Financial Data Analytics
1.1	Joint Rail Maintenance Facility and Regional Rail Opportunity (Staff-led)	16	Enhance Use of Allocation Modelling
1.2	Bus Operations & Maintenance (potential Trinity Metro partnership)	17	Stronger training process for systems and vendor training engagement
1.3	Bus Maintenance & Parts Management Solution Training and Configuration	18	Enhance customer feedback response
1.4	Improve Data Collection & Management Practices (also dependent on: 2)	19	Compliance training
2	Mobility Orchestration/MaaS Member City Service	20	Redefine and communicate spans of control, future roles of staff
2.1	Ensure that Service Levels and Routing Match Demand	21	Explore Opportunities to Expand Membership & Service Area
2.2	Align Fleet with Service	22	Create a Seamless Passenger Experience
2.3	Improve Website Trip Planning	23	Enhance Customer Experience Awareness
3	Transformation Implementation Project Management	24	Multi-modal Trip Planning Capability
4	Hire IT Project Manager	25	Enhance Customer Communication Systems
5	Improve On-Time Performance	26	Bus Onboard Video
6	Upgrade Point of Sale Systems; Contactless Fare Management; Digital Ticket Purchases	27	Bus Announcement System
6.1	GOPass Integration	28	Invest in Consistent, High Quality Stop Infrastructure
6.2	VIX Payment Evaluation	<div>NOTES:</div> <p>*The ERP initiative encapsulates other initiatives, including: Automation of Back Office Tasks, Accomplish 3-way Invoice Matching, Integrate Bid Posting System with Finance System, Integrate Expense & Revenue Allocations Data, Integrate Operations And Finance Data Systems, Improve Data Systems for Internal Reporting, and Increase Compliance, Grant, And DBE Reporting Efficiency</p> <div>Legend:</div> <div><div></div>Direct Potential Impact of ILA</div> <div><div></div>Indirect Potential Impact of ILA</div> <div><div></div>Initiative not materially impacted by ILA</div>	
7	ERP Upgrade or Replacement *		
8	Granicus Board Management Implementation (Staff-led)		
9	Five-year roadmap communication		
10	IT Project Management Templates & Processes		
11	Procurement Templates & Processes		
12	Document Management, Routing & Approvals (Staff-led)		
13	Build Enterprise Performance and Financial Dashboard		
14	Source and train on data visualization and tools		

ILA Summary and Next Steps

DCTA and Trinity Metro staff continue to discuss partnership governance and operational frameworks and due diligence tasks

ILA Current State Summary:

- Current working structure of ILA is a bilateral agreement between DCTA and Trinity Metro or MATS, an LGC set up by Trinity Metro for Bus Operations & Maintenance
- DCTA and Trinity Metro discussions centered on a phased transition plan; Staff recommends transition occur after implementation of Via service.
- As part of finalizing the ILA, DCTA and Trinity Metro will provide a transition plan for Board review

Next Steps:

- Determine technology requirements and establish technology sharing requirements between Trinity Metro/MATS and DCTA
- Develop and agree upon Administration Fee methodology
- Develop contractual mobilization and run-rate budget estimates
- Develop staffing requirements and transition process

Board of Directors Memo

April 22, 2021

SUBJECT: Discuss the Extension to the Interlocal Agreement (ILA) with the City of McKinney for the Provision of McKinney Urban Transit District (MUTD) Collin County Transit Services

Background

On November 12, 2020, in response to the McKinney Urban Transit District's (MUTD) Board's request, the DCTA Board of Directors approved a fifth amendment to the City of McKinney contracted service agreement, extending the ILA from January 1, 2021 through June 30, 2021. To coincide with the MUTD ILA extension of 6 months, Irving Holdings Task Order 3 Rev. 1 was also approved by the Board to continue MUTD taxi services through the extension of the amended contract.

The MUTD will meet on May 8, 2021 where McKinney staff will request an extension of current contractual agreements with DCTA through December 31, 2021 in order to allow time to adopt a new service model. The new proposed service model will be managed by DART while utilizing the DCTA Mobility as a Service contract system to contract a new shared ride service vendor for service delivery in the MUTD service area.

Future Items for Consideration

At the May 2021 DCTA board meeting, staff will request approval of the following items to support the McKinney Urban Transit District Board's request:

- A sixth amendment to the City of McKinney ILA
- Irving Holdings Task Order 3 Revision 2
- Corresponding budget amendment (fully reimbursed by the City of McKinney)

For additional background, the Fifth Amendment to the City of McKinney MUTD ILA and Irving Holdings Task Order 3 Rev.1 are included as Exhibits 1 and 2.

Previous Board Activity & Action

- April 23, 2020 - Board of Directors approved a third amendment extending the ILA from May 31, 2020
- June 25, 2020 - Board of Directors approved a fourth amendment to the City of McKinney ILA
- November 12, 2020 - Board of Directors Approved Fifth Amendment to the City of McKinney ILA
- December 10, 2020 - Board of Director Approved Irving Holdings Task Order 3 Rev. 1

Identified Need

On June 30, 2021, the current ILA with MUTD and the Irving Holdings task order will expire. Contractual extensions will be necessary to continue current MUTD service until the new service model managed by DART is launched on January 1, 2022.

Financial Impact

DCTA will be fully reimbursed by the City of McKinney for the Irving Holdings taxi service including appropriate administrative fees. All related fees are incorporated into the contract terms in the Fifth

Amendment to the City of McKinney MUTD ILA. Any increase in cost for the extension will be included in an associated budget amendment that staff will include on the May 2021 board agenda for approval.

Recommendation

This is an informational item only.

Staff will seek Board approval for the sixth amendment to the McKinney ILA, Irving Holdings Task Order 3 Revision 2 and any necessary budget amendments at the May 2021 Board meeting in order to continue MUTD services (through December 31, 2021).

Exhibits

Exhibit 1: Fifth Amendment to the City of McKinney MUTD ILA

Exhibit 2: Irving Holdings Task Order 3 Rev.1

Submitted By: *Sarah Hultquist*
Sarah Hultquist - Mobility Service Specialist

Approval: *Nicole Recker*
Nicole Recker, VP of Mobility Services and Administration

STATE OF TEXAS	§	
	§	FIFTH AMENDMENT TO INTERLOCAL
	§	COOPERATION AGREEMENT
COUNTY OF DENTON	§	

This Fifth Amendment to Interlocal Cooperation Agreement is made and entered into by and between Denton County Transportation Authority ("DCTA") and City of McKinney, Texas ("McKinney") (each a "Party" and collectively the "Parties"), acting by and through their authorized representatives.

WHEREAS, the Parties previously entered into that certain Interlocal Cooperation Agreement which was effective June 1, 2017 (the "Agreement"); and

WHEREAS, the Parties entered into the First Amendment to the Agreement dated October 26, 2017; and

WHEREAS, the Parties entered into the Second Amendment to the Agreement dated February 13, 2018; and

WHEREAS, the Parties entered into the Third Amendment to the Agreement dated May 5, 2020; and

WHEREAS, the Parties entered into the Fourth Amendment to the Agreement dated July 10, 2020; and

WHEREAS, the Parties desire to enter into this Fifth Amendment to the Agreement to extend the Term of the Agreement for six (6) months through June 30, 2021, and

WHEREAS, the Parties are authorized to enter into this Fifth Amendment to the Agreement pursuant to the Interlocal Cooperation Act (the "Act"), Chapter 791, Texas Government Code; and

WHEREAS, DCTA and McKinney are units of local government that have the statutory authority under the Act to perform the services set forth in the Agreement and this Fifth Amendment; and

WHEREAS, pursuant to Chapter 460 of the Texas Transportation Code, DCTA is authorized to enter into this Agreement with McKinney to provide the requested bus services; and

WHEREAS, each Party will make any required payments for services from current revenues available to such Party; and

WHEREAS, the Parties agree to amend the Agreement as set forth herein;

NOW THEREFORE, in consideration of the mutual promises contained herein and other valuable consideration the receipt and sufficiency of which are hereby acknowledged, the Parties agree as follows:

1. That Article II, **Term**, is hereby amended to read as follows:


“2.1 The Term of the Agreement shall be extended through June 30, 2021, unless sooner terminated as provided herein.”

2. The Agreement shall continue in full force and effect except as amended herein. If any terms or conditions contained in this Fifth Amendment to the Agreement are inconsistent with the Agreement or First, Second, Third or Fourth Amendments, the terms and conditions contained in the Fifth Amendment will be controlling.


(signature page to follow)

EXECUTED this 12 day of November, 2020.

Denton County Transportation Authority

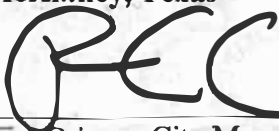
By: 
Raymond Suarez, Chief Executive Officer

Approved as to form:

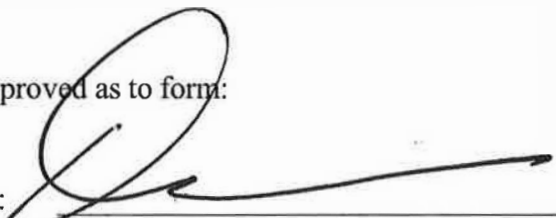
By: 
Joseph J. Gorfida, Jr., General Counsel
(10-20-2020:TM 118665)

EXECUTED this _____ day of _____, 2020.

City of McKinney, Texas

By: 
Paul Grimes, City Manager

Approved as to form:



By: 
Mark S. Houser, City Attorney



Denton County Transportation Authority Task Order

Task Number:	3 Rev. 1	Project ID:		Grant #:	
Contractor:	Irving Holdings				
PROJECT INFORMATION					
Name:	Collin County Transit: Taxi Voucher Program				
DCTA Account Code: (Contract to be Billed Under)	230-50810		Approved Budget Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		
Project Lead	Sarah Hultquist				
Requested By	Lindsey Baker				
Cost Estimate					
Not to Exceed Budget	\$197,000 (October 1, 2020, through June 30, 2021)				

DESCRIPTION
<p>(Include Scope, Cost, and Deliverables with Schedule)</p> <p>This Denton County Transportation Authority Task Order #3 Rev.1 ("Task Order #3 Rev. 1") shall be governed by the terms and conditions of the General Services Agreement executed by the parties on or around May 2017 ("Agreement"). In the event of any direct conflict between the terms of this Task Order and the terms of the Agreement, then the terms of this Task Order shall control.</p> <p>For clarity, this "Taxi Voucher" program is for elderly, disabled and other qualifying residents who reside in the member cities of the McKinney Urban Transit District (MUTD) with transit services being provided throughout Collin County, Texas (the service area).</p> <p>The term of this task order shall begin on October 1, 2020, and continue for a period of three months, through December 31, 2020, unless sooner terminated or extended as provided herein (the "Term"). The task order total budget is \$47,000.</p> <p>Revision 1 extends the term from January 1, 2021, through June 30, 2021, unless sooner terminated or extended as provided herein (the "Term"). The revised task order budget is \$197,000.</p>

SIGNATURES/APPROVALS			
Contractor:		Date	12/15/2020
Nicole Recker Department Head		Date	12/15/2020



Collin County Transit Overview | January 1, 2021

Task Order #3 Rev 1

Scope of Services for Transit Services

1. Overall Intent

- 1.1 The intent of this Task Order is for Irving Holdings, Inc., to provide on behalf of DCTA, transit services through a "Taxi Voucher" program for Elderly, Disabled, and other qualifying residents who reside in the member cities of the McKinney Urban Transit District (MUTD) with transit services being provided throughout Collin County, Texas (the Service Area). Services provided by Irving Holdings shall include Taxi services for qualified customers, including customers with specific mobility devices as defined later in this task order.
- 1.2 DCTA will provide supporting service to facilitate the implementation of the program and on-going contract management and program compliance. This Scope of Services establishes a framework for the ongoing program of services. Changes required to meet the needs of the program may be made by mutual written agreement of the DCTA Contracting Officer and an authorized representative of Irving Holding, Inc.

2. Term of Services

- 2 The initial term of this revised Task Order shall begin January 1, 2021 and continue for a period of 6 months ending on June 30, 2021 unless terminated in writing with a 60-day notice.

3. Compliance with Americans with Disabilities Act and Other Laws

- 3.1 Irving Holdings shall comply with the requirements of the Americans with Disabilities Act, as amended, in providing the Transit Services. In addition, Irving Holdings acknowledges, and understands that it is responsible for compliance with, and agrees to comply with, all other federal, state and local laws, statutes, ordinances, regulations and policies, as they exist, may be amended or in the future arising, applicable to DCTA and the Transit Services provided under this Task Order. Irving Holdings shall ensure that its officers, employees, agents, contractors and other parties performing services for or on behalf of DCTA comply with all applicable laws, statutes, ordinances, regulations and policies.

4. Licensure

- 4.1 All vehicles providing Transit Services shall be operated by an operator duly licensed by the State of Texas and in current possession of said license to operate vehicles.

5. DCTA Responsibilities

Overall Program Management.

- 5.1 DCTA will be responsible for the overall management of the program with the City of McKinney and the successful delivery of the services and management of this Task Order Scope of Services.

Eligibility Certification.

- 5.2 DCTA will certify the eligibility of qualified residents based on the current policy established by the McKinney Urban Transit District and transmit this list of qualified residents to Irving Holdings. Certifications are currently conducted via mail, email, phone, or in person at DCTA offices. Additional on-site eligibility opportunities will be coordinated with City of McKinney staff.

Customer Service.

- 5.3 DCTA will provide customer service support to handle general program inquiries and passenger qualifications at 940.243.0077 and online at <https://www.dcta.net/rider-info/411/go-request>.

Support to City of McKinney and McKinney Urban Transit District.

- 5.4 DCTA will participate in reasonable meetings of the City of McKinney, the McKinney Urban Transit District, and regulatory agencies to ensure the success of the program.

6. Irving Holdings Responsibilities – Taxi Voucher Program Scope of Services

Support to DCTA and the City of McKinney and McKinney Urban Transit District.

- 6.1 Irving Holdings, upon request of DCTA shall participate as necessary, in reasonable meetings with DCTA and the City of McKinney, the McKinney Urban Transit District, and regulatory agencies to ensure the success of the program.

Reporting.

- 6.2 Irving Holdings shall support audit, TxDOT, FTA, and National Transit Database reporting and compliance requirements.
- 6.3 Irving Holdings will provide reports on debit card loading/balances, trip reports, and additional information necessary to monitor service performance and meet federal, State and local reporting requirements.
- 6.4 Irving Holdings shall provide special reporting as requested by DCTA on an as needed basis.

6.5 All reports are due to DCTA by the fifth business day after month end.

Debit Card Issue/Reloading.

6.6 Irving Holdings will reload, replace lost cards (fee charged), and report all values loaded on the card. The initial guidance is to provide a match (eligible passenger contributing will receive value on their debit card) with a maximum balance at any one time of and a maximum loading of in any given month. DCTA will work closely with City staff to monitor the allowable load rate to ensure budget limitations are sustained.

Trip Dispatch.

6.7 Irving Holdings will provide 24/7 dispatch operations using 972.728.6789, the dedicated phone number for Collin County Transit.

Fleet and service expectations.

6.8 Irving Holdings will send clean and safe vehicles to the requested locations within promised time windows. This will include mobility device accessible vehicles, if requested. See 6.16.

Service Details.

6.9 Irving Holdings, DCTA's contractor, will operate service and will be responsible for call center operations, scheduling, dispatching, driver operations and management, vehicle maintenance, safety and licensing requirements, fare and data collection, as well as all reporting.

6.10 Irving holdings will provide Taxi Services in support of this Task Order Monday through Friday, 6 a.m. to 6 p.m. and Saturday, 8 a.m. to 6 p.m. All requests received for first or last pick-up times during these service hours will be accepted. (Request for pickup at 6 a.m. or 6 p.m.)

6.11 Taxi fares will be based on standard meter rates and origin/destination.

6.12 The service area shall include municipalities that are predominately located in Collin County, Texas.

6.13 Eligibility shall be determined by DCTA, and DCTA shall provide Irving Holdings with a list of eligible program participants on an agreed upon schedule by both DCTA and Irving Holdings.

6.14 Customers who qualify will receive an introductory packet from DCTA that will include their qualification approval letter, detailed instructions on how to request and load their debit card with funds, and instructions on how to schedule a trip.

Fleet Vehicles.

6.15 Irving Holdings shall ensure that safe, clean, accessible vehicles are available to deliver timely Taxi services sufficient to meet the demand and maintain on-time performance.

6.16 Taxi service will be provided to eligible customers, including those with wheeled devices measuring up to 30" wide / 55" high / 48" deep and weighing up to 600 pounds (total weight of device plus occupant).

6.17 If a customer's specific mobility needs are beyond that of what Irving Holdings can provide (based on the restrictions above), the individual will be certified for the demand response service to be directly provided by DCTA

Loading of the Debit Cards provided by Irving Holdings

6.18 The customer can call Irving Holdings at 682.334.8045 and load a maximum of \$85 on their debit card (in \$5 increments). The customer contribution will be matched 1:6 for a total value of up to \$595 maximum matching per month and \$600 total card value:

Rider Payment	Taxi Subsidy Received	Taxi Debit Card Value
\$5	\$30	\$35
\$10	\$60	\$70
\$15	\$90	\$105
\$20	\$120	\$140
\$25	\$150	\$175
\$30	\$180	\$210
\$35	\$210	\$245
\$40	\$240	\$280
\$45	\$270	\$315
\$50	\$300	\$350
\$55	\$330	\$385
\$60	\$360	\$420
\$65	\$390	\$455
\$70	\$420	\$490
\$75	\$450	\$525
\$80	\$480	\$560
\$85	\$510	\$595

6.19 Irving Holdings shall take debit card, credit card or a pre-paid Visa or Master Card gift card over the phone.

6.20 Irving Holdings shall also accept and process cash, checks, or money orders via mail.

Reloading of Debit Cards

6.21 Customers may re-load their card each month, not to exceed the total value of up to \$600 maximum per month.

6.22 Un-used funds will roll over to the next month, however, in this case the customer will only be able to reload their debit card for the difference of their rollover balance up to \$600.

Booking a Trip.

Irving Holdings shall ensure the following process is used regarding the booking of trips:

6.23 Customers contact Irving Holdings at 972.728.6789. Trips can be booked 24 hours a day, seven (7) days a week, 365 days per year. Customers are encouraged to make trip requests at least two (2) hours in advance. Requests by passengers with special accessibility needs are encouraged to make trip requests by 5 p.m. on the day prior to requested service.

6.24 Irving Holdings shall make the best attempt to schedule service for customers who call with less than the suggested notice. The customer will schedule a trip by identifying the program account number, their individual account number; date, time, origin, and destination of the requested trip; and number of travel companions, and their special mobility needs, if any. Irving Holdings will provide an estimated trip cost upon request.

6.25 Irving Holdings will allow customers to schedule their return trip at the same time as the original trip, or to schedule the return trip after the fact if the exact return time is unknown.

6.26 Irving Holdings shall provide for Subscription service for customers who need to schedule a regularly occurring trip(s) (e.g., same day/same time/weekly).

6.27 Irving Holdings will accept trip requests up to seven (7) days in advance.

6.28 Irving Holdings will notify DCTA, monthly, regarding trips booked outside the service parameters, individuals who have possibly moved, individuals who have gone negative on their debit card balance.

Customer Takes a Trip

6.29 Irving Holdings will operate Collin County Transit service on a 0-to-20-minute window for scheduled pick-ups.

6.30 The vehicle is considered on time when it arrives within the assigned 20-minute ready-time window (e.g., 10 minutes before or 10 minutes after the requested/scheduled pick-up time).

6.31 Passengers are encouraged to be ready 10 minutes prior to the scheduled arrival time and are expected to board within the first five (5) minutes of the vehicle arriving.

- 6.32 Service shall be provided curb-to-curb.
- 6.33 It is expected that the customer must be able to get themselves and any required equipment into and out of the taxi.
- 6.34 Ensure service animals are permitted on vehicles for those customers requiring service animal assistance, in compliance with the Americans with Disabilities Act.
- 6.35 Irving Holdings will allow trip cancellations up to two (2) hours before the scheduled pick-up time.
- 6.36 Irving Holdings shall track and report to DCTA the occurrence of customer cancellations and no-shows, as customers may be penalized for excessive cancellations or no-shows.
- 6.37 Irving Holdings will make every effort to provide the trip as requested. However, trip requests may be denied due to capacity constraints or eligibility.

Customer Payment

- 6.38 The one-way fare is based on the origin and destination requested by the customer; basic meter rates apply. \$2.25 is the boarding fee plus \$1.80 per mile. Traffic delay time/waiting-time charge of \$.45 per every 1.5 minutes will apply. Riders may be responsible for any toll charges the trip may require as part of the fare.
- 6.39 Fares are to be paid using the taxi debit card. Taxi drivers will accept cash and credit card for any additional payments.
- 6.40 Personal Care Attendants (PCA) and guests may accompany a customer. Payment will be based upon McKinney Urban Transit District Board policy.
- 6.41 If the total fare is more than what is available on the debit card, it is the customer's responsibility to pay the difference (cash or credit card).
- 6.42 Taxi debit cards are not to be used for tipping.

Debit Card Balance

- 6.43 Irving Holdings shall provide for the following: allow customers to provide their email address to opt in to receive low balance alerts; low balance alerts are to be sent via email once a debit card balance has reached \$20 or less; allow for customers to provide their email address or update their email address with Irving Holdings by calling 682.334.8045; Allow for customers to contact Irving Holdings at 682.334.8045 to obtain their balance and confirm receipt of payment.
- 6.44 Irving Holdings shall notify DCTA if an individual is to run out of funds twice in a 30-day period.

Lost, Stolen, or Damaged Debit Cards

- 6.45 Irving Holdings shall provide for the following: Customers to report a lost, stolen or damaged debit card to Irving Holdings at 682.334.8045.
- 6.46 Upon notification by the customer of a lost, stolen, or damaged card, Irving Holdings will immediately deactivate the lost, stolen, or damaged card.
- 6.47 Irving Holdings may charge the customer up to \$1 dollar for each replacement card.
- 6.48 Irving Holdings will process all replacement card requests as expeditiously as possible, but not more than five business days from the date of the original request.
- 6.49 Any unused funds remaining on the lost, stolen, or damaged card will be transferred to the replacement card and mailed to the customer.

Customer Service

- 6.50 Customers will call Irving Holdings at 972.728.6789 for questions related to booking a trip, a trip already booked, or other service-related questions.
- 6.51 Irving Holdings shall ensure customer calls are answered in an expedient manner with minimal wait time and dropped calls.
- 6.52 The customer shall call DCTA Customer Service at 940.243.0077 with questions regarding how the program works, to determine eligibility for the program, and to provide feedback on the service provided.
- 6.53 DCTA Customer Service is available Monday through Friday from 5 a.m. to 7 p.m. and Saturdays from 8 a.m. to 4 p.m.
- 6.54 Irving Holdings shall respond to customer complaints, forwarded by DCTA, as expeditiously as possible, but not more than three business days from the initial inquiry.

Invoicing and Payment

- 6.55 Weekly, Irving Holdings will invoice DCTA based on the matching funds loaded on to authorized customer's debit cards the previous week. Supporting documentation will be provided in a mutually agreeable format.
- 6.56 Monthly, Irving Holdings will invoice DCTA for their 15% administrative fee based on the cost of the actual trips taken in the prior month. Supporting documentation will be provided in a mutually agreeable format.

Board of Directors Memo

April 22, 2021

Subject: Discuss Potential Interlocal Agreement (ILA) with DART for a Joint Rail Operations & Maintenance Facility (JROF) and Regional Partnership Opportunities

Background

DCTA operates passenger rail service on a rail corridor owned by the Dallas Area Rapid Transit (DART) pursuant to a Transportation Access and Easement Agreement executed between the parties dated May 25, 2010, which sets forth the terms and conditions of DCTA's use of the DART Corridor. Additionally, DCTA and DART have maintained an Interlocal Agreement for Shared Services which mutually benefits the residents of the respective service areas and enables the parties to collaborate in providing passenger rail service. This agreement was amended and approved by the DCTA Board of Directors at the November 2020 Board meeting. Passenger rail service connecting the counties of Dallas and Denton, TX relieves traffic congestion, aids in attaining federal air quality standards, provides transportation options and increases regional connectivity. Conversations with DART are held Bi-Weekly and staff will continue providing updates to the DCTA Board.

Previous Board Activity & Action

March 10, 2021	Staff provided a project status update
January 28, 2021	Staff provided a project status update
December 10, 2020	Staff provided a project status update
November 12, 2020	Staff provided an overview of the potential collaboration for regional joint rail operations facility between DCTA and DART.

Current Update:

DART staff is revising DRAFT ILA language based on potential changes to the DART Silver Line project. Considerations for DCTA are as follows:

- Three phases are contemplated, with details of each phase currently under review by DART staff and project consultants.
- Major points for consideration:
 - Design and construct temporary facility to test and commission DART FLIRT vehicles at DCTA's facility and utilizing DCTA's corridor and rail yard for testing and commission. This will require yard modification and temporary facility mods. DART expects to receive the FLIRT DMU's in May 2022.
 - Design and construct permanent extension to DCTA's Rail O&M facility to support DCTA and DART operations and maintenance activities.
 - Design and construct upgrades to ROW, track, crossings, and signal systems from Trinity Mills to Downtown Carrollton Silver Line (approximately 2.2 miles).
 - Consideration for Class 2 and Class 4 track options to provide A-train access to the Downtown Carrollton Station based on project timing, costs sharing and potential funding opportunities.
 - Design and construct DCTA Station in Downtown Carrollton
 - Proposed station location proximally located under the DART Green Line as previously presented to DCTA Board (Near Term Option).
 - Explore the possibility of DCTA service interlined with the Silver Line service (longer term), contemplates realignment of spur track and potential alternate station location.

- Consideration of City of Carrollton (COC) area Master Plan.
- Consideration of the Veloweb Hike & Bike trail.
- Potential request from DART for DCTA to lead design and construction activities.
- Determination of cost sharing, lease fees, project management, administrative fees and other related expenses to support each phase of the program.

Financial Impact

There is currently no financial impact associated with the ongoing conversations with DART. It is expected that DART will be responsible for funding all activities associated with design, construction, and project management for facility modifications needed for testing and commissioning as well as permanent facility expansion requirements. It is also contemplated DART will pay DCTA reasonable lease fees, share in facility expenses, utilities, and other operational costs. It is expected that DCTA would financially contribute if DCTA agrees to proceed with station design and construction, track upgrades to class 4 and other modifications as necessary. Details of projected expenses and associated responsibilities of each party will be outlined and presented to the DCTA Board for consideration as the joint program and DRAFT ILA is further defined.

Recommendation

This agenda item is for discussion purposes only. No Board action is required.

Exhibits

N/A

Submitted By:



Raymond Suarez, CEO

Board of Directors Memo

April 22, 2021

SUBJECT: Discuss Agency Title VI Update Process

Background

DCTA is committed to ensuring that no person is excluded from participation in, or denied benefits of, its transit services based on race, color, or national origin, as protected by Title VI of the Civil Rights Act of 1964. The requirements specified by Federal Transit Administration FTA C. 4702.1B for complying with 49 CFR Section 21.9(b)(3) state that, *"In determining the site or location of facilities, a recipient or applicant may not make selections with the purpose or effect of excluding persons from, denying them the benefits of, or subjecting them to discrimination under any program to which this regulation applies, on the grounds of race, color, or national origin; or with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the Act or this part."*

Previous Board Activity

The DCTA Board adopted the current Title VI Policy Statement at its October 25, 2018 regular meeting (R18-09)

Identified Need

As a recipient of federal grant dollars, DCTA is required to submit an updated Title VI program every three (3) years with the next required July 31, 2022. During the course of updating the program, staff will update the socioeconomic data associated with the policy as well as prepare updates to DCTA's system-wide operating standards and policies used in service monitoring including access, availability, span of service, and distribution of transit amenities. These updated standards will also be used to inform the agencies updated Long-Range Service Plan which is planned for late 2021.

In addition to updating socioeconomic and service standards, staff will also work with the public and community partners in reviewing and refreshing the following required program elements:

- Notification procedures;
- Complaint procedures, documentation, and resolution; and
- Public participation programs, specifically for those with limited English proficiency.

The agency's transformation initiative and its transition to a microtransit on-demand service delivery model represent a unique convergence of actions which will likely influence the direction of the Title VI Program Update; especially regarding operating standards and policies and how the program is used to determine possible disparate impacts or disproportionate burdens associated with future major service changes and siting of new support facilities.

Financial Impact

Some professional services support may be utilized through existing On-Call Transit and Transportation Planning Services contracts. Any task order exceeding \$75,000 will be presented to the Board for consideration in May.

Recommendation

This item is for information only. No Board action is required at this time.

Anticipated Schedule

Completion of the update will begin this summer and continue through Spring 2022 along the following generalized schedule:

- Summer 2021 - Kick-off activities
 - Community notifications
 - Update socioeconomic data and mapping
- Fall 2021 – Update DCTA operating standards and policies
- Winter 2021/2022 – Community outreach
 - Review and refresh program elements
- May 2022 – Seek Board review and feedback
- June 2022 – Board approval
- July 2022 – FTA transmittal

Submitted By: _____



Tim Palermo, Planning & Data Analytics Manager

Final Review: _____



Athena Forrester, AVP Regulatory Compliance

Approval: _____



Raymond Suarez, CEO

Board of Directors Memo

April 22, 2021

SUBJECT: Discuss Highland Village Enhanced Local Assistance Program (ELAP) Funds

Background

The Enhanced Local Assistance Program (ELAP) was adopted as a component of the DCTA's Service Plan in 2003. The program was included in the Service Plan to reflect the need to facilitate local public transportation systems and provide financial assistance for local transportation related projects consistent with DCTA's enabling legislation.

Previous Board Activity & Action

The Board adopted ELAP guidelines in February 2004 and amended those guidelines in January 2006. Included in the ELAP Closeout Schedule was language that any "unexpended balance shall be returned to DCTA on or before January 1, 2009." This deadline was extended in December 2008 to allow unexpended ELAP funds to be re-programmed for mutually agreed upon projects with final approval of the DCTA Board. In July 2010, a Highland Village ELAP report was presented to the Board for a trail connectivity study and design that would utilize \$23,000 of the city's remaining \$29,809 ELAP funds.

Identified Need

The intended project included design of a bridge across Copperas Lake to provide a connectivity with a trail in Highland Village - ultimately to connect to the Highland Village / Lewisville Lake Train Station, with the remainder to be applied to subsequent construction. However, this project was supplanted with remediation from TxDOT stemming from their utilization of Copperas Park for staging during the construction of I-35 enhancements. A component of this remediation was for TxDOT to construct this bridge connection.

The city of Highland Village holds the remaining \$29,809 ELAP funds that have not been spent and would like to apply these funds on hand to supplement its TRiP funding request related to a trail connection project adjacent to Highland Village Road.

Financial Impact

The city of Highland Village has retained these funds from the original ELAP program; therefore there is no additional financial impact to DCTA. Should the Board desire, DCTA could ask the city of Highland Village to return these funds to DCTA.


Recommendation

This item is listed as a possible action item should the Board choose to take action upon discussion.

Exhibits

Exhibit 1: ELAP Overview Executive Summary

Submitted By:



Marisa Perry, CPA

Chief Financial Officer/VP of Finance

INTERLOCAL COOPERATION AGREEMENT

THIS AGREEMENT is made and entered into by and between THE CITY OF HIGHLAND VILLAGE, TEXAS, a home rule city, a political subdivision of the State of Texas (hereinafter the "CITY") and THE DENTON COUNTY TRANSPORTATION AUTHORITY, (hereinafter the "AUTHORITY"), each organized and existing under the laws of the State of Texas, each acting by and through and under the authority of their respective governing bodies and officials in accordance with the Interlocal Cooperation Act, Chapter 791 of the TEX. GOVERNMENT CODE (the "Act"); and

WHEREAS, the CITY and the AUTHORITY are local governmental entities organized under the laws of the State of Texas, both of whom have the authority to perform the services set forth in this Agreement individually, and who mutually desire to enter into an Interlocal Cooperation Agreement in order to maximize the benefits to the citizens of the CITY and the constituents of the AUTHORITY; and

WHEREAS, the AUTHORITY at an election held on November 5, 2002 was duly and legally confirmed as a Transportation Authority pursuant to Chapter 460 of the TEXAS TRANSPORTATION CODE (the "Code"); and

WHEREAS, the AUTHORITY is created for the purpose of providing public transportation and transportation related services within the territory of the AUTHORITY and in particular to implement a Service Plan in those areas participating in the AUTHORITY where, at an election in the CITY a majority of the votes received were in favor of the authorization of a sales and use tax levy by the AUTHORITY for its benefit; and

WHEREAS, the CITY did on September 13, 2003, authorize said sales and use tax levy by and for the benefit of the AUTHORITY at an election called within the municipal limits of the CITY for that purpose; and

WHEREAS, the Service Plan, as revised by the Board of Directors of the AUTHORITY, did adopt and provide for an Enhanced Local Assistance Program to assist eligible and participating cities, that approved a transit sales and use tax, to facilitate their public transportation system with financial assistance for projects approved by the AUTHORITY; and

WHEREAS, the CITY and the AUTHORITY find that the Enhanced Local Assistance Program, intended to improve mobility within the CITY for projects approved by the AUTHORITY, is in the public interest of the CITY and the AUTHORITY; and

WHEREAS, the CITY and the AUTHORITY agree that any funds transferred in connection with the governmental functions provided for by this Agreement shall be in accordance with the Enhanced Local Assistance Program Guidelines (hereinafter the "Guidelines") adopted and approved by the AUTHORITY and shall be made from sales and use tax revenue available to the AUTHORITY and apportioned by the AUTHORITY consistent with the aforementioned GUIDELINES and are eligible for use by the CITY under the specific terms and conditions specified in the GUIDELINES adopted by the AUTHORITY; and

WHEREAS, the CITY and the AUTHORITY agree that the purpose, terms, rights and duties of the respective contracting parties herein are stated in this Agreement and any transfer of funds made pursuant to this Agreement, will be in strict adherence and conform to the Guidelines and will fairly compensate the performing party for the services or function performed in accordance with the provisions of the Act; and

WHEREAS, there is a valid governmental purpose served by this Agreement by providing for an Enhanced Local Assistance Program (attached as Exhibit 'A' hereto and made a part hereof for all purposes); and

WHEREAS, the CITY and the AUTHORITY agree that any fund transfer made in connection with the governmental functions provided for by this Agreement shall be made solely from current revenues available to the AUTHORITY as specified by the Guidelines; and

WHEREAS, the Act authorizes the CITY and the AUTHORITY to enter into this Agreement for the purpose of achieving the governmental functions provided for herein by this collective, cooperative undertaking; and

NOW THEREFORE, the CITY and the AUTHORITY, for and in consideration of the promises and the mutual covenants set forth in this Agreement, and pursuant to the authority granted by the governing bodies of each of the parties hereto, do hereby agree as follows:

ARTICLE 1 INCORPORATION OF PREAMBLES

All matters and recitations stated in the Preamble to this Agreement are true and correct and are hereby incorporated by reference into the provisions of this Agreement for all purposes.

ARTICLE 2 PURPOSE OF AGREEMENT.

The purpose of this Agreement is to make available apportioned funds received by the AUTHORITY for use by the CITY for projects defined under the Enhanced Local

Assistance Program Guidelines, approved by the AUTHORITY and eligible for funding pursuant to the Guidelines, within the Term specified therein.

ARTICLE 3 TERM OF AGREEMENT

This Agreement shall be effective as of the effective date set forth below and shall continue in force during the pendency of the Enhanced Local Assistance Program which will start January 1, 2004 and terminate on December 31, 2007, consistent with the "term" and "close out" provisions in the GUIDELINES.

ARTICLE 4 TERMINATION OF AGREEMENT

This Agreement terminates upon the first to occur of the following events:

- A. By mutual written agreement of the CITY and AUTHORITY; or
- B. Expiration of the Agreement as provided in Article 3; or
- C. By either party, if a party defaults or breaches any of the terms or conditions of this Agreement and such default or breach is not cured within sixty (60) days after written notice by the non-defaulting party to the defaulting party; or

ARTICLE 5 UNDERTAKING OF THE AUTHORITY

The AUTHORITY shall engage in the process of providing public transportation and transportation related services to Denton County that may include transfer of funds to the CITY, consistent with the provisions of the Service Plan adopted by the AUTHORITY to facilitate their public transportation systems with projects eligible under the Guidelines and approved by the AUTHORITY.

ARTICLE 6 UNDERTAKING OF THE CITY

On the effective date of this Agreement, the CITY agrees to and does hereby accept the terms and conditions of the Enhanced Local Assistance Program and Guidelines in all aspects thereof, and will utilize any funds transferred to the use and benefit of the CITY under the Enhanced Local Assistance Program solely and exclusively for projects eligible under the Guidelines, approved by the AUTHORITY, and consistent with the terms and conditions of use imposed by the AUTHORITY in the GUIDELINES.

ARTICLE 7
USE OF CITY'S SHARE
AND
MAINTENANCE OF RECORDS

A. AUTHORITY agrees to maintain records that will provide accurate, current, and complete disclosure of the status of the funds provided under this Agreement and with any other applicable Federal and State regulations establishing standards for financial management. AUTHORITY's record system shall contain sufficient documentation to provide full support and justification for all fund apportionments or transfers and may be made available to the CITY at all reasonable times.

B. CITY agrees to maintain records that will provide accurate, current, and complete disclosure of the status of the funds received under this Agreement and with any other applicable Federal and State regulations establishing standards for financial management. CITY's record system shall contain sufficient documentation to provide full support and justification for all funds received and may be made available to the AUTHORITY at all reasonable times.

C. AUTHORITY maintains the right to audit CITY's financial records as provided by GUIDELINES Subparagraph F "Project Applications" and the CITY further agrees that all financial records, documents and reporting will be consistent with, and controlled by, the terms set forth in the Guidelines.

ARTICLE 8
HOLD HARMLESS

Only to the extent allowed by the Constitution and statutes of the State of Texas, and without waiving any immunity or limitation as to liability, each party agrees to and shall indemnify and hold harmless the other party, its officials, officers, agents, employees, or attorneys from and against any and all claims, losses, damages, causes of action, suits, and liabilities of every kind, including all expenses of litigation, court costs, and attorney's fees, for injury or death of any person, or for damages to any property; real, personal, or intellectual, arising out of or in connection with the subject of this Agreement, where the injury or death or damage is caused by the negligence of the other party, its officials, officers, agents, employees, or attorneys.

ARTICLE 9
GOOD FAITH NEGOTIATION AND DISPUTE RESOLUTION

Whenever a dispute or disagreement arises under the terms of this Agreement, the parties agree to enter into good faith negotiations to resolve such disputes. If the matter continues to remain unresolved after good faith negotiations by the parties, then the matter shall be referred to voluntary, non-binding mediation. This provision is mandatory, arises under the provisions of §791.015 of the Act, and shall be a condition precedent to the filing of any litigation by either or both parties hereto.

ARTICLE 10 ASSIGNABILITY/CONSENT

Except as otherwise provided herein, or except as may be hereafter determined by the parties, no party to this Agreement may sell, assign, or transfer its interest in this Agreement, or any of its right, duties, or obligations hereunder, without the prior written consent of the other party. However, whenever the consent or the approval of a party is required herein, such party shall not unreasonably withhold, delay, or deny such consent or approval.

ARTICLE 11 NOTICE

Any notice given by one party to the other in connection with this Agreement shall be in writing and shall be by personal delivery; or shall be sent by registered mail or certified mail; or shall be sent by U.S. Mail, return receipt requested, postage prepaid; to:

CITY: Michael Leavitt, City Manager
 1000 Highland Village Rd.
 Highland Village, Texas 75077

AUTHORITY: John O. Hedrick, Executive Director
 Denton County Transportation Authority
 1660 South Stemmons, Suite 250
 Lewisville, TX 75067

Notice shall be deemed to have been received on the date of receipt as shown on the return receipt or other written evidence of receipt.

ARTICLE 12 MODIFICATION

No waiver or modification of this Agreement or of any covenant, condition, limitation herein contained shall be valid unless in writing and duly executed by the party to be charged therewith. No evidence of any waiver or modification shall be offered or received in evidence in any proceeding arising between the parties hereto out of or affecting this Agreement, or the rights or obligations of the parties hereunder, unless such waiver or modification is in writing, duly executed. The parties further agree that the provisions of this Article will not be waived unless as herein set forth.

ARTICLE 13
SAVINGS/SEVERABILITY

In the event that any one or more of the provisions hereof contained in this Agreement shall for any reason be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not effect the other provisions, and the Agreement shall be construed as if such invalid, illegal, or unenforceable provision had never been contained in this Agreement.

ARTICLE 14
GOVERNING LAW AND VENUE

This Agreement shall be construed under and governed by, and in accordance with the laws of the State of Texas, and all obligations of the parties hereto, created by this Agreement are performable in Denton County, Texas. Venue of any suit or cause of action under this Agreement shall lie exclusively in Denton County, Texas.

ARTICLE 15
ENTIRE AGREEMENT

This Agreement and any exhibits which may be attached hereto, constitutes the entire agreement among the parties hereto with respect to the subject matter hereof, and supersedes any prior understandings or written or oral agreements between the parties with respect to the subject matter of this Agreement. No amendment, modification, cancellation or alteration of the terms of this Agreement shall be binding on any party hereto unless the same is in writing, dated subsequent to the date hereof, and is duly authorized and executed by the parties hereto.

ARTICLE 16
WAIVER OF TERMS AND CONDITIONS

The failure of either party to enforce or insist upon compliance with any of the terms or conditions of this Agreement shall not constitute a general waiver or relinquishment of any such terms or conditions, but the same shall be and remain at all times in full force and effect.

ARTICLE 17
AUTHORITY OF PARTIES

This Agreement is made by and entered into by the duly authorized officials of each respective governmental entity.

ARTICLE 18
CAPTIONS

The captions contained in this Agreement are for informational purposes only and shall not in any way affect the substantive terms or conditions of this Agreement.

ARTICLE 19
COUNTERPARTS

This Agreement may be executed in any number of counterparts, each of which shall be deemed an original, and constitute one and the same instrument.

THE CITY OF HIGHLAND VILLAGE,
TEXAS

By: Michael Leavitt
~~Mike Leavitt, City Honorable~~
Michael Leavitt, City Manager

ATTEST:

By: Shari Kempf
City Secretary

APPROVED AS TO LEGAL FORM:

By: Edwin P. Voss, Jr.
Edwin P. Voss, Jr., City Attorney

DENTON COUNTY TRANSPORTATION
AUTHORITY

By: Charles Emery
Charles Emery, Chairman
Denton County Transportation Authority

ATTEST:

JASON PIERCE, SECRETARY

By: Jason Pierce

APPROVED AS TO LEGAL FORM:

RIDER SCOTT, GENERAL COUNSEL

By: Rider Scott

**Denton County Transportation Authority
Enhanced Local Assistance Program Overview
Executive Summary**

Background

The Enhanced Local Assistance Program (ELAP) was adopted as a component of the Denton County Transportation Authority's (DCTA) Service Plan in 2003. The program was included in the Service Plan to reflect the need to facilitate local public transportation systems and provide financial assistance for local transportation related projects consistent with DCTA's enabling legislation.

Overview

The stated object is to provide financial assistance for local transportation projects that are consistent with DCTA's enabling statute that enhance mobility in DCTA eligible cities in the near term. Funds will be apportioned to eligible cities beginning in January 2004 and ending in December 2007, when the apportionments terminate. The monthly apportionment is derived by determining the amount of a half cent sales and use tax net collection for each eligible city as published by the Texas Comptroller's Allocation Payment Detail, times twenty five percent (.25), less DCTA Administrative cost.

Eligible Cities to receive ELAP funds:

Denton
Highland Village
Lewisville

ELAP Closeout Schedule:

The monthly apportionment to the eligible cities ELAP fund will terminate with the December 2007 sales tax apportionment. Projects and applications will be received and considered by DCTA for any available apportionment until March 31, 2008. Remaining funds available in the eligible city apportionment account (must meet paragraph 'J' criteria) will be transferred to the eligible city on April 30, 2008. The recipient city of this final fund transfer shall report expenditures of the final fund transfer to DCTA monthly with the documentation required by paragraph "G". If any final fund transfer balance exists when the city accepts the project subject to the final fund transfer, then the unexpended balance shall be returned to DCTA on or before January 1, 2009.

GUIDELINES FOR THE ENHANCED LOCAL ASSISTANCE PROGRAM (ELAP)

A. OBJECTIVE:

During the implementation of rail transportation, which will require several years, the Denton County Transportation Authority (DCTA) proposes to implement an Enhanced Local Assistance Program (ELAP) to improve local mobility in the short term. This program is dedicated to Eligible Cities to facilitate their public transportation systems and provide financial assistance for projects consistent with DCTA's enabling legislation in the Eligible Cities for a maximum of four (4) years, with specified limits.

B. ELIGIBLE CITIES:

All municipalities where the canvassed vote of September 13, 2003 approved a one half of one percent (1/2%) sales and use tax for the benefit of DCTA are eligible to participate in the ELAP. **Denton, Highland Village, and Lewisville** authorized the sales and use tax and are eligible for ELAP participation. To participate, the eligible cities must agree to the terms and conditions of the ELAP.

C. PROGRAM FUNDING:

Funding for the ELAP is exclusively from the sales and use tax received by DCTA. A percentage of the net monthly collections, derived by a formula applied to net collections of each Eligible City, will be apportioned to the ELAP fund for the benefit of the eligible city during the program. Net monthly collections are identified using the published Texas State Comptroller's Allocation Payment Detail for each eligible city. Net collections for an eligible city is the total collection each month less the service fee and current retained amount, with credit for the prior retained amount, as defined by the Comptrollers "Components of Allocation Payments."

D. APPORTIONMENTS

The maximum amount of ELAP funds to be apportioned to an eligible city shall not exceed twenty-five (.25) percent of the one half cent sales and use tax collection for the eligible city in the respective apportionment month, specified in 'C' above, less DCTA administrative cost (related to respective ELAP apportionments, but not to include general administrative expense).

DCTA will prepare, by September 1 of each year, a projected Annual ELAP apportionment estimate for eligible city budget purposes consistent with the DCTA Financial Plan in effect at the time. (see, Figure 4) Apportionments will be based on a formula of twenty five percent of an amount equal to one half cent sales and use tax net collections transferred to the eligible city by the Comptroller, regardless of the financial plan estimate, less administrative expense.

E. TERM

The ELAP program will start January 1, 2004 and terminate on December 31, 2007. ELAP apportionments will terminate after four (4) years from the date of the first sales and use tax revenue receipts collected in an eligible city.

F. PROJECT APPLICATIONS

Eligible Cities must prepare ELAP project applications for submission to and approval by DCTA. Multiple projects may be contained within a single application. DCTA will have 30 days to review the application to determine project(s) eligibility or request more information. Subsequent to completing the review, if no additional information was requested, the application will be placed on the next regularly scheduled DCTA Board of Directors agenda for consideration.

If approved, the ELAP amount requested in the application, or any portion thereof, becomes "programmed." That programmed amount is deducted from the available apportionment as an obligation. Apportionments will be deposited into a separate account. Any apportionment not programmed will remain available to the eligible city for future project applications, consistent with ELAP closeout provisions.

DCTA will report quarterly (within 30 days after close of the quarter) on the status of the ELAP fund, including amounts apportioned, amounts programmed, amounts transferred to eligible city, and the amount available for programming by each eligible city. This timeliness of the report will depend on the receipt by DCTA of the required information from the eligible city.

Eligible cities shall maintain accurate books and records of all approved projects. Cities will maintain separate records for each ELAP approved project including: project budgets, budget amendments, revised budget balances, expenditures to date, change orders, cost to complete, and DCTA ELAP transfers to date. DCTA maintains the right to audit a city's books to ensure that transferred funds are applied in accordance with the notice of request and approved transfer, and for purposes of DCTA's enabling legislation. Cities also maintain the right to audit DCTA's books to ensure that the fund allocations and transfer are in accordance with these guidelines and other applicable laws.

G. DISBURSEMENTS

The first ELAP transfer of funds for an approved project will not occur until in the second calendar quarter, after initial sales and use tax revenues are received by DCTA, (see, Figure 1). Funds will be transferred on the last day of the month. Transfers will occur no more frequently than monthly, on a monthly trailing basis, for approved projects with current financial records. In no case, will transfers be made until the project

eligibility requirements have been met and formal approvals by the DCTA Board has been made.

Eligible Cities shall provide monthly to DCTA, a project status report and current financial records, to include: a specific ELAP project account identifier, an approved project budget, ELAP funds programmed for the project, expenditures incurred and percentage completion for each ELAP project. Project status documentation must contain a statement of project expenditures, attested to by an authorized financial staff member. The monthly status report is considered a current financial record.

If a fund transfer is requested for ELAP programmed cost or expenses that have been incurred and paid by an eligible city for an ELAP approved project, a "notice of request" documenting the expenditures shall be submitted to DCTA at least 5 business days prior to the regularly scheduled Board meeting. The notice and expense documentation are considered current financial records. DCTA will promptly process request notices as specified herein.

At project completion, in the event that final project accounting or audit reveals that transferred funds were not in fact expended on an ELAP project, those unspent funds shall be returned to DCTA and remain available in the apportionment account for reprogramming to the eligible city, prior to ELAP closeout.

Any unprogrammed funds apportioned to an eligible city in any calendar year will continue to be available to that city in succeeding years, unless the city withdraws from DCTA, until ELAP closeout. All ELAP fund transfers will be considered subordinate to DCTA's debt service requirements.

The DCTA ELAP program is to assist eligible cities with funding for approved local transportation improvements, but DCTA does not assume or incur any liability, obligation or financial responsibility for a contract between an eligible city and a contractor, employee or agent for an approved project or any liability for a result, occurrence, injury or damages resulting from or caused, directly or indirectly, by an approved project.

H. PROJECT ELIGIBILITY:

Projects eligible for the ELAP funding shall be identified and approved in advance of implementation. Each eligible city council shall submit a project application, with one or more eligible projects, to DCTA for approval. All eligible projects must be consistent with the DCTA mission and enabling legislation.

Eligible types of projects are listed below. In-general, eligible projects are divided into two categories: 1) transit related street improvements; and, 2) transit supportive projects and programs.

Typically, approved capital projects may receive transfer funds for planning, environmental impact studies, engineering, final design, right-of-way acquisition, construction, and testing/inspection/surveying. Maintenance and operations may also be funded if approved by the DCTA Board.

Any project not listed, but found by DCTA to be consistent with its enabling legislation, may be proposed to DCTA consideration. Eligible projects include:

Transit related street improvements (street with current or planned/previous bus routes).

1. Roadway improvements that add capacity
 - Road widening
 - Adding storage to turn lanes
 - Adding turn lanes
 - Adding/deleting access points
 - Adding bus priority lanes
 - HOV lanes
2. Grade separations
3. Matching funds for federal/state transportation programs
4. Intersection improvements
 - New signals
 - Computerization of signals
 - Traffic surveillance equipment
 - Telecommunications
5. Cooperative funding of intercity capacity improvements
 - Signal progression
 - Bus only lanes
 - Bus signal preemption
 - Arterial street HOV lanes
 - Roadway and intersection improvements
6. Special design provisions along roadways and intersections with planned bus routes
 - Shelters
 - Sidewalks
 - Bus stops
 - Bus turnouts
 - Bus priority treatments
7. Roadway and intersection safety improvements

Transit supportive projects and programs

8. Additional service including non-productive service (previously eliminated or not meeting warrants)
9. Transportation services for the elderly and/or disabled
 - Emergency medical
 - Shuttle services
10. ADA compliance items related to the provision of transit service
11. Sidewalks related to providing access to transit facilities or services
12. Bus shelters
13. Bus benches
14. Travel demand management
 - Transportation Management Association operating funds
 - User subsidies for transit service
 - Vanpool programs
 - Rideshare promotion and incentives
 - Alternate work schedule subsidies
 - Employer trip reduction support
 - Emergency ride home funding taxi/loaner car
15. Vans for vanpool programs or buses for current operating routes consistent with the DCTA service Plan.
16. Park and Ride lots
17. Mid-block bus turnouts
18. Incorporating private transit services/facilities into DCTA.
19. Transportation enhancements at existing and planned DCTA transit centers, transfer centers and rail stations.
20. DCTA related railroad crossing and right of way improvements to include street closings or grade separations.

I. PROJECT MAINTANCE AND OPERATION

Project maintenance is the responsibility of the project owner. If shared maintenance responsibility for a project is desired, the cost sharing arrangements must be approved by the DCTA Board and the eligible city as part of the project approval process.

Operating costs of ELAP projects may be eligible for ELAP funding subject to DCTA Board approval.

J. OTHER FINANCIAL CONSIDERATIONS:

Since the ELAP program allows for funding of capital transit projects and operational expenses associated with them, eligible cities will be able to apply for and receive FTA funds with prior approval by the DCTA Board.

Eligible cities may pool their ELAP apportionments for implementation of approved projects.

Advanced (beyond 1 year) programming of funds is allowed subject to Board approval. However, eligible cities may not program, for a current or future year more than the current year's ELAP apportionment and may not program past the ELAP termination date.

All DCTA request for fund transfers for approved ELAP projects will be drawn from the eligible city's apportioned fund balance until it is exhausted. After all ELAP apportioned funds for an eligible city are disbursed or transferred, no further transfers will occur, until a positive apportioned fund balance is reestablished.

K. PROGRAM CLOSE OUT

The monthly apportionment to the eligible cities ELAP fund will terminate with the December 2007 sales tax apportionment. Projects and applications will be received and considered by DCTA for any available apportionment until March 31, 2008. Remaining funds available in the eligible city apportionment account (must meet paragraph 'J' criteria) will be transferred to the eligible city on April 30, 2008. The recipient city of this final fund transfer shall report expenditures of the final fund transfer to DCTA monthly with the documentation required by paragraph "G". If any final fund transfer balance exists when the city accepts the project subject to the final fund transfer, then the unexpended balance shall be returned to DCTA on or before January 1, 2009.

L. WITHDRAWAL OF MEMBER CITIES

If an eligible City withdraws from DCTA, no ELAP funding will be allocated to that city subsequent to the withdrawal date. In the event of a proposed withdrawal, only individual projects for which construction contracts have been awarded and executed or for which formal funding agreements have been executed will be funded by DCTA. On the date of withdrawal, an eligible city forfeits and relinquishes any right or entitled to receive funds under the ELAP. All apportioned funds revert to DCTA. Once a city calls or selects a date for a withdrawal election, no ELAP projects will be considered for approval until after the election is canvassed.

M. PROJECT IDENTIFICATION

Each construction or improvement project will display at least one sign on each vehicular approach to the construction site indicating that funding support for the project is provided by the DCTA ELAP program. In addition, after completion, if a project has a visible permanent marker, it shall indicate thereon that funding for the project was provided by the DCTA ELAP program.

(Figure 1)
Denton County Transportation Authority
Enhanced Local Assistance Program
Projected Payment Distribution Schedule for 2004

The Denton County Transportation Authority (DCTA) has authorized an

Sales Tax Collection Month	Month Apportioned to Eligible Cities	ELAP Fund Transfer Date
January	February	N/A
February	March	N/A
March	April	April 30
April	May	May 31
May	June	June 30
June	July	July 31
July	August	August 31
August	September	September 30
September	October	October 31
October	November	November 30
November	December	December 31
December	January	January 31

Enhanced Local Assistance Program (ELAP) for eligible cities. Denton, Highland Village, and Lewisville are currently eligible to submit projects to facilitate their public transportation systems and provide financial assistance for projects consistent with DCTA's enabling legislation. The duration of ELAP is limited to a maximum of four (4) years in duration, terminating December 31, 2007.

A typical fund transfer schedule is shown below. ELAP funding transfer dates for apportioned amounts to eligible cities are set on a monthly trailing basis.

ELAP fund transfers are authorized for incurred project costs that have been approved by the DCTA Board of Directors. Supporting documentation for costs incurred must accompany all notice of request for fund transfer.

Distribution dates falling on a Saturday, Sunday, or observed holiday will be processed on the next business workday.

(Figure 2)
Denton County Transportation Authority
Enhanced Local Assistance Program
Anticipated Project Applications Schedule

The chart below depicts a proposed schedule for project application submittals and subsequent review dates. The Enhanced Local Assistance Program (ELAP) policy guidelines allow DCTA to conduct a 30-day review of all applications or request additional information. Subsequent to committee review, the application will be submitted for consideration by the Board of Directors at their next regularly scheduled meeting, if additional information is not required.

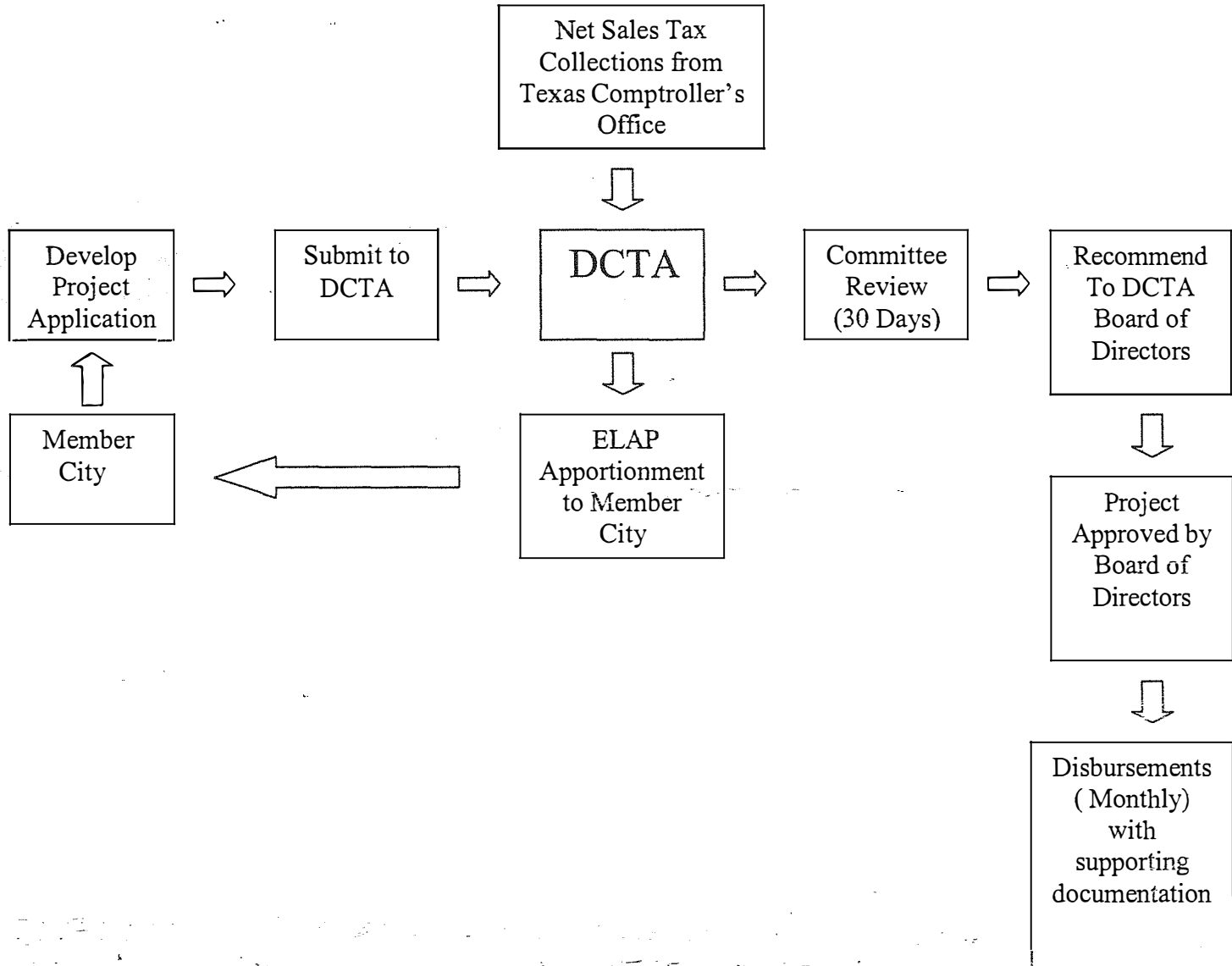
Projects may be approved and funding programmed at the DCTA's sole discretion during the regular monthly meeting. Once approved, projects are issued a notice to proceed and can submit a notice of request for fund transfer for approved and incurred project costs in compliance with DCTA's payment distribution schedule (see Figure 1).

Application Submitted on: <i>(Example Dates)</i>	DCTA Committee Review:	Possible DCTA Approval at Monthly Meeting
January 1, 2004	January 31, 2004	February 26, 2004
February 1, 2004	March 1, 2004	March 25, 2004
March 1, 2004	March 30, 2004	April 22, 2004
April 1, 2004	April 30, 2004	May 27, 2004
May 1, 2004	May 30, 2004	June 24, 2004
June 1, 2004	June 30, 2004	July 22, 2004
July 1, 2004	July 30, 2004	August 26, 2004
August 1, 2004	August 30, 2004	September 23, 2004
September 1, 2004	September 30, 2004	October 28, 2004
October 1, 2004	October 30, 2004	November 18, 2004
November 1, 2004	November 30, 2004	December 16, 2004
December 1, 2004	December 30, 2004	January 27, 2005

A notice of request for fund transfer may be submitted at any time by an eligible city for an approved project. It will be considered only if the eligible city has a positive ELAP apportionment balance.

The ELAP program apportionments terminate after the receipts from the eligible cities for December 2007 are received by DCTA. Applications for any remaining un-programmed apportionment must be received and approved by DCTA no later than March 31, 2008.

(Figure 3)
Denton County Transportation Authority
Enhanced Local Assistance Program
Procedural Flowchart



(Figure 4)
Denton County Transportation Authority
Enhanced Local Assistance Program
Financial Plan Anticipated Apportionments

Month	Denton	Highland Village	Lewisville
January 04	\$113,732	\$4,425	\$185,531
February	\$113,732	\$4,425	\$185,531
March	\$113,732	\$4,425	\$185,531
April	\$113,732	\$4,425	\$185,531
May	\$113,732	\$4,425	\$185,531
June	\$113,732	\$4,425	\$185,531
July	\$113,732	\$4,425	\$185,531
August	\$113,732	\$4,425	\$185,531
September	\$113,732	\$4,425	\$185,531
October	\$113,732	\$4,425	\$185,531
November	\$113,732	\$4,425	\$185,531
December	\$113,732	\$4,425	\$185,531
TOTAL	\$1,364,781	\$53,105	\$2,226,377

CITY OF HIGHLAND VILLAGE

RESOLUTION NO. 04-1660

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF HIGHLAND VILLAGE, TEXAS AUTHORIZING THE CITY MANAGER TO ENTER INTO AN AGREEMENT WITH THE DENTON COUNTY TRANSPORTATION AUTHORITY (DCTA) TO IMPLEMENT THE ENHANCED LOCAL ASSISTANCE PROGRAM (ELAP); AND PROVIDING AN EFFECTIVE DATE.

WHEREAS, The Denton County Transportation Authority (DCTA) , at an election held on November 5, 2002, was duly and legally confirmed as a Transportation Authority pursuant to Chapter 460 of the Texas Transportation Code; and

WHEREAS, The City did, on September 13, 2003, authorize a sales and use tax levy by and for the benefit of the DCTA at an election called within the municipal limits of the City for that purpose; and

WHEREAS, The service plan, as revised by the Board of Directors of the DCTA, did adopt and provide for an Enhanced Local Assistance Program (ELAP) to assist eligible and participating cities, that approved a transit sales and use tax, to facilitate their public transportation system with financial assistance for projects approved by the DCTA; and

WHEREAS, The City and the DCTA find that the Enhanced Local Assistance Program (ELAP), intended to improve mobility within the City of projects approved by the DCTA, is in the public interest of the City and the DCTA.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF HIGHLAND VILLAGE, TEXAS:

SECTION 1. The City Manager is hereby authorized to enter into an agreement with the Denton County Transportation Authority to implement the Enhanced Local Assistance Program (ELAP).


SECTION 2. That the agreement is attached at Exhibit "A".

SECTION 3. That this Resolution shall take effect immediately from and after its adoption and it is so resolved.


PASSED AND APPROVED by the City Council of the City of Highland Village this the 11th day of May, 2004.

**ORIGINAL DOCUMENT
CITY OF HIGHLAND VILLAGE**

APPROVED:

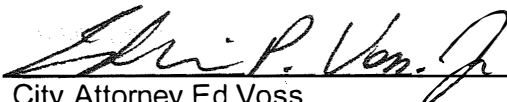

Mayor Bill Lawrence
City of Highland Village, Texas

ATTEST:


City Secretary Shari Kuykendall
City of Highland Village, TX

(SEAL)

APPROVED AS TO FORM AND LEGALITY:


City Attorney Ed Voss
City of Highland Village, TX

ORIGINAL DOCUMENT
CITY OF HIGHLAND VILLAGE

Board of Directors Memo

April 22, 2021

SUBJECT: Discuss and Receive an Update on Texas Motor Speedway (TMS) Shuttle

Background

Regarding the countywide COVID -19 Mass Vaccination Clinic at the Texas Motor Speedway (TMS), the Denton County Judge requested DCTA provide temporary transportation services to the TMS for residents that do not have transportation available. Service was requested from the DCTA A-train stations in Denton and Lewisville at four intervals: 8am, 10am, 12pm, and 2pm on days when the clinic planned to administer vaccines. It was further requested that DCTA coordinate services with SPAN, a rural transit provider located in Denton.

The initial support request was for 2 full days and one ½ day weekly (although, at the time, it was unclear how many days a week the clinic would operate). The Downtown Denton Transit Center and Hebron A-train stations were selected as the best options for service. On February 25-26 DCTA performed testing and training with shuttle services starting on March 2. The DCTA board was briefed on March 10 at the regularly scheduled board meeting.

Over the six (6) weeks, DCTA has provided service to 1,052 passengers. The data indicate ridership tends to peak on Tuesdays and Thursdays on the 10am and 2pm shuttles, with significant drops during the 8am and 12pm shuttles. Denton County has not released information on how much longer the clinic will continue. In order to preserve resources in the long-term and with the existing unknowns, we are planning to limit the TMS shuttle service to Tuesdays and Thursdays at 10am and 2pm. If a clinic does not take place on one of those days, we will reassess at that time. However, having consistency in operational days will allow for more advanced notice to NTMC volunteers, which may result in a higher rate of volunteer sign-ups. Operator availability will likely improve in three weeks, when the UNT summer schedule begins. If NTMC is not able to support the level of effort in the following weeks, DCTA will look to make further service reductions in the TMS shuttle or recommend discontinuing the service.

The April 22 briefing at the Board meeting will address operational challenges that are being faced between now and when DCTA transitions to micro-transit.

Submitted By:



Raymond Suarez, CEO

Board of Directors Memo

April 15, 2021

SUBJECT: Discuss Local & Regional Transportation Updates and Legislative issues

Background

*Memo information provided by Rick Dennis, HillCo

The Texas Legislative Session has entered its busiest phase of the legislative process, with both chambers now routinely meeting for multiple hours to consider legislation as full bodies, and House and Senate committees going late into the night to vet bills and determine if they should be advanced through the process. The legislative response to the Texas winter storm, along with COVID -19 initiatives and broadband internet access deployment continue to be the dominate topics of this regular session. 4,801 measures have been introduced in the House of Representatives, and 2,191 have been filed in the Senate.

The DCTA priority bill track includes 298 House and Senate bills to carefully monitor throughout the remainder of the legislative session, which currently has 45 days remaining before Sine Die. Relevant upcoming dates and deadlines in the legislative process are as follows:

- April 22nd – The Appropriation Act will be on the House Floor
- May 14th - Last day for non-local House Bills to advance from their chamber.
- May 26th – Last day for the Texas House to consider all Senate Bills sent to their chamber.
- May 30th – Last day for the House and Senate to adopt identical language on all measures that previously passed both chambers.
- May 31st – Sine Die.

List of Measures Directly Referencing Chapter 460 of Transportation Code

1. SB 858 / HB 2421 – States that the “trip data” compiled by a transportation entity is not subjected to disclosure under open government laws.
2. HB 3325 / SB 1945 – Changes the word “accident” to “crash” in 460.110(b), as the bill does all throughout the Transportation Code.
3. HB 1560 / SB 714 – Makes conforming change to 460.406(c) to acknowledge that personal property can be purchased by the DCTA at an auction that was not presided over by a licensed auctioneer.
4. HB 435 – Raises the criminal penalty for an offense of robbery, assault and sexual assault committed on a vehicle operated by a transit agency.

Update on Key Issues of Interest to DCTA

Transportation Policy

Even prior to the COVID-19 pandemic and the winter storm Uri, the 2021 legislative session was not expected to be a busy session for major reforms to transportation policy in Texas or how we fund our transportation infrastructure. The issue has remained very quiet this session as lawmakers have grappled with other topics. Though, bills pertaining to the TERP fund and local option county vehicle registration fees have started to move in the House and the Senate, and they are being closely monitored for any potential impact to the DCTA.

Taxpayer Funded Lobbying

On April 15, the Senate passed Senate Bill 10, which prohibits only cities and counties from engaging in the practice commonly referred to as taxpayer funded lobbying. The House companion, HB 749, has a broader reach in its filed

form, applying to all political subdivisions. That House Bill was considered in a public hearing by the State Affairs Committee on March 26th, but has yet to advance from the committee.

Trinity Metro P3 Authority

Legislation was introduced in both chambers to grant Trinity Metro Public Private Partnership authority. The bills, HB 2203 and SB 762 are identical to the measure that failed to pass during the previous legislative session. Currently, the House version has been advanced from committee and is awaiting consideration by the full chamber, while the Senate version has yet to be considered by the Senate Transportation Committee.

Destination Sales Tax Legislation

During the recent interim the Comptroller adopted new sales tax sourcing rules that altered how sales taxes have traditionally been sourced in Texas through online purchases. In a move away from the model of “origin” sourcing most sales tax collections from online purchases, the Comptroller created certain circumstances where those sales taxes would be sourced to the “destination” of the purchase. Numerous bills have been filed this session to address and make alterations to the Comptroller’s proposed rules.

The most notable measure is House Bill 4072 by Morgan Meyer, Chairman of the House Ways and Means Committee. As filed, his bill implements “destination” sales tax sourcing for most online purchases and eliminates many circumstances where the tax collection would instead be sourced to the product’s “origin”. The bill was considered in a public hearing in Ways and Means on April 6th and was met with numerous witnesses testifying in opposition, mostly municipalities. On April 14th the bill was voted out of committee after the effective date of the act was pushed from October 1, 2021 to January 1, 2023. It now awaits consideration by the full House of Representatives.

While other bills were filed on this topic this session, it is expected that HB 4072 is the only measure that will have a chance to progress through the legislative process.

Redistricting

Due to the inability for the census collection to stay on schedule because of the COVID – 19 impact to that process, the Texas Legislature will have to meet in a future special session (likely in the fall) to redraw all state and federal legislative districts. Since the Denton County population growth (34%) continues to far outpace the overall state population growth (15%), it is expected that our State House, Senate and Congressional districts will be dramatically altered, with the likelihood that the county will pick up a new seat in the State House, and possibly gain a portion of an additional seat in the US Congress.

Submitted By:  _____

Lindsey Baker, Director of Government Affairs

Approval:  _____
Kristina Holcomb, Deputy CEO

Board of Directors Memo

April 22, 2021

SUBJECT: Monthly Sales Tax Receipts

Background

Sales tax represents the single largest source of revenue for DCTA at 49.89% for the Fiscal Year 2021 budget. The annual sales tax budget for FY21 is \$26,624,124. Because of its importance in funding of DCTA's ongoing operations, the Board adopted a Budget Contingency Plan that outlines the Agency's response when declines in sales tax hit a specific target.

For the month of March, receipts were favorable compared to budget.

- Sales tax for sales generated in the month of January and received in March was \$2,296,659.
- This represents an increase of 10.98% or \$227,308 compared to budget for the month.
- Compared to the same month last year, sales tax receipts are \$28,297 or 1.25% higher.
- Member city collections for the month compared to prior year are as follows:
 - City of Lewisville down 2.44%
 - City of Denton up 6.32%
 - City of Highland Village down 5.41%

For the month of April, receipts were favorable compared to budget.

- Sales tax for sales generated in the month of February and received in April was \$2,080,957.
- This represents an increase of 2.87% or \$58,060 compared to budget for the month.
- Compared to the same month last year, sales tax receipts are \$33,491 or 1.58% lower.
- Member city collections for the month compared to prior year are as follows:
 - City of Lewisville down .53%
 - City of Denton up 1.35%
 - City of Highland Village up 9.67%

Previous Board Activity & Action

There has been no previous Board-level activity on this item.

Identified Need

Provides the Board of Directors a monthly status on Sales Tax collections.

Financial Impact

This item is included for informational purposes only; there is no financial impact associated with this informational item.

Recommendation

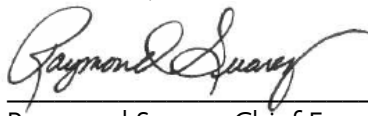
This item is presented for informational purposes only. No action is required.

Exhibits

Exhibit 1(a): FY21 Monthly Sales Tax Report

Submitted By: 
Amanda Riddle, Senior Manager of Budget

Final Review: 
Marisa Perry, CPA, Chief Financial Officer/VP of Finance

Approval: 
Raymond Suarez, Chief Executive Officer

DENTON COUNTY TRANSPORTATION AUTHORITY

SALES TAX REPORT
BUDGET TO ACTUAL AND PREVIOUS YEAR COMPARISON

Sales Generated in Month of:	Received in Month of:	2020-2021 Adopted Budget	2020-2021 Year Actual	Variance Actual to Original Budget	CY Actual to CY Original Budget % Variance ^(A)	2019-2020 Year Actual	Variance Actual to Prior Year	CY Actual to PY Actual % Variance
October	December	\$ 1,723,286	\$ 2,944,573	\$ 1,221,287	70.87%	\$ 2,329,419	\$ 615,154	26.41%
November	January	\$ 1,712,280	\$ 2,617,881	\$ 905,601	52.89%	\$ 2,188,220	\$ 429,661	19.64%
December	February	\$ 2,124,605	\$ 3,356,939	\$ 1,232,334	58.00%	\$ 3,191,714	\$ 165,225	5.18%
January	March	\$ 2,069,351	\$ 2,296,659	\$ 227,308	10.98%	\$ 2,268,362	\$ 28,297	1.25%
February	April	\$ 2,022,897	\$ 2,080,957	\$ 58,060	2.87%	\$ 2,114,448	\$ (33,491)	-1.58%
March	May	\$ 2,483,676				\$ 2,503,274		
April	June	\$ 2,492,462				\$ 2,185,555		
May	July	\$ 2,193,143				\$ 2,400,743		
June	August	\$ 2,586,198				\$ 2,819,430		
July	September	\$ 2,183,351				\$ 2,412,772		
August	October	\$ 2,399,699				\$ 2,511,707		
September	November	\$ 2,633,176				\$ 2,910,752		
YTD TOTAL		\$ 9,652,419	\$ 13,297,009	\$ 3,644,590	37.76%	\$ 12,092,163	\$ 1,204,846	9.96%
FISCAL YEAR TOTAL		\$ 26,624,124				\$ 29,836,396		

^(A) Formula: YTD Variance Actual to Original Budget / YTD Original Budget

Sources: Texas Comptroller of Public Accounts and DCTA Finance Department

Prepared By: Denton County Transportation Authority Finance Department

April 13, 2021

DENTON COUNTY TRANSPORTATION AUTHORITY

MEMBER CITIES SALES TAX REPORT
MONTH ALLOCATION IS RECEIVED FROM COMPTROLLER
PREVIOUS YEAR COMPARISON

CITY OF LEWISVILLE						CITY OF HIGHLAND VILLAGE					
Sales Generated in Month of:	Received in Month of:	2019-2020 Year Actual	2020-2021 Year Actual	Variance Actual to Prior Year	CY Actual to PY Actual % Variance	Sales Generated in Month of:	Received in Month of:	2019-2020 Year Actual	2020-2021 Year Actual	Variance Actual to Prior Year	CY Actual to PY Actual % Variance
October	December	\$ 3,282,870	\$ 3,348,633	\$ 65,763	2.00%	October	December	\$ 357,488	\$ 341,390	\$ (16,099)	-4.50%
November	January	\$ 2,904,782	\$ 3,755,579	\$ 850,797	29.29%	November	January	\$ 356,224	\$ 354,573	\$ (1,651)	-0.46%
December	February	\$ 4,407,090	\$ 4,903,701	\$ 496,610	11.27%	December	February	\$ 521,121	\$ 503,020	\$ (18,101)	-3.47%
January	March	\$ 3,148,942	\$ 3,072,003	\$ (76,939)	-2.44%	January	March	\$ 338,734	\$ 320,412	\$ (18,322)	-5.41%
February	April	\$ 2,987,194	\$ 2,971,403	\$ (15,791)	-0.53%	February	April	\$ 262,811	\$ 288,219	\$ 25,408	9.67%
March	May	\$ 3,733,423				March	May	\$ 322,245			
April	June	\$ 3,294,690				April	June	\$ 267,280			
May	July	\$ 3,399,328				May	July	\$ 311,278			
June	August	\$ 4,039,429				June	August	\$ 394,759			
July	September	\$ 3,032,247				July	September	\$ 303,996			
August	October	\$ 3,509,227				August	October	\$ 304,285			
September	November	\$ 4,164,883				September	November	\$ 404,670			
YTD TOTAL		\$ 16,730,878	\$ 18,051,317	\$ 1,320,439	7.89%	YTD TOTAL		\$ 1,836,378	\$ 1,807,614	\$ (28,765)	-1.57%
FISCAL YEAR TOTAL		\$ 41,904,104				FISCAL YEAR TOTAL		\$ 4,144,890			

CITY OF DENTON					
Sales Generated in Month of:	Received in Month of:	2019-2020 Year Actual	2020-2021 Year Actual	Variance Actual to Prior Year	CY Actual to PY Actual % Variance
October	December	\$ 2,887,178	\$ 3,174,573	\$ 287,396	9.95%
November	January	\$ 2,911,334	\$ 3,050,388	\$ 139,054	4.78%
December	February	\$ 4,230,616	\$ 4,149,443	\$ (81,173)	-1.92%
January	March	\$ 2,902,937	\$ 3,086,526	\$ 183,589	6.32%
February	April	\$ 2,571,667	\$ 2,606,494	\$ 34,827	1.35%
March	May	\$ 3,061,108			
April	June	\$ 2,521,781			
May	July	\$ 2,878,630			
June	August	\$ 3,555,689			
July	September	\$ 2,999,523			
August	October	\$ 3,167,204			
September	November	\$ 3,710,560			
YTD TOTAL		\$ 15,503,732	\$ 16,067,424	\$ 563,692	3.64%
FISCAL YEAR TOTAL		\$ 37,398,228			

Sources: Texas Comptroller of Public Accounts and DCTA Finance Department
Prepared By: Denton County Transportation Authority Finance Department
April 13, 2021

ALL TRANSIT AGENCIES

MONTHLY SALES AND USE TAX COMPARISON SUMMARY

Transit Agency	Current Rate	Net Payment This Period	Comparable Payment Prior Year	% Change	Payments YTD (Calendar)	Prior Year Payments YTD (Calendar)	% Change
Austin MTA	1.00%	\$ 18,919,790	\$ 20,288,216	-6.74%	\$ 87,592,855	\$ 92,070,652	-4.86%
Corpus Christi MTA	0.50%	\$ 2,306,169	\$ 2,593,497	-11.07%	\$ 10,721,496	\$ 11,308,663	-5.19%
Dallas MTA	1.00%	\$ 42,719,917	\$ 45,371,259	-5.84%	\$ 208,893,619	\$ 217,484,395	-3.95%
Denton CTA	0.50%	\$ 2,080,957	\$ 2,114,448	-1.58%	\$ 10,352,436	\$ 9,762,744	6.04%
El Paso CTD	0.50%	\$ 3,735,326	\$ 3,634,912	2.76%	\$ 17,098,397	\$ 16,851,634	1.46%
Fort Worth MTA	0.50%	\$ 5,638,005	\$ 5,885,729	-4.20%	\$ 27,726,825	\$ 27,700,599	0.09%
Houston MTA	1.00%	\$ 54,207,128	\$ 57,502,606	-5.73%	\$ 258,125,643	\$ 269,167,146	-4.10%
Laredo CTD	0.25%	\$ 648,069	\$ 598,852	8.21%	\$ 2,919,688	\$ 2,914,263	0.18%
San Antonio ATD	0.25%	\$ 4,842,003	\$ 5,217,946	-7.20%	\$ 24,089,877	\$ 24,134,386	-0.18%
San Antonio MTA	0.50%	\$ 10,574,437	\$ 11,530,583	-8.29%	\$ 53,360,478	\$ 53,964,729	-1.11%
TOTALS		\$ 145,671,802	\$ 154,738,048	-5.86%	\$ 700,881,313	\$ 725,359,211	-3.37%

Sources: Texas Comptroller of Public Accounts and DCTA Finance Department

Prepared By: Denton County Transportation Authority Finance Department

April 13, 2021

Board of Directors Memo

April 22, 2021

SUBJECT: Monthly Mobility-as-a-Service Update

Background

A Request for Proposals (RFP) was released on January 16, 2019 for Mobility as a Service (MaaS). Firms were invited to submit proposals (for both federal and non-federal funding project categories) to provide innovative mobility service to DCTA member cities, contracted communities, partner organizations, as well as large employment centers and other areas as the need arises. On March 12, 2019, DCTA received thirty-seven (37) proposals in response to the RFP. Thirty-three (33) proposals were deemed responsive and were evaluated by the evaluation team. The evaluation team rejected two proposals that scored less than seventy (70) points and recommended award to thirty-one (31) firms. The Board of Directors approved the award of Mobility-as-a-Service to thirty-one firms and reduced the total annual contract value of \$2,400,000 to \$75,000 for all task orders issued under the master on-call contracts. One of the recommended firms will not execute a contract due to business operational changes; therefore, thirty (30) firms remain eligible for contract execution. As requested by the Board of Directors, staff is providing a monthly update on all Mobility-as-a-Service commitments, activities and expenses.

To date, the following twenty-six contracts have been fully executed:

- | | | |
|-----------------------------|----------------------------|---|
| • AJL International | • Irving Holdings | • RideCo |
| • Bird Rides | • Iteris | • Rideshark Corporation |
| • Bubbl Investments, LLC. | • Kapsch | • River North (Via) |
| • Dashboard Story dba DUET | • Lyft | • Roundtrip |
| • DemandTrans Solutions | • Moovel | • Routematch |
| • DoubleMap | • Moovit | • Spare Labs, Inc. |
| • Downtowner Holdings, LLC. | • MV Transportation | • Spare Labs, Inc. (with First Transit) |
| • First Transit | • Muve: Quebec, Inc. | • Transdev North America |
| • Ford Smart Mobility, LLC. | • Quebec, Inc. dba Transit | |

The remaining four contracts, all with software companies (Passport, SeatsX, Token Transit and Transloc), have been placed on hold until a need arises to enter into a contract for software.

Previous Board Activity & Action

Task Order #1 Lewisville Lakeway Zone and Denton Evening Zone was issued to Spare Labs, Inc. for Platform-as-a Service (Spare Platform). The task order was approved for award at the June 2020 Board meeting and was issued on 6/30/2020 for a not-to-exceed amount of \$50,000 per year with an initial term of two years and one two-year option to extend (total of 4 years).

Task Order #2 On-Demand Services in Member Cities and Contracted Cities was discussed at the June 2020 Board meeting and was presented at the September 2020 Board meeting to authorize negotiations with two firms. In January 2021, the Board approved and authorized staff to enter into a Task Order with River North (Via) to move forward with the recommendations and implementation of an On-Demand Service plan. Staff is working with Via to finalize the Task Order. An action item is on the April 22nd Board agenda for approval of a task order with Via to implement and provide the on demand services in member cities.



Identified Need

Provides the Board of Directors a monthly status on Mobility-as-a-Services Contracts

Financial Impact

This item is included for informational purposes only; there is no financial impact associated with this item.

Recommendation

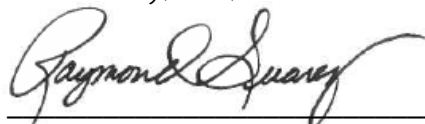
For information only. No action required.

Exhibits

Not applicable

Submitted By: 
Athena Forrester, AVP of Regulatory Compliance

Final Review: 
Marisa Perry, CPA, CFO/VP of Finance

Approval: 
Raymond Suarez, CEO

Board of Directors Memo

April 22, 2021

SUBJECT: Budget Information

Background

The DCTA budget is prepared months in advance of the start of the October 1 fiscal year and not all expenses can be anticipated at the time of the budget preparation. Therefore, during the fiscal year, it may become necessary to reforecast the annual expenses and complete transfers between budget categories and/or departments based on changing needs of the agency. Revising the budget for material changes will provide a better forecasting and management tool for the Board and DCTA staff for future periods.

BUDGET TRANSFER / REVISION REQUEST						
TRANSACTION TYPE:		Transfer <input checked="" type="checkbox"/>	Number: 2021-03			
		Revision <input type="checkbox"/>				
			Current Budget Amount	Budget Transfer Amount	Adjusted Budget Amount	
TRANSFERS WITHIN EXISTING BUDGET						
General & Administrative:		140.50309	Professional Services	\$ 101,800	\$ 95,000	\$ 196,800
Bus Operations:		200.50410	Fuel - UNT	342,308	(75,000)	267,308
		511.50410	Fuel - Fixed Route Denton	303,023	(20,000)	283,023
Net Budget Impact					-	

Previous Board Activity & Action

The FY21 budget was originally adopted on September 24, 2020. This is the third budget transfer/revision related to the FY21 budget.

Identified Need

Provides the Board of Directors a monthly status on any budget transfers completed.

The on-demand service transition that the agency is undergoing requires a public involvement process as well as a launch promotion in order to educate our passengers and the public. The public involvement plan promotion will require \$50k and the first phase of an on-demand service launch promotion will require an estimated \$45k of additional funding that was not part of the original marketing budget. Staff has identified fuel savings that will cover these additional expenses so there will be no impact to the bottom line operating budget.

Financial Impact

Budget Transfer 2021-03 has a net budget impact of zero. Identified necessary expense increases have been offset by realized savings in other areas as noted above.

Recommendation

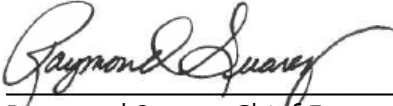
This item is presented for informational purposes only. No action is required. The Financial Management Policies authorize the CEO to approve budget transfers between expense categories and departments, not to exceed 5% of the total annual operating budget.

Exhibits

Exhibit 3(a): Year-to-Date FY21 Budget Revisions

Submitted By: 
Amanda Riddle, Senior Manager of Budget

Final Review: 
Marisa Perry, CPA, Chief Financial Officer/VP of Finance

Approval: 
Raymond Suarez, Chief Executive Officer

YEAR-TO-DATE FY21 BUDGET REVISIONS

DCTA 2021-01 (Presented to DCTA Board January 28, 2021)

Budget Transfer - No Approval Necessary; Completed

			Adopted Budget	Revision	Revised Budget
G&A:	100.50309	Professional Services	\$ 298,000	\$ (24,860)	\$ 273,140
	120.50309	Professional Services	206,560	24,860	231,420
	100.50309	Professional Services	273,140	(38,000)	235,140
	180.50440	Computer Materials & Supplies	29,300	38,000	67,300
Bus:	500.50318	Facilities Maintenance	328,891	(36,617)	292,274
	531.50313	Computer & Software Maintenance	41,915	7,236	49,151
	533.50313	Computer & Software Maintenance	28,376	29,381	57,757
<i>Net Budget Impact</i>			\$	-	

DCTA 2021-02 (Presented to DCTA Board January 28, 2021)

Approved by DCTA Board in January; Completed

		Working Budget	Revision	Revised Budget
<u>OPERATING REVENUE:</u>				
	Contract Service Revenue	3,458,402	175,358	3,633,760
<u>OPERATING EXPENSES:</u>				
	Salary, Wages & Benefits	4,193,211	70,450	4,263,661
	Outsourced Services & Charges	3,917,959	1,016,833	4,934,792
	Materials & Supplies	2,955,735	(2,216)	2,953,519
	Utilities	506,668	2,142	508,810
	Insurance, Casualties & Losses	1,681,336	4,376	1,685,712
	Purchased Transportation Services	10,732,539	471,118	11,203,657
	Employee Development	241,304	300	241,604
<u>NON-OPERATING REVENUES:</u>				
	Misc. Revenues	-	200,000	200,000
	Long Term Debt Interest/Expense	(841,080)	228,750	(612,330)
<u>CAPITAL PROJECTS:</u>				
	TRiP Program (10702)	5,914,152	(5,814,152)	100,000
	TRiP Program Denton (10702.1)	-	2,605,707	2,605,707
	TRiP Program Highland Village (10702.2)	-	288,794	288,794
	TRiP Program Lewisville (10702.3)	-	2,919,651	2,919,651
	Transfers Out	8,027,839	186,464	8,214,303
<i>Net Budget Impact</i>			\$	1,145,359

NTMC 2021-001 (Presented to NTMC Board March 24, 2021)

Approved by NTMC Board in March; Completed

		Working Budget	Revision	Revised Budget
<u>OPERATING EXPENSES:</u>				
	Salary, Wages & Benefits	7,451,314	185,240	7,636,554
	Outsourced Services & Charges	399,919	300	400,219
	Insurance, Casualties & Losses	118,878	924	119,802
	Transfers In	8,027,839	186,464	8,214,303
<i>Net Budget Impact</i>			\$	-

DCTA 2021-03 (Presented to DCTA Board April 22, 2021)

Budget Transfer - No Approval Necessary; Completed

			Adopted Budget	Revision	Revised Budget
G&A:	140.50309	Professional Services	\$ 101,800	\$ 95,000	\$ 196,800
Bus:	200.50410	Fuel - UNT	342,308	(75,000)	267,308
	511.50410	Fuel - Fixed Route Denton	303,023	(20,000)	283,023
<i>Net Budget Impact</i>			\$ -		

Board of Directors Memo

April 22, 2021

SUBJECT: Ridership Trend Report

Background

Beginning in March 2020, DCTA staff began a series of special COVID-related ridership tabulations to gain a better understanding of the ridership impacts associated with the pandemic and ensuing service changes. Exhibits 1-4 provide an overview of total monthly ridership trends across all DCTA services--comparing FY19 against FY20 and FY21 and their COVID associated impacts.

Due to the winter storm related cancelation of February's Board meeting, this memo summarizes the trends associated with February and March ridership levels. Noteworthy in February were Saturday service on DCTA Connect with suspended UNT Shuttle and A-train operations from February 15-19. Consequently, this memo compares the change between January and March as opposed to presenting the change from the prior month as done in prior reports.

The summary table below reveals that bus trips in March increased over 27 percent from January's levels while March A-train boardings increased by 21 percent over the same period.

Unlinked Passenger Trips

Mode	2020				2021			Sep-Mar % Change	Jan-Mar % Change
	September	October	November	December	January	February	March		
Bus	54,773	54,725	42,194	18,149	44,920	39,184	57,124	4.3%	27.2%
A-train	8,206	9,018	7,819	7,564	8,279	5,745	10,020	22.1%	21.0%
Access	1,229	1,214	1,041	1,166	1,148	1,023	1,617	31.6%	40.9%
On-Demand	663	707	640	584	552	435	656	-1.1%	18.8%

\\dcta-fs002\shared\docs\STRATEGIC PLANNING\ServicePlaningSupport\Trend Analysis\ITEM2_Materials4March22\FY19_FY20_FY21_Compare040821.xlsx]Lines

Average monthly A-train passenger trips during the March 2020 - March 2021 COVID-impacted months are approximately 74 percent less than prior pre-COVID monthly averages. Exhibit 5 shows A-train ridership trends before and during the COVID-19 pandemic.

	Average Monthly Boardings	% Change
Average Monthly A-train Ridership Pre-COVID (March '19-December '19)	32,340	
Average Monthly A-train Ridership (March '20-March '21)	8,299	-74.3%

S:\STRATEGIC PLANNING\ServicePlaningSupport\Trend Analysis\ITEM2_Materials4March22\[A-trainCOVIDTrend_040821.xlsx]Sheet1

Exhibits

Exhibit 1: FY19, FY20, & FY21 Total Monthly Ridership – Rail

Exhibit 2: FY19, FY20, & FY21 Total Monthly Ridership – Bus

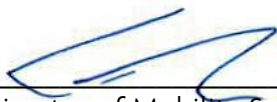
Exhibit 3: FY19, FY20, & FY21 Total Monthly Ridership – Access

Exhibit 4: FY19, FY20, & FY21 Total Monthly Ridership – On-Demand

Exhibit 5: A-train Ridership Pre- and During COVID-19 Comparison



Submitted By: _____
Tim Palermo, Planning & Data Analytics Manager



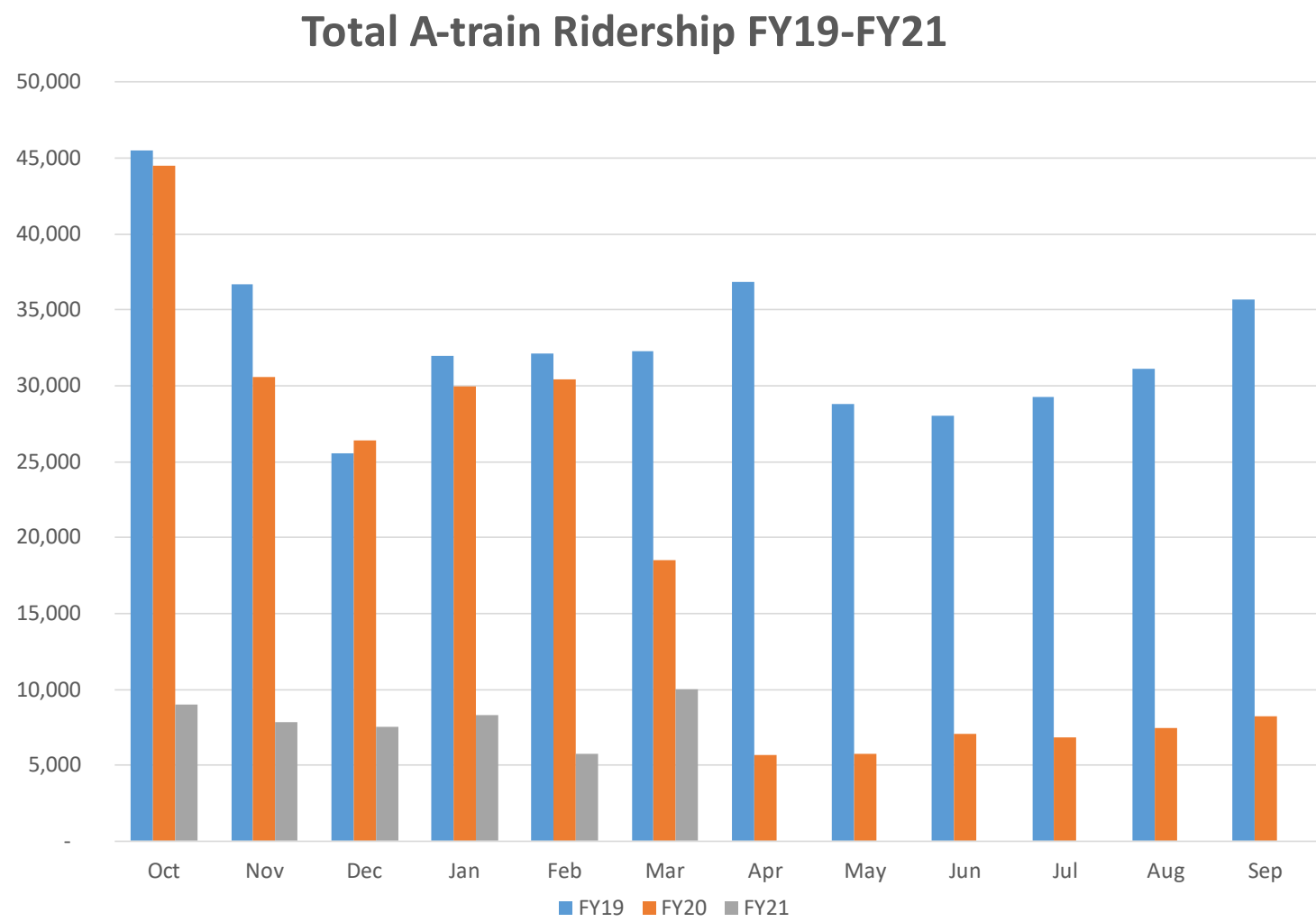
Final Review: _____
Troy Raley, Senior Director of Mobility Services



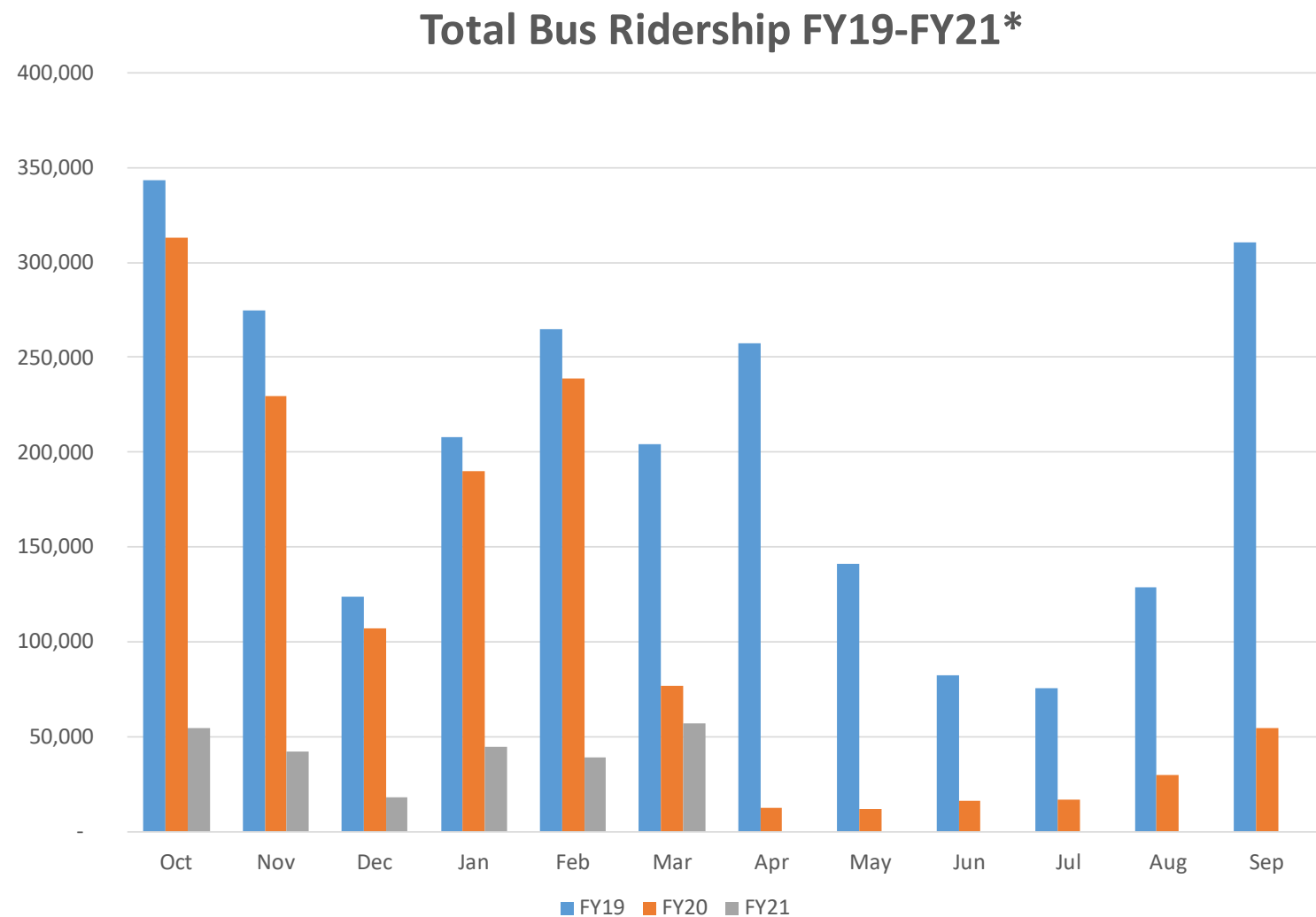
Approval: _____
Kristina Holcomb, Deputy CEO

FY19-FY21 Total Monthly Ridership – A-train

Information Item 2, Exhibit 1

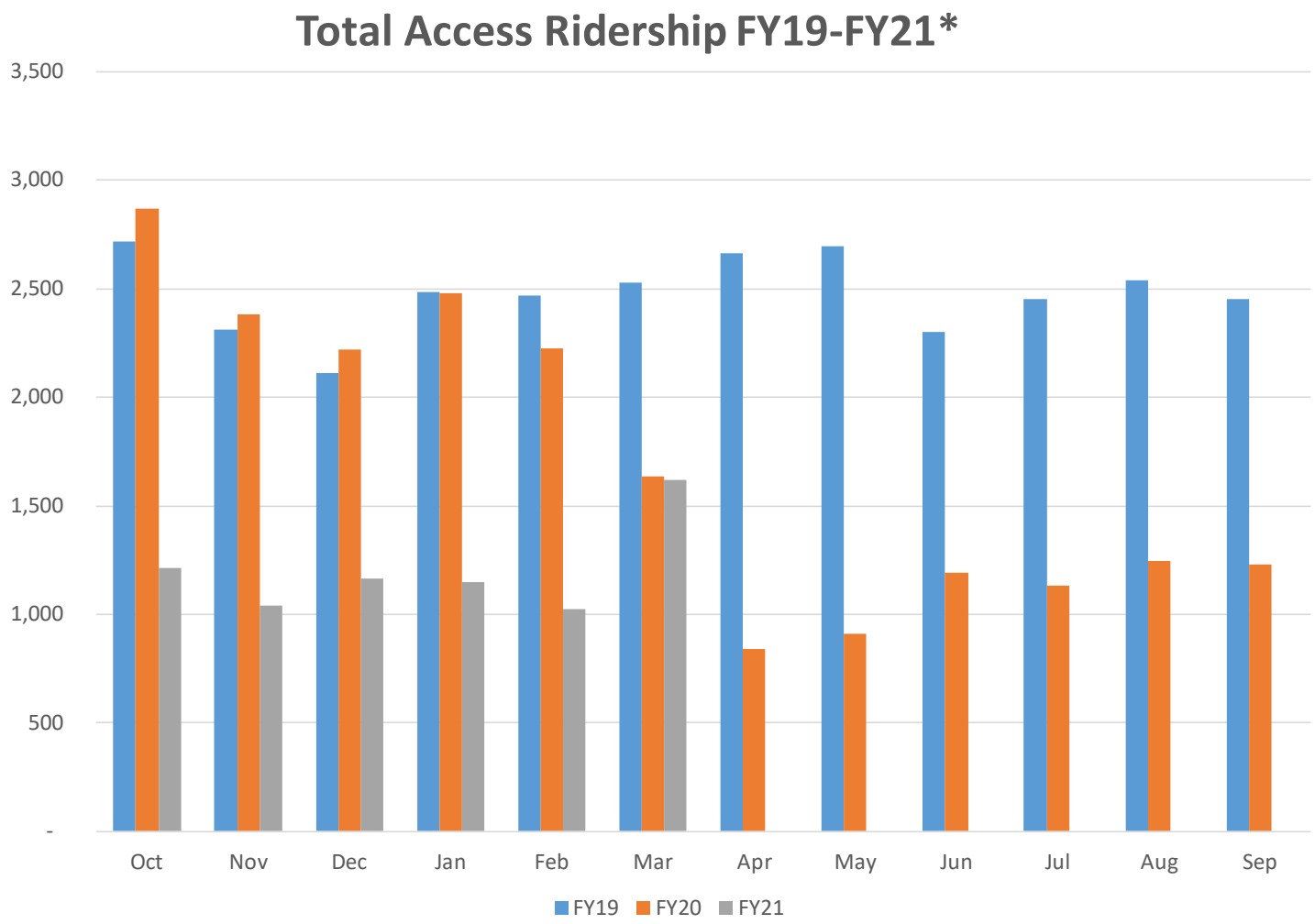


FY19-FY21 Total Monthly Ridership – Bus



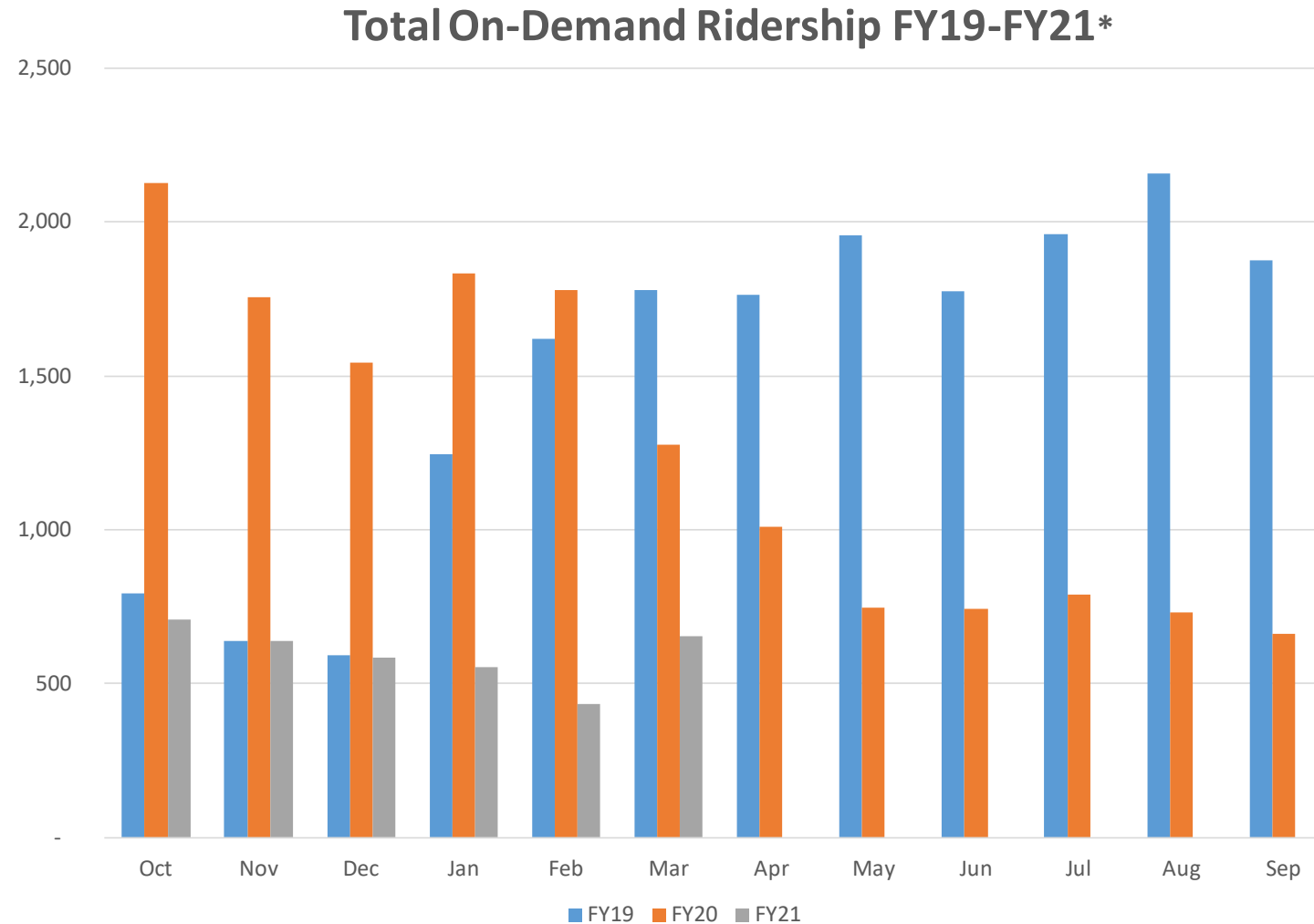
*UNT, NCTC, Denton, Lewisville, and Highland Village Connect Service.

FY19-FY21 Total Monthly Ridership – Access



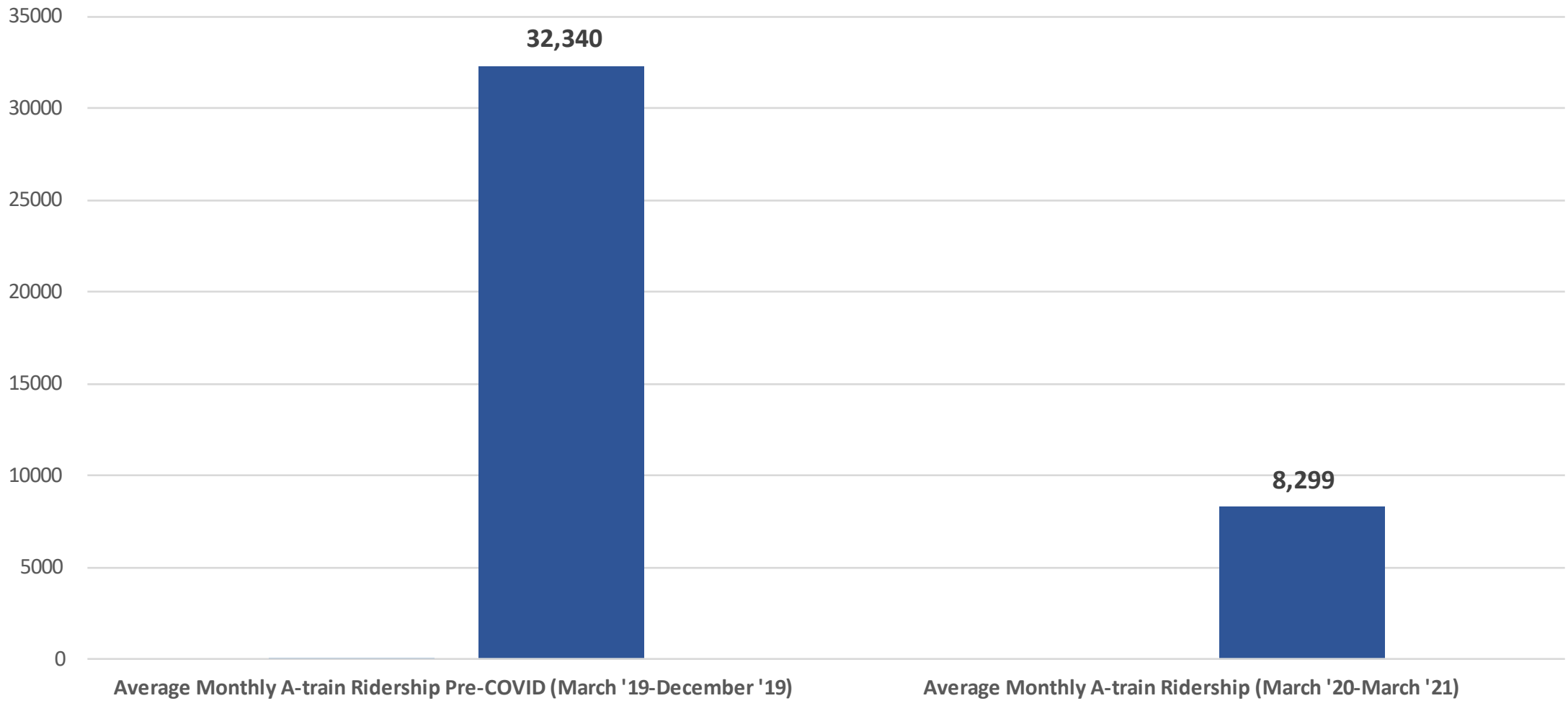
*ADA & Non-ADA Service in Denton, Lewisville & Highland Village

FY19-FY21 Total Monthly Ridership – On-Demand

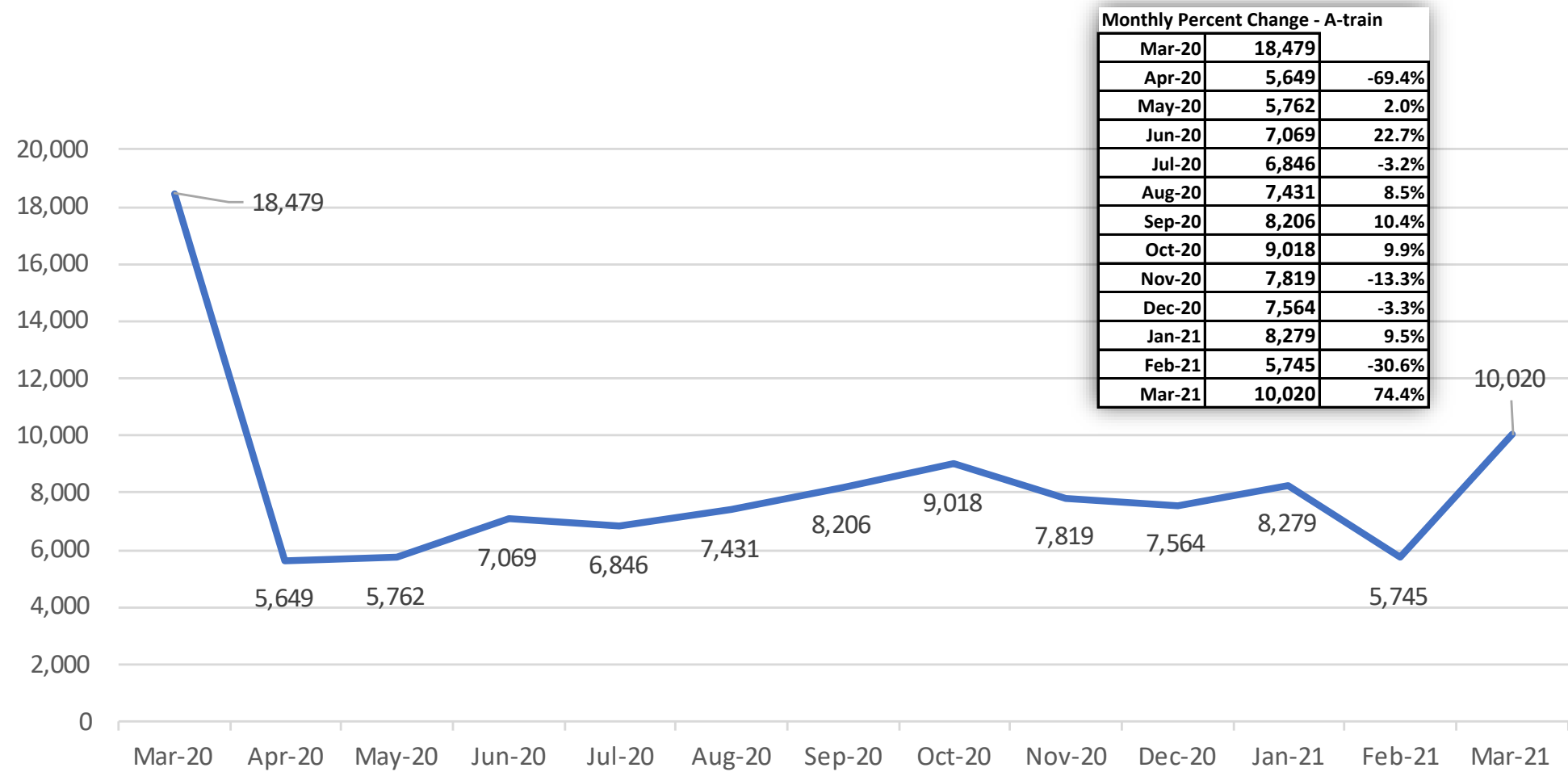


*Frisco, Collin County Transit and Zoned Service In Denton & Highland Village

Pre-COVID Average Monthly A-train Ridership and Current Average



Monthly A-train Ridership Trend: March 2020 - March 2021



Monthly Percent Change - A-train		
Mar-20	18,479	
Apr-20	5,649	-69.4%
May-20	5,762	2.0%
Jun-20	7,069	22.7%
Jul-20	6,846	-3.2%
Aug-20	7,431	8.5%
Sep-20	8,206	10.4%
Oct-20	9,018	9.9%
Nov-20	7,819	-13.3%
Dec-20	7,564	-3.3%
Jan-21	8,279	9.5%
Feb-21	5,745	-30.6%
Mar-21	10,020	74.4%

Board of Directors Memo

April 22, 2021

SUBJECT: Connect Route 3 and Route 7 Survey Data

Background

On March 10, 2021, the DCTA board of directors requested additional ridership data for Denton Connect Route 3 and Denton Connect Route 7. The intent of the data request was to provide insight on usage of the service by University of North Texas students, faculty and staff utilizing their university ID as fare media.

DCTA staff requested that NTMC begin tracking UNT-related ridership on Route 3 and Route 7 as part of their daily ridership counts. NTMC was able to accommodate this request effective March 25, 2021 and plans to continue this effort until further notice. DCTA staff also intends to conduct detailed on-board surveys aligned with the launch of GoZone service in September 2021 for this same purpose.

Identified Need

On March 10, 2021, the DCTA board of directors requested UNT-related ridership data for Denton Connect Route 3 and Denton Connect Route 7.

Prior Board Discussion/Action

- December 10, 2020 – Regular Agenda Item 6 – Discuss DCTA Priority Actions
- January 28, 2021 (Joint Meeting) – Regular Agenda Item 4 – DCTA Service Plan Update & MaaS Proposal Presentation
- March 10, 2021 (Rescheduled Meeting) – Regular Agenda Item 7 – Review and Discuss MaaS Service Plan Update and Considerations

Data Request

Below is a table of data that was collected from March 25, 2021 through April 10, 2021.

UNT ID Badge Utilized for Service*						
Date	Overall/Route 7	UNT/Route 7	UNT %	Overall/Route 3	UNT/Route 3	UNT %
Thursday, March 25, 2021	168	38	23%	49	0	0%
Friday, March 26, 2021	228	63	28%	68	0	0%
Saturday, March 27, 2021	125	8	6%	27	3	11%
Monday, March 29, 2021	194	70	36%	63	0	0%
Tuesday, March 30, 2021	194	18	9%	70	0	0%
Wednesday, March 31, 2021	208	80	38%	79	1	1%
Thursday, April 1, 2021	195	69	35%	74	1	1%
Friday, April 2, 2021	212	53	25%	69	2	3%
Saturday, April 3, 2021	133	0	0%	32	Unknown	**
Monday, April 5, 2021	203	64	32%	76	6	8%
Tuesday, April 6, 2021	211	80	38%	91	0	0%
Wednesday, April 7, 2021	248	95	38%	84	1	1%
Thursday, April 8, 2021	182	50	27%	60	0	0%
Friday, April 9, 2021	219	67	31%	71	2	3%
Saturday, April 10, 2021	127	20	16%	61	30	49%
*Data tabulated and provided by NTMC						
**Merged route data was provided - UNT usage for Route 3 on 4/3/21 is unknown						

Financial Impact

There is a zero-cost impact for NTMC to collect the requested data.

Recommendation

There is no recommendation at this time. This is an informational report only.

Exhibits

None at this time.

Submitted By: 
Nicole Recker, VP of Mobility Services and Administration



Social Service Agency Roundtable Recap Report

March 10, 2021 - Virtual SSA Meeting

MEETING & PROMOTION OVERVIEW



Meeting Details

Location: Virtual Meeting

Rescheduled from February due to snow storm

Date: Wednesday 10, 2021

Time: 9 a.m. – 10:30 a.m.

Invitations: 104

RSVPS:

23 Accepted

23 Tentative

10 Declined

Actual Attendees:

13 Community members; 4 DCTA staff

Agencies in Attendance: NCTCOG, City of Lewisville, Denton County Public Health, Salvation Army, North Texas Food Bank, MHMR, Grace Like Rain, Giving Hope, Inc.

The purpose of the Social Service Agency Roundtable is to establish and maintain collaborative relationships and partnerships with social service agencies throughout Denton County. This ensures that DCTA is collectively meeting the needs of our community.



Meeting Agenda



SOCIAL SERVICE AGENCY ROUNDTABLES VIRTUAL MEETING LEWISVILLE & DENTON March 10, 2021 AGENDA

Welcome and Introductions

- Mary Worthington, Community Relations Manager

Updates & Collateral

- Transformation Initiative Report
- Federal Mask Mandate

Service Updates

- DCTA implemented minor changes to its bus services to optimize route times and enhance on-time performance.
- The changes will better reflect traffic patterns and will affect all Denton and Lewisville Connect Bus routes, and all University of North Texas (UNT) Campus Shuttle routes.
- In addition, the agency updated its Downtown Denton Transit Center (DDTC) and UNT stop.

Service	August 24 Changes
Denton Connect Route 1	Minor Time Changes
Denton Connect Route 2	Minor Time Changes
Denton Connect Route 3	Minor Time Changes
Denton Connect Route 4	Minor Time Changes
Denton Connect Route 6	Minor time changes Additional runs added to assist passengers wishing to travel from Discovery Park back to the DDTC
UNT Campus Shuttles	The UNT Campus Shuttle schedules will be updated to optimize run times and on-time performance.
Lewisville Connect Route 21	Minor Time Changes
Lewisville Connect Route 22	Minor Time Changes
Downtown Denton Transit Center (DDTC) Evening On-Demand Zone	Stop names at the DDTC have been slightly modified. The routes stopping at each of these stops are subject to change each schedule change, but the locations will remain the same.

Mobility as a Service (MaaS):

- The board approved Via as the MaaS provider at the 1/28 board meeting
- If approved, DCTA will conduct considerable public involvement to gain feedback on the proposed service plan
- The proposed service plan recommends removing all fixed route service in Denton and Lewisville and replacing with on-demand zones where service is provided by Via (or other partners when necessary)
- DCTA will need to enlist the help of CAC members to help garner public feedback throughout the process

Transformation Initiative (Strategic Priorities):

- Task Order #1 was completed in December 2020.
- The board will review and consider Task Order #2 for Project Management Office services at the 1/28 board meeting

Campaigns

Ride Safe/Stay Safe (COVID-19 Update)

- All buses and trains are receiving additional cleanings using a medical-grade disinfecting cleaner as well as a daily spray down using a broad-spectrum disinfectant that is effective against a range of microorganisms for an extended period.
- Additional cleaning (using medical-grade disinfectant) is being placed on high-touch areas such as door handles, crew rooms, countertops, driver consoles and steering wheels.
- Clear vinyl protection barriers are installed on each bus to provide separation between the operator and boarding passengers/fare box.

Community Education Outreach Campaign

- Website content
- DCTA Safety Kids component
 - <https://www.yumpu.com/en/document/read/65234476/dcta-safety-kids-book>



- Outreach efforts

Events/Sponsorships

- Denton Black Film Festival

- Virtual Rail to Trails Event April 24
- Denton Jazz Fest date change to October

Community Involvement

- Texas Motor Speedway Vaccine Shuttles
- Safety Education
- UNT Orientations

Train the Trainer

- Training Outcomes
 - 14 trained
 - 100% of those surveyed said the training goals for the trainees were met.
 - Most surveyed stated they would conduct their first training session in the next three (3) months.
 - The attendees serve clients with mental, health, medical, and intellectual, or developmental conditions, the homeless, unemployed, or misemployed adults, single moms and young families, and individuals seeking rent or utilities assistance.
 - 73% of participants would be interested in a refresher course to be held in person when COVID-19 limitations do not provide obstacles.
 - Most of the comments provided about the training were positive, some going as far as saying "the training is a must!". However, a couple comments discussed shortening the training as a potential recommended change.

Open Discussion

- Social Service Agency Updates
- Group Feedback

Next Meeting

- Lewisville –May 18, 2021 at 9:00 a.m. (via Teams)
- Denton –May 20, 2021 at 9:00 a.m. (via Teams)



The March 2021 SSA Roundtable Meetings were promoted via Community Outreach News and direct email.



Social Service Agency Meetings Next Week

Our social service agency roundtables are next week! Join us at 9 a.m. on Tuesday, February 16 for the Lewisville meeting and on Thursday, February 18 for the

Denton meeting. The meeting will be held virtually on Microsoft Teams. Email [Community Relations Manager Mary Worhtington](#) for more information.



RESCHEDULED: Social Service Agency Meetings

We rescheduled our Social Service Agency Meetings due to the inclement weather in February.

Join us at 9:00 a.m. - 10:30 a.m.

for the rescheduled date: Wednesday, March 10 (Denton and Lewisville). There will only be one meeting and it will be held virtually on Microsoft Teams. Email [Community Relations Manager Mary Worhtington](#) for more information.

MEETING NOTES – Lewisville & Denton



Welcome and Introductions

- In order to facilitate a group atmosphere, introductions were made through an icebreaker in the chat mechanism of the Microsoft Teams meeting platform

Review of Handouts/Presentations

- The following updates and information were provided:
 - General Service Updates
 - Mobility as a Service (MaaS)
 - Strategic Priorities (Transformation Initiative)



Campaigns

- Ride Safe, Stay Safe
- Community Education Outreach Campaign

Events/Sponsorships

- Denton Black Film Festival
- Self Guided Celebrate Trails Event (April 24)
- Denton Jazz Festival (date change to October)

Community Involvement

- Texas Motor Speedway Shuttles
- Safety Education
- UNT Orientations



Travel Training Outcomes

- 14 trained from Denton County Social Service Agencies
- 100% of those surveyed said the training goals for the trainees were met
- Most surveys stated they would conduct their first training session in the next three (3) months



Comments, Feedback and Discussion

The agenda was opened for discussion, comments and feedback from participants.

Discussion

- NCTCOG reported that they are working with Toyota and area Municipality Departments of Emergency Management
- Positive Feedback regarding the Veteran and SPAN Flyer
- North Texas Food Bank presented SNAP Benefit Workshop dates
- The Lewisville Library presented information about in-person programing returning
- Social Service Agency representatives were given the opportunity to share information about the mission of their agency



NEXT ROUNDTABLE MEETINGS



May 2021 Roundtable Meetings

Lewisville

Date/Time:

Tuesday, May 18, 2021
9:00 a.m. – 10:30 a.m.

Virtual Meeting via Microsoft Teams

Denton

Date/Time:

Thursday, May 20, 2021
9:00 a.m. – 10:30 a.m.

Virtual Meeting via Microsoft Teams

For questions about the upcoming Social Service Agency Roundtables
or to get more involved in the conversation, please contact:

Mary Worthington, Community Relations Manager

mworthington@dcta.net

Board of Directors Memo

April 22, 2021

SUBJECT: Public Involvement Plan Progress Report

Background

As DCTA transitions service from fixed route to GoZone on-demand service, there are many Federal Transit Administration (FTA) requirements that must be met. One of those requirements is the need for public involvement and a Title VI analysis to ensure that the DCTA Board of Directors is reviewing and considering all public feedback before making a formal decision on service delivery.

On March 10, 2021, the board authorized a task order with Kittelson and Associates to develop and execute the required public involvement and Title VI analysis that are required by the FTA. Kittelson's scope includes:

- Define and execute a Public Involvement Program to inform the public of DCTA's proposed transition to a more responsive, on-demand service model for delivering public transportation
- Conduct a Title VI analysis of the proposed on-demand service plan to identify and mitigate disparate or disproportionate negative impacts to low-income, minority, or Limited English Proficiency (LEP) populations
- Provide recommendations as to how existing Access services may be modified to successfully operate within the proposed service strategy

Since mid-March, staff has been coordinating with Kittelson and Associates and Via to ensure that a robust public involvement process is offered.

The progress report below is being provided to keep the board abreast of all activities related to this initiative.

Financial Impact

On March 10, 2021, the DCTA Board of Directors approved Task Order #4 for a total of \$77,057 which was accommodated within the approved FY '21 budget.

Progress Report

Milestone Dates Met:

- Kick-Off Meeting with Kittelson – March 15, 2021
- Community Engagement Meeting with Via – March 25, 2021
- Kittelson and Via Public Involvement Meeting – March 29, 2021
- Pre-Communications Announcing Public Involvement Timeframe – April 5, 2021
- Final DCTA Marketing and Communications Plan – April 8, 2021
- Service Named – April 7, 2021
- Informational Video Filmed – April 12, 2021

Next Steps (as of April 12, 2021):

- On Schedule for April 12, 2021
 - Kittelson Title VI Analysis Kickoff
- On Schedule for April 19, 2021
 - Info/Feedback Microsite Live (including videos and fact sheets)
 - Increased Advertising/Outreach

- Vehicle and Facility Signage
 - Public Feedback Open (4/19 – 6/25)
 - University Outreach Focus (to capture students while in school)
- On Schedule for Week of April 26, 2021
 - DCTA Facility Events Scheduled
 - DCTA Pop-Up Events Scheduled
 - Direct Mail Outreach (letters, newsletters, inserts)

Outreach Efforts:

- In-Person Events Scheduled to Date (Note: This is an ongoing effort and additional events are being scheduled daily)
 - Citizen's Advisory Team meeting – April 14
 - Colorpalooza Lewisville – April 17
 - Celebrate Trails – April 24
 - Denton County Commissioner's Court – April 27
 - Texas Tunes Lewisville – Dates TBD
 - Sounds of Lewisville – June 8 and June 15
 - Lewisville Chamber Lunch – June 25
 - Social Service Agency Roundtable – May 2
 - Cross Timbers Rotary – May 14
 - Lewisville Rotary – May 19

Recommendation

This is a progress report. No action is required.

Submitted by: Mary Worthington
Mary Worthington, Community Relations Manager

Approval: Nicole Recker
Nicole Recker, VP of Mobility Services and Administration

MEMORANDUM

TO: DCTA Board of Directors

FROM: Chris Giglio

DATE: April 15, 2021

SUBJECT: Federal Update

The following are highlights of recent federal transportation activity of interest for the Board of Directors:

Infrastructure Package

President Biden on March 13 unveiled a “fact sheet” on his proposed \$1.9 trillion infrastructure proposal, known as the “American Jobs Act.” It will be up to Congress to craft the legislative language for the plan.

The centerpiece of the proposal is \$621 billion for the transportation sector, including \$110 billion for public transit, \$115 billion for highways, roads, and bridges, and \$80 billion for commuter rail and Amtrak. The plan also proposes \$174 billion for “electrification” and related charging infrastructure of automobiles, buses, and trains.

The surprise in the President’s proposal is that the recommended transportation funding would be above and beyond any funding for existing highway and transit programs in a multi-year reauthorization of highway and transit programs (FAST Act) that expires in September.

While the President has been reaching out to Republicans for input on the plan, initial reaction indicates that Republicans are not supportive of a proposal as large as the President’s plan. Some have said they would like to limit the plan to highways, roads, bridges, and possibly water infrastructure.

The White House has suggested offsetting some of the cost of the package with an increase of the corporate tax rate from 21% to 28%, which represents another potential roadblock with Republicans.

Department of Transportation

The Department of Transportation recently gained a Deputy Secretary to serve under Secretary Pete Buttigieg. Polly Trottenberg, a former New York City Transportation Commissioner, was confirmed by the Senate on April 14.

Two days earlier, the President formally sent the nomination to the Senate of Nuria Fernandez as Federal Transit Administrator. Fernandez is currently acting as Deputy FTA Administrator and was formally of the Santa Clara Valley Transportation Agency in California and President of APTA.

DOT also recently released the notice of funding availability for a \$1 billion competitive grant program. The Rebuilding American Infrastructure with Sustainability and Equity (RAISE) program was created by the 2009 Recovery Act when it was then known by the acronym "TIGER." The Trump Administration then changed it to "BUILD." It is designed to fund large-scale transportation projects that are of regional or national significance.

As we have mentioned in the past, themes of climate change and racial equity have already shown to be priorities at DOT in this administration, and the BUILD program is expected to consider those themes priorities as well.

Pandemic Relief

The Federal Transit Administration recently released the allocations for the \$30.5 billion in assistance for public transit included in the American Rescue Plan, enacted on March 11. The DCTA allocation is \$14,073,192 and does not require any local match.

The funds must be obligated by September 30, 2024 and disbursed by September 30, 2029. The eligible uses of the funds are primarily payroll and operations, but conceivably could be used for capital expenses if the recipient can provide it had not furloughed any employees during the pandemic.

DCTA PRIORITY ACTIONS

Information Item 7, Exhibit 1



NOTES:

- Monthly briefings on all activities will be provided to both the DCTA and NTMC boards
- Proposed timing is dependent on individual initiative progress and board approvals



CBA-requested bid process (minimum of 45 days)



Roundtables with Member Cities to Review/Tweak Proposed Service Plan



Board of Directors Memo

April 22, 2021

SUBJECT: Regional Vanpool Program Modification Update

Background

DCTA's established Commuter Vanpool Program provides users with a comfortable, cost-effective and convenient way to get to and from work. The program is ideal for groups of six to 15 people and have been proven to reduce commuter stress, help the environment and save participants money spent on transportation.

A vanpool is coordinated by one person who volunteers to be the driver/coordinator of the vanpool. That driver/coordinator then rides free. The rest of the participants then share the cost of operating the vanpool. The vanpool group determines their daily schedule and route, including one or more designated pickup locations.

DCTA's Commuter Vanpool Program is operated by Enterprise Rideshare who owns the vans and provides insurance, maintenance, repairs, licenses, and registration. The program is a month-to-month arrangement where the driver/coordinator is required to provide Enterprise Rideshare a written notice 30 days prior to the termination of the month-to-month agreement.

The cost to Commuter Vanpool Program participants is as follows:

Monthly Lease Rate & Passenger Count

	MONTHLY LEASE RATE	MINIMUM PASSENGER COUNT	MAXIMUM PASSENGER COUNT
Chevy or Ford 8-Passenger Van	\$ 550.00	6	8
Chevy or Ford 15-Passenger Van	\$ 585.00	10	15
Toyota Sienna 8-Passenger Minivan	\$620.00	6	8
Nissan Pathfinder 7-Passenger Vehicle	\$685.00	6	7
Wheelchair Accessible Van	\$ 550.00	5	8

In the current vanpool program model, passengers can choose DCTA as their vanpool program of choice if (1) their vanpool group originates within DCTA's service area, or (2) their vanpool group is driving to a final destination within DCTA's service area.

In late 2020, the North Central Texas Council of Governments (NCTCOG) coordinated a meeting with all three transit agencies to discuss a regional vanpool program in lieu of each agency managing their own vanpool program. As part of this regional discussion, NCTCOG proposed three major modifications to the existing programs:

- Establish clear provider boundaries

- Address rider equity concerns through temporary and flexible subsidies
- Issue a regional cooperative vanpool procurement that can be utilized by all three transit agencies

All three agencies provided NCTCOG with the information they requested in an effort to move toward a regional program.

On March 26, 2021, NCTCOG provided an information item for the Surface Transportation Technical Committee (STTC), which is the first step in officially modifying the program for all three transit agencies.

Currently, NCTCOG is on schedule for the following:

Milestone	Estimated Timeframe
Meetings with Transit Authorities to review items	December 2020-February 2021
STTC Information	March 26, 2021
RTC Information	April 8, 2021
STTC Action	April 23, 2021
RTC Action	May 13, 2021
Implement Updated Vanpool Boundaries	Late Spring/Early Summer 2021
Issue Regional Cooperative Procurement	Late Summer 2021

DCTA's Commuter Vanpool Program will experience the following impacts as a result of the NCTCOG regional modification:

- DCTA's vanpool boundaries will change therefore requiring vanpool program participants to (1) originate in Denton County and travel throughout DFW, or (2) originate in Collin or Wise Counties and travel to Denton County

Transit Agency	Origination	Destinations
DART	Dallas, Ellis, Hunt, Kaufman, Navarro & Rockwall Counties	Throughout DFW
	Collin County	Throughout DFW except Denton County
Trinity Metro	Tarrant, Johnson, Parker, Hood, Erath, Somervell & Palo Pinto Counties	Throughout DFW
	Wise County	Throughout DFW except Denton County
DCTA	Denton	Throughout DFW
	Collin and Wise Counties	Denton County

- Our current vanpool count of 67 will be reduced by 29, and will gain one (1), resulting in a new vanpool count of 39



Vanpool Service Area Impact

	DART	DCTA	Trinity Metro
Current Vanpools*	13	67	53
Lose to DART		-24	-7
Lose to DCTA			-1
Lose to Trinity Metro	-2		
Non-Funded Vanpools**		-5	
Overall Loss	-2	-29	-8
Gain from DART			2
Gain from DCTA	24		
Gain from Trinity Metro	7	1	
Overall Gain	31	1	2
Final Vanpool #	42	39	47

* Vanpool numbers based on most recent lists provided by each agency

** Non-Funded Vanpools are defined as vanpools that operate completely outside of the region OR vanpools originating outside the state

- DCTA staff will be required to contact existing vanpool participants to make them aware of these changes. A total of five (5) existing vanpool groups will be considered “non-funded vanpools” and will no longer qualify for any vanpool program within the region.
- DCTA will be the first transit agency to utilize NCTCOG’s cooperative vanpool procurement to deliver vanpool program services. DCTA’s existing contract for vanpool services expires May 2022.

Financial Impact

DCTA’s current Commuter Vanpool Program is fully funded by a combination of federal funding and participant funding. Under the new program, this arrangement will remain the same. DCTA may see a slight impact to our existing federal apportionment due to the reduced number of vanpools within DCTA’s program.

Recommendation

This is an informational item only. No recommendation at this time.

Exhibits

Exhibit 1: Regional Transportation Council Presentation from April 8, 2021 (Vanpool Program Portion)

Submitted By: Nicole Recker

Nicole Recker, VP of Mobility Services and Administration

Regional Vanpool Program Modifications To Improve Overall Efficiency

REGIONAL TRANSPORTATION COUNCIL

APRIL 8, 2021

Background/ Overview

- NCTCOG and Transit Agencies Reviewed Current Program
- Several Areas Identified for Improvement
- Temporary Flexibility Needed During Transition to One Regional Program (no new funding needed)
- Goal
 - Improve Overall Efficiency & Effectiveness
 - Reduce Rider Confusion
 - Eliminate Unintended Competition Between Transit Agencies

Proposed Modifications

1. Establish Clear Provider Boundaries
2. Address Rider Equity Concerns Through Temporary Flexible Subsidies
3. Issue Regional Cooperative Vanpool Procurement: One Regional Program Administered by the Three Transit Agencies

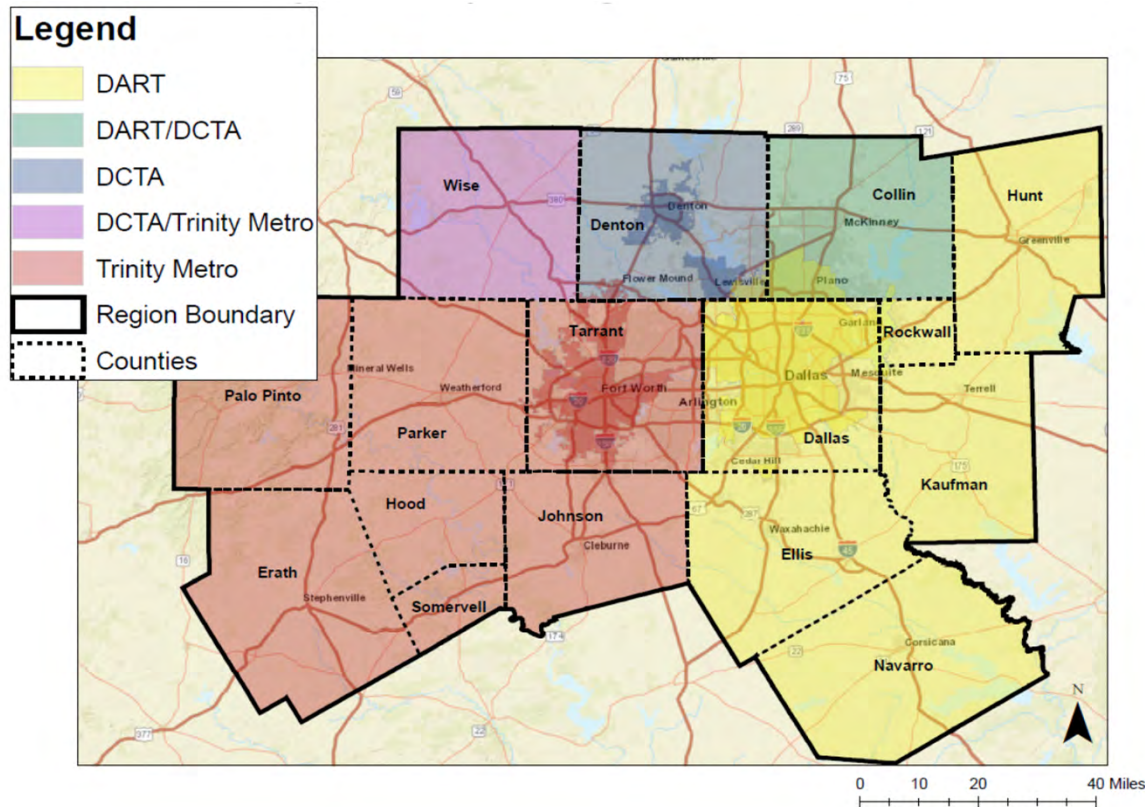
Boundary Modifications

Correct Funding Apportionments for Urbanized Areas

Eliminate Contested Trips

Deliver Consistent Messaging to Riders

Proposed Origination-Based Boundaries



Transit Agency	Origination	Destinations
DART	Dallas, Ellis, Hunt, Kaufman, Navarro & Rockwall Counties	Throughout DFW
	Collin County	Throughout DFW except Denton County
Trinity Metro	Tarrant, Johnson, Parker, Hood, Erath, Somervell & Palo Pinto Counties	Throughout DFW
	Wise County	Throughout DFW except Denton County
DCTA	Denton	Throughout DFW
	Collin and Wise Counties	Denton County

Proposed Temporary Subsidy Correction

Subsidy

- RTC currently subsidizes 30%-35% depending on funding year (decreases over time)
- Covers portion of program costs: staffing, vehicle lease cost, and emergency ride home services

Impact to Rider Cost

- Due to contract timing, subsidy disproportionate: variation on vendor costs to transit authorities, rider groups experience wide range of prices
- Seeking a temporary flexibility to subsidy to assist riders while NCTCOG pursues a Cooperative Regional Vanpool procurement with the transit providers
- No additional or new funding needed; funding previously approved by RTC will accommodate temporary fluctuations in subsidies

Regional Cooperative Procurement

Gain Consistency Between the Three Transit Agencies

Lower Costs for the Riders

Reduce Administrative Costs

Eliminate Confusion

Schedule

Milestone	Estimated Timeframe
Meetings with Transit Authorities to review items	December 2020-February 2021
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DCTA Board Agenda Outlook

UPDATED: 4/14/2021

MAY 27, 2021	JUNE 24, 2021	JULY 2021
<p><u>CONSENT</u></p> <ul style="list-style-type: none"> Approval of Minutes Monthly Financial Statements: (Monthly Financials, Capital Projects Budget Report) <p><u>INFORMATIONAL REPORTS</u></p> <ul style="list-style-type: none"> Monthly Financial Reports: (Sales Tax, MaaS Update, Budget Transfers) Ridership Trend Report Public Involvement Progress Report DCTA Priority Action Flowchart FY22 Healthcare Benefit Contract State & Congressional Legislative Updates Cooperative Procurement with Trinity Metro TRIP Annual Call for Project Submittals <p><u>REGULAR AGENDA</u> <u>Discussion Topics</u></p> <ul style="list-style-type: none"> Connect Route 3 & 7 Survey Data (tick marks) Trinity Metro Partnership Update (updated ILA and cost model/comparison) PMO Progress Report Local & Regional Transportation Updates and Legislative Issues Capital Edge Federal Legislative Update <p><u>Action</u></p> <ul style="list-style-type: none"> CCT/MUTD Contract Extension (through 12/31) IH MUTD Task Order Extension (through 12/31) DART ILA Modification for JROF and Regional Rail Opportunities (SB extension) Title VI Program Update Task Order Budget Amendment for Agency Title VI Program Update? Kittelson Task Order for KCS TOD Study Cooperative Procurement Agreement with Trinity Metro Confirm NTMC Board Appointments 	<p><u>CONSENT</u></p> <ul style="list-style-type: none"> Approval of Minutes Monthly Financial Statements: (Monthly Financials, Capital Projects Budget Report) <p><u>INFORMATIONAL REPORTS</u></p> <ul style="list-style-type: none"> Monthly Financial Reports: (Sales Tax, MaaS Update, Budget Transfers) Ridership Trend Report Public Involvement Progress Report DCTA Priority Action Flowchart State & Congressional Legislative Updates Fleet Disposal Plan, Contingency Plan & Special Movements Contingency Fleet Overview <p><u>REGULAR AGENDA</u> <u>Discussion Topics</u></p> <ul style="list-style-type: none"> Connect Route 3 & 7 Survey Data Trinity Metro Partnership Update DCTA Priority Action Update PMO Progress Report DART Partnership JROF & Regional Rail Opportunities Strategic Planning Guidance Report Workshop Local & Regional Transportation Updates and Legislative Issues - HillCo Legislative Session Wrap-up <p><u>Action</u></p> <ul style="list-style-type: none"> DBE goal for FY22, FY23, and FY24 TRIP Annual Call for Projects Approval of FY22 Healthcare Benefit Contract ILA with Trinity Metro for Joint Bus Operations and Maintenance 	<p><u>CONSENT</u></p> <ul style="list-style-type: none"> Approval of Minutes <p><u>INFORMATIONAL REPORTS</u></p> <ul style="list-style-type: none"> Monthly Financial Reports: (Sales Tax, MaaS Update, Budget Transfers) Ridership Trend Report DCTA Priority Action Flowchart State & Congressional Legislative Update <p><u>REGULAR AGENDA</u> <u>Discussion Topics</u></p> <ul style="list-style-type: none"> Trinity Metro Update PMO Progress Report (Chris Newport) DART Partnership JROF & Regional Rail Opportunities Connect Route 3 & 7 Survey Agency Quarterly Updates PMO Progress Report (PLEASE ADD TO FUTURE AGENDAS; THROUGH JAN 2022) Local & Regional Transportation Updates and Legislative Issues <p><u>Action</u></p> <ul style="list-style-type: none"> Monthly Financial Statements June: (Monthly Financials, Capital Projects Budget Report) Quarterly Investment Report Quarterly Grants Report Budget Amendment Via TO for Microtransit On-Demand Service Delivery Final Microtransit On-Demand Service Plan (Title VI Analysis and Public Involvement) New Fare Structure (if required)