



AGENDA

Mason Transit Authority Board
Regular Meeting
December 17, 2019, 4:00 p.m.
Mason Transit Authority
to be held at the following location:
*Transit-Community Center
601 West Franklin Street
Shelton*

OPENING PROTOCOL

CALL TO ORDER
ROLL CALL AND DETERMINATION OF QUORUM
ACCEPTANCE OF AGENDA – *ACTION*

PUBLIC COMMENT

INFORMATIONAL PRESENTATION

Chief Beau Bakken of North Mason Regional Fire Authority

RECOGNITION OF BOARD MEMBER POGREBA

CORRESPONDENCE

CONSENT AGENDA – ACTION

1. Pg. 003: Approval of Minutes: Approval of the minutes of the November 19, 2019 MTA regular Board meeting.
2. Pg. 006: Financial Reports: November, 2019
3. Pg. 013: Check Approval: November 14 - December 11, 2019

REGULAR AGENDA

UNFINISHED BUSINESS:

1. Pg. 022: 2020 Budget for Approval – Resolution No. 2019-30 – *ACTIONABLE* (LeeAnn)
2. Pg. 043: Final view of 2020 Regular Meeting Calendar – Resolution No. 2019-32 – *ACTIONABLE* (Tracy)
3. Pg. 048: Strategic Plan – *DISCUSSION* (Danette)

NEW BUSINESS:

1. Pg. 060: Service Animal and Pets Policy (POL-508) – Resolution No. 2019-33 – *ACTIONABLE* (Mike)
2. Pg. 066: No-Show Policy (POL 509) – Resolution No. 2019-34 – *ACTIONABLE* (Mike)
3. Pg. 071: Public Records Request Policy (POL-205) – Resolution No. 2019-35 – *ACTIONABLE* (Tracy)
4. Pg. 080: Records Management Policy (POL-206) – Resolution No. 2019-36 – *ACTIONABLE* (Tracy)

5. Pg. 088: MTA Ridership Incentive Policy (POL-201) – Resolution No. 2019-37 – *ACTIONABLE* (LeeAnn)
6. Pg. 097: Paid Family & Medical Leave (PFML) Policy (POL-311) – Resolution No. 2019-38 – *ACTIONABLE* (LeeAnn)
7. Pg. 104: Update to Shared Leave (POL-200) – Resolution No. 2019-39 – *ACTIONABLE* (LeeAnn)
8. Pg. 113: Employee Recognition Policy (POL-302) – Resolution No. 2019-40 – *ACTIONABLE* (LeeAnn)
9. Pg. 123: Surplus Computer Equipment– Resolution No. 2019-41 – *ACTIONABLE* (Danette)
10. Pg. 127: Park & Ride Project – Change Orders – *ACTIONABLE* (Danette)
11. Pg. 128: Update to Procurement Policy (POL-407) Resolution No. 2019-42 – *ACTIONABLE* (LeeAnn)

INFORMATIONAL

Reports

1. Pg. 190: Park and Ride Update
2. Pg. 192: Management Reports
3. Pg. 199: 2019 Accomplishments Report

GENERAL MANAGER'S REPORT

COMMENTS BY BOARD

PUBLIC COMMENT

ADJOURNMENT

UPCOMING MEETINGS:

MTA Board Meeting

**Mason Transit Authority
Regular Meeting
January 21, 2020 at 4:00 p.m.
Transit-Community Center
601 West Franklin Street
Shelton**

All participants are welcome. The meeting locations are ADA accessible. If you anticipate needing any type of accommodation or have questions about the physical access provided, please call 360-426-9434 in advance. We will make every effort to meet accommodation requests.



OPENING PROTOCOL

CALL TO ORDER: 4:19 p.m.

Authority Voting Board Members Present: Randy Neatherlin, Chair (by phone); Wes Martin, Vice Chair; Kevin Dorcy, Deb Petersen and Don Pogreba. **Quorum met.**

Authority Voting Board Members Not Present: John Campbell, Kevin Shutty, Sandy Tarzwell and Sharon Trask.

Authority Non-voting Board Member Not Present: Greg Heidal, Business Representative, IAM and AW, District Lodge 160.

Citizen Advisor to the Board Present: John Piety

Others Present: Tracy Becht, Clerk of the Board; Danette Brannin, General Manager; LeeAnn McNulty, Administrative Services Manager; Mike Ringgenberg, Operations Manager and Marshall Krier, Maintenance and Facilities Manager.

ACCEPTANCE OF AGENDA

Moved that the agenda for the November 19, 2019 Mason Transit Authority (MTA) regular board meeting be amended to only the Consent Agenda items 1-3, Unfinished Business Item 1 and New Business Item 1. **Petersen/Neatherlin. Motion carried.**

PUBLIC COMMENT – None – no public in attendance.

CONSENT AGENDA

Moved to approve Consent Agenda items 1 – 3, as follows:

1. **Moved** to approve the draft minutes of the MTA Board regular meeting of October 15, 2019.
2. **Moved** that the Mason Transit Authority Board approve the financial reports for October 2019 as presented.

3. **Moved** that the Mason Transit Authority Board approve the payments of October 11, 2019 through November 13, 2019 financial obligations on checks #33361 through #33449, as presented for a total of \$784,925.00.

Petersen/Pogreba. Motion carried.

REGULAR AGENDA

UNFINISHED BUSINESS

1. **Maintenance Collective Bargaining Agreement** – Danette Brannin, General Manager, indicated that since the October 15 Board meeting, the collective bargaining unit had met, ratified and approved the agreement and that it was now being brought to the Board for consideration and approval. Ms. Brannin also described that the wages and comparables were researched prior to negotiations, as well as payment of ASE certification. **Moved** that the Mason Transit Authority Board approve the agreement for the Maintenance group between Mason Transit Authority and the International Association of Machinists and Aerospace Workers District Lodge 160 for the period of September 1, 2019 through August 31, 2022 and approve Resolution No. 2019-29 authorizing the General Manager to sign the Agreement. **Neatherlin/Pogreba. Motion carried.**

NEW BUSINESS

1. **Consolidated Grant PTD0081 for Capital Projects** – Ms. Brannin described to the Board the four projects covered by the capital projects grant and fiscal impact on MTA. She also indicated that MTA's legal counsel had reviewed the agreement. **Moved** that the Mason Transit Authority Board approve Resolution No. 2019-31 that approves the Capital Grant Agreement PTD0081 and authorizes the General Manager to sign that Agreement. **Pogreba/Petersen. Motion carried.**

PUBLIC COMMENT – [None - no public in attendance].

Moved that the meeting be adjourned.

ADJOURNED 4:29 p.m.

UPCOMING MEETINGS AND PUBLIC HEARINGS

Public Hearings:

Proposed 2020 Budget

**MTA Administration Building, Conference Room,
790 East Johns Prairie Road in Shelton, Washington
Tuesday, December 10, 2019
4:00 PM**

Service Changes

**MTA Transit-Community Center, Conference Room,
601 West Franklin Street in Shelton, Washington
Tuesday, December 10, 2019
6:00 PM**

(Community Conversations to begin immediately after public hearing)

**North Mason Timberland Library, Meeting Room
23081 NE State Route 3, Belfair, Washington
Wednesday, December 11, 2019
6:00 PM**

(Community Conversations to begin immediately after public hearing)

MTA Board Meeting

**Mason Transit Authority
Regular Meeting
December 17, 2019 at 4:00 p.m.
Transit-Community Center
601 West Franklin Street
Shelton**

DRAFT

Mason Transit Authority Regular Board Meeting

Agenda Item: Consent Agenda – Item 2 – *Actionable*
Subject: Financial Reports – November 2019
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Summary for Discussion Purposes:

Included are November's Financial Reports with a breakout of T-CC revenue and expenses that shows cost allocation between Transit and Community Center.

Highlights:

Sales Tax Revenue

Sales tax revenue for September 2019 (received November 30, 2019) was \$504,696, 14% higher than September 2018, sales tax revenue is currently 17% higher YTD 2019 over 2018.

Year-to-Date Revenue & Expenses

It is expected that YTD revenue and expenses would be at 91.67% (11/12) of the budget through the end of November. Total YTD Revenue is over budget at 115.49% largely due to favorable sales tax. In addition to favorable sales tax, higher operating grant revenue is primarily the result of inserting received sales tax equalization dollars in to the operating grant. Total YTD Operating Expenses are under budget at 84.01% after excluding \$146,071 of operating expenses covered by capital grants.

Fiscal Impact:

November's fiscal impact reflects total revenues of \$588,522 and operating expenses of \$742,939 for a net deficit of \$154,417. The net deficit is due to November having three payrolls in the month rather than the regular two.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve the financial reports for the period of November 2019, as presented.

Mason Transit Authority Statement of Financial Activities

December 2019 Board Report

% through the year: 91.67%

November Statement of Financial Activities

	November Actual	2019 YTD Actual	2019 Budget	Notes	Percentage of Budget Used
Revenue					
Passenger Fares	\$ 6,971	\$ 88,643	\$ 103,500		85.65%
PSNS Worker/Driver & Vanpool Fares	19,196	221,581	265,000		83.62%
Total Operating Revenue (Fares)	26,167	310,224	368,500		84.19%
Sales Tax	274,104	4,715,747	3,936,179	(1)	119.81%
Operating Grants	254,107	3,515,053	3,189,554	(2)	110.21%
Rental Income	14,880	161,326	143,227		112.64%
Investment Income	15,437	165,116	45,000		366.92%
Other Non-operating Revenue	3,827	234,923	199,233	(3)	117.91%
Total Revenue	588,522	9,102,389	7,881,693		115.49%
Expenses					
Wages and Benefits	627,523	4,946,975	5,919,743		83.57%
Contracted services	12,210	208,212	208,223		99.99%
Fuel	36,321	351,675	400,250	(4)	87.86%
Vehicle/Facility Repair & Maintenance	18,592	318,497	351,750	(5)	90.55%
Insurance	19,623	215,854	235,477		91.67%
Intergovernmental - Audit Fees	-	31,649	31,000		102.09%
Rent - Facilities and Park & Ride	2,440	26,840	32,000		83.88%
Utilities	10,573	115,642	139,781		82.73%
Supplies & Small Equipment	7,112	246,634	131,720	(5)	187.24%
Training & Meetings	1,900	36,497	74,705		48.85%
Other operating expenses	6,645	115,861	174,863	(6)	66.26%
(Less Operating Expenses Covered by Capital Grants)	-	(146,071)		(5)	
Total Operating Expenses	742,939	6,468,265	7,699,512		84.01%
Net Income (Deficit) from Operations	\$ (154,417)	\$ 2,634,124	\$ 182,181	(8)	
Pooled Reserves	120,550	1,359,334	120,000	(7)	1132.78%

NOTES

- (1) Monthly sales tax amounts are based upon seasonally-adjusted budget accruals and may not reflect the Percentage of Budget Used.
- (2) Operating grant revenue equals Q1, Q2, Q3, October 2019's actuals and November's accrual.
- (3) Includes Q1 and Q2 2019's RMG actuals - \$113,000, LMTAAA Volunteer program revenue - \$31,551, Volunteer Donations - \$935, Sale of Maintenance Services \$4,257, Sale of Bus ads \$25,495, Community Van - \$6,199.
- (4) Average diesel price per gallon year to date is \$2.39. Average gasoline price per gallon year to date is \$2.86.
- (5) \$146,071 of operating expenses will be recovered by capital revenue: \$74,159 relate to the JP Roof Replacement Grant for repairing the JP building roofs, purchasing cooling fans, solar lights for shelters, and repaving JP's bus park lot; \$1,301 relates to purchases for the TCC TAP Grant to setup cell phone chargers at the TCC; \$62,417 relates to tech purchases such as new desktops, software, monitors for all users; \$2,802 relates to record retention purchases funded by an OSOS Grant; \$5,392 relates to the purchase of a compressor and plow funded by the Vehicle Replacement Grant.
- (6) Includes budget line items from CDL Testing, Bank Charges, Copier lease, Advertising/Promotion, Volunteer Driver Reimbursement/Dues, Memberships, Subscriptions/Unemployment Insurance). Expenses through the year include: Unemployment Insurance \$9,092, Volunteer Driver Program reimbursements \$32,280, Advertising \$20,657, Merchant/credit card fees \$6,499, Office Equipment Lease \$4,389, Dues, Memberships, Subscriptions \$31,322, plus other misc. expenses.
- (7) Pooled Reserves is the amount of actual sales tax money received for 2019 in excess of the 2019 budgeted amount. The 2019 YTD Actual amount is not an expenditure and represents the amount put to cash
- (8) There is a net deficit for November due to there being three paydays in the month instead of the regular two due to the timing of our bi-weekly payrolls.

Mason Transit Authority Statement of Financial Activities - TCC

December 2019 Board Report

November Statement of Financial Activities

% through the year: 91.67%

	2019 November Actual	2019 YTD Actual	2019 Budget	Notes	% of Budget Used	YTD - Community Center	YTD - Transit Operations
Revenue							
T-CC Rental	\$ 13,250	\$ 143,400	\$ 125,630		114.14%	\$ 143,400	\$ -
Other Revenue	-	179	-			179	-
Total Revenue	13,250	143,579	125,630		114.29%	143,579	-
Expenses							
Wages and Benefits	14,676	120,555	132,383		91.07%	120,555	-
Contracted services	90	5,336	11,200		47.64%	4,520	816
Repair & Maintenance	34	14,434	14,500	(1)	99.54%	11,464	2,970
Insurance	1,306	14,367	15,673		91.67%	14,367	-
Utilities	4,014	41,262	48,370		85.30%	29,306	11,956
Supplies & Small Equipment	1,028	13,125	14,295	(2)	91.82%	7,748	5,377
Training & Meetings	-	-	450		0.00%	-	-
Other Operating Expenses	-	1,202	3,400		35.35%	1,142	60
(Less Operating Expenses Covered by Capital Grants)	-	(4,216)		(2)		(4,216)	
Total Operating Expenses	21,148	206,065	240,271		85.76%	184,886	21,179
Net Income (Deficit) from Operations	\$ (7,898)	\$ (62,486)	\$ (114,641)			\$ (41,307)	\$ (21,179)

(1) The TCC was powerwashed in June - the expense relating to this was for \$3,966, which brings this line over-budget.

(2) \$4,216 of Supplies & Small Equipment relates to the purchase of a snow plow to clear the platform and bus lane at the TCC, it will be reimbursed through the consolidated operating grant.

Mason Transit Authority Cash and Investments

December 2019 Board Report

Cash Balances

	10/31/2019	11/30/2019	Change
Cash - MC Treasurer	1,364,621.53	1,491,065.19	126,443.66
Investments - MC Treasurer	8,869,104.63	9,869,104.63	1,000,000.00
Payroll - ACH Columbia Bank	309,559.47	200,000.03	(109,559.44)
Petty Cash/Cash Drawers	500.00	500.00	-
TOTAL	\$ 10,543,785.63	\$ 11,560,669.85	\$ 1,016,884.22

Cash Encumbrances

Grant Related:

Two (2) Hybrid Coaches for Worker/Driver Program 20% Match	296,538
Two (2) Diesel 40' Coaches 25% Match	301,015
Nine (9) Cutaway Replacement Vehicles 25% Match	244,401
Park & Ride Development Project RMG 2015-2019 Match	950,000
Parking Lot (DOE Grant)	102,500
Total Grant Match	1,894,454

Reserves:

Total Grant Match	1,894,454
General Leave Liability	170,568
Emergency Operating Reserves	2,000,000
Facility Repair Reserve	150,000
Emergency/Insurance Reserves	100,000
Operating Grant Match Reserve	689,038
Future Operating Reserves	2,018,316
Capital Project Reserves ¹ /Belfair Roundabout	1,206,728
Fuel Reserves	120,000
IT Investments	20,000
Total Encumbered	8,369,104

Total of Cash	\$ 11,560,669.85
Less Encumbrances	\$ 8,369,104.00
Undesignated Cash Balance Total (Including Reserves)	\$ 3,191,565.85
Investments - MC Treasurer (Reserves)	\$ 9,869,104.63
Less Encumbrances	\$ 8,369,104.00
Undesignated Cash Reserves	\$ 1,500,000.63

1. Capital Project Reserves: Sales Tax Revenue received in excess of the budgeted amount. Reserves have been applied to two hybrid coaches, two diesel coaches, and nine cutaway replacements.

Mason Transit Authority Capital Budget

December 2019 Board Report

As of November 30, 2019

Capital Projects	Budget	Grants	MTA Funding	YTD	Project Costs to Date	Purpose
IT Items	\$ 125,000	\$ 125,000	\$ -	\$ 137,011	\$ 137,011	Server/Desktop Replacements - Overage funded from Technology Grant
T-CC Parking Lot	360,722	257,125	102,500	2,331	5,615	Parking lot behind TCC
Park & Ride Development - 2015-2019 RMG Funds	6,371,134	5,617,000	950,000	475,450	2,098,365	Construct Belfair P&R; upgrade other P&Rs
Scissor Lift - TCC	15,000	-	15,000	-	-	Lift for atrium and gymnasium maintenance
TCC Sound System	10,000	-	10,000	-	-	Improve sound system in gym
HVAC Units	50,000	-	50,000	-	-	Replace units Buildings 1 and 2
Brake Caliper Tool	20,000	-	20,000	-	-	Support tool for coaches
Roof Replacement	250,000	250,000	916	250,000	250,916	Replace roofs on buildings 3 and 4 at JP and other facility projects
Paint Exterior - JP Buildings	120,000	120,000	-	-	-	Paint JP Buildings - contingent on sales tax equalization
TCC Transit Office Remodel	150,000	150,000	-	-	-	Reconfigure Operations Transit Office - contingent on sales tax equalization
Passenger Amenities and Signage at Stops	80,000	69,200	10,800	16,194	77,105	Amenities and Signage for Bus Shelters. Expendable until June 30, 2019
Video Storage Upgrade	68,000	-	68,000	50,181	50,181	Upgrade Angeltrax - contingent on sales tax equalization
Total Miscellaneous Capital Projects	7,619,856	6,588,325	1,227,216	931,167	2,619,193	
2 Worker Driver Coaches	1,779,228	1,482,690	296,538	-	-	Replace low SGR ranking coaches
2 40' Coaches, 9 Cutaways	1,972,468	1,427,052	545,416	-	-	Replace low SGR ranking coaches and Cutaways
Staff Vehicles	105,000	105,000	-	104,070	104,070	To replace staff car and maintenance pickup
Total Vehicle Replacements	3,856,696	3,014,742	841,954	104,070	104,070	
Total Capital Projects	\$ 11,476,552	\$ 9,603,067	\$ 2,069,170	\$ 1,035,237	\$ 2,723,263	

Cash encumbered for Granted Related MTA Match Portion - \$1,894,454.

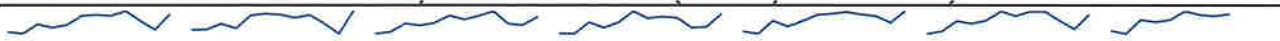
Capital Project Reserves - \$1,113,302 (Sales tax revenue above budgeted amount set aside in Capital Project Reserves monthly.)

Mason Transit Authority Sales Tax Receipts

December 2019 Board Report

Sales Tax Collected as of 11/30/2019 for 9/30/2019

Monthly Cash-Flow Trend (January - December)

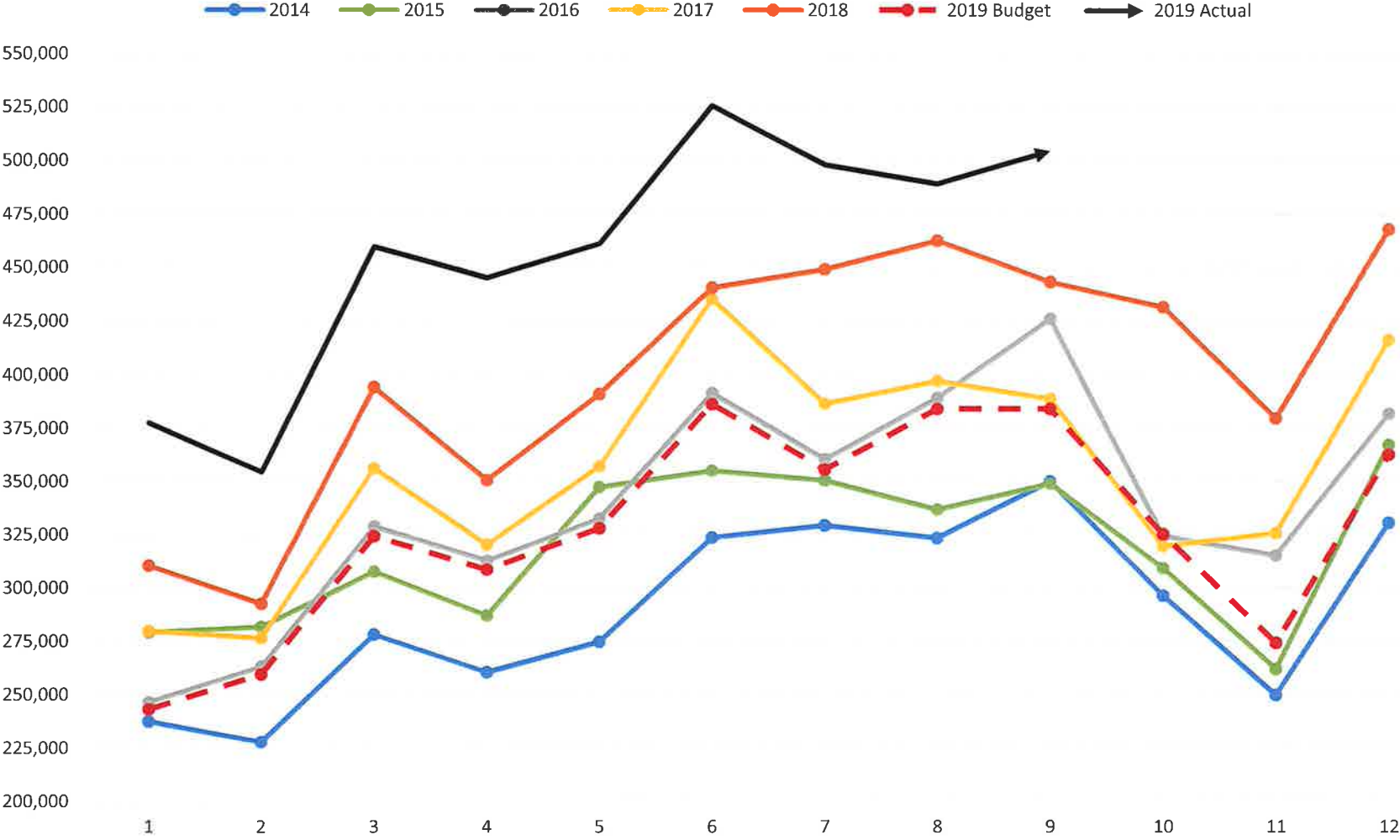


	2014	2015	2016	2017	2018	2019 Budget	2019 Actual	2019 Budget Variance	% Change 2018 - 2019 Actual
January	237,528	279,122	246,415	279,777	310,547	243,216	377,689	55%	22%
February	227,815	281,559	262,925	276,310	292,604	259,512	354,467	37%	21%
March	278,053	307,482	328,665	356,214	394,293	324,400	459,822	42%	17%
April	260,396	286,903	312,635	320,241	350,586	308,577	445,171	44%	27%
May	274,641	347,236	332,428	357,049	391,052	328,114	461,236	41%	18%
June	323,498	354,920	391,485	435,445	440,606	386,405	525,839	36%	19%
July	329,201	350,290	360,375	386,531	449,080	355,698	498,248	40%	11%
August	323,336	336,522	389,222	397,061	462,622	384,171	489,291	27%	6%
September	349,872	348,805	426,039	388,845	443,327	384,146	504,696	31%	14%
October	296,170	309,042	324,125	319,477	431,530	325,183			
November	249,648	261,713	314,996	325,586	379,605	274,104			
December	330,297	367,053	381,623	416,254	467,960	362,654			
	3,480,456	3,830,645	4,070,933	4,258,790	4,813,813	3,936,179	4,116,460		

Budget Variance Average - YTD 39%

% Change 2018 vs 2019 Actual Average - YTD 17%

Monthly Sales Tax Trend



Mason Transit Authority Board Meeting

Agenda Item: Consent Agenda – Item 3 – ***ACTION***
Subject: Check Approval
Prepared by: Brian Phillips, Accounting Supervisor
Approved by: LeeAnn McNulty, Administrative Services Manager
Date: December 17, 2019

Summary for Discussion Purposes:

Disbursements:

- *Mason County PUD 3
 - Check #33523 – \$77,470.95 – Park & Ride Project
- *SCJ Alliance
 - Check #33487 – \$16,602.65 – Park & Ride Project

*Disbursements grant eligible.

November Fuel Prices: Diesel \$2.55 Unleaded \$2.77

General Manager Travel Expenditures:

- Training - Management of Transit Construction Projects
- WSTA 4th Qtr. Board Meeting & SMTA Meeting

Check Disbursement Fiscal Impact:

\$642,939.67

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve the payment of November 14, 2019 through December 11, 2019 financial obligations on checks #33450 through #33551, as presented for a total of \$642,939.67.



Mason Transit Authority
December 17, 2019 Disbursement Approval

The following checks for the period of November 14, 2019 through December 11, 2019 have been audited and processed for payment by the Finance Department in accordance with RCW 42.24.080 and are hereby recommended for Mason Transit Authority Board approval. Supporting invoices are in the Finance Department for review.

Description Accounts Payable Checks	Check Numbers 33450 - 33551	Total Amount \$642,939.67
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Included within the checks were:		
	Check #	Amount
Payroll & DRS – 11/29/2019	33511	188,159.81
Payroll & DRS – 12/11/2019	33551	178,811.02
Mason County PUD 3	33523	77,470.95
SCJ Alliance	33487	16,602.65
<i>Void: Northwest Administrators</i>	<i>33509</i>	-

Submitted by:  Date: 12/11/19
 Brian Phillips, Accounting Supervisor

Approved by:  Date: 12-11-19
 LeeAnn McNulty, Administrative Services Manager

Mason Transit Authority Check Register

December 2019 Board Report

Activity From 11/14/2019 Through 12/11/2019

Document Date	Check #	Vendor Name	Amount
11/20/2019	33450	Advance Glass	\$ 449.12
11/20/2019	33451	AIG Retirement	326.21
11/20/2019	33452	Allstream	170.13
11/20/2019	33453	Aramark	611.65
11/20/2019	33454	Judy Arms	187.34
11/20/2019	33455	Mick Baker	298.12
11/20/2019	33456	Bridge Church	90.00
11/20/2019	33457	Belfair Water District #1	178.07
11/20/2019	33458	Berg Marketing Group	1,319.44
11/20/2019	33459	Fran Cavaille	58.58
11/20/2019	33460	Cascade Natural Gas	1,611.61
11/20/2019	33461	Commercial Brake & Clutch, Inc.	242.82
11/20/2019	33462	Walter Cothran	232.00
11/20/2019	33463	Cummins Northwest, LLC	1,672.65
11/20/2019	33464	Gene Currier	815.30
11/20/2019	33465	Department of Ecology	1,116.78
11/20/2019	33466	EMC - Mason Transit	134.80
11/20/2019	33467	FSX Equipment, Inc.	257.45
11/20/2019	33468	FuelCare, Inc	542.50
11/20/2019	33469	Gillig, LLC	129.76
11/20/2019	33470	Carolyn Gravatt-Bowles	1,119.38
11/20/2019	33471	Robert W. Johnson, PLLC	1,600.00
11/20/2019	33472	Kitsap Transit	2,702.99
11/20/2019	33473	Les Schwab	3,665.01
11/20/2019	33474	Mason County Garbage, Inc.	723.81
11/20/2019	33475	Mason County PUD #3	3,040.72
11/20/2019	33476	Mason County Utilities/Waste Management	96.00
11/20/2019	33477	Mason County Wood Recyclers	15.00
11/20/2019	33478	Cheryl Moore	96.86
11/20/2019	33479	Mountain Mist Water	193.85
11/20/2019	33480	Judy Nicholson	48.72
11/20/2019	33481	Northridge Properties, LLC	1,500.00
11/20/2019	33482	Pacific Office Automation	278.34
11/20/2019	33483	Pitney Bowes Purchase Power	171.00
11/20/2019	33484	Builders FirstSource	21.73
11/20/2019	33485	Julia Rene Roberts	80.04
11/20/2019	33486	Schetky Northwest Sales, Inc.	141.20
11/20/2019	33487	SCJ Alliance	16,602.65

Mason Transit Authority Check Register

December 2019 Board Report

Activity From 11/14/2019 Through 12/11/2019

Document Date	Check #	Vendor Name	Amount
11/20/2019	33488	Seattle Automotive Distributing	613.33
11/20/2019	33489	Mason County Journal	52.00
11/20/2019	33490	The Shoppers Weekly	2,892.05
11/20/2019	33491	Smmarsh	648.00
11/20/2019	33492	South Sound Investment Properties, LLC	300.00
11/20/2019	33493	Staples Business Advantage	696.48
11/20/2019	33494	Titus-Will	253.74
11/20/2019	33495	United Way of Mason County	45.00
11/20/2019	33496	Verizon Wireless	417.06
11/20/2019	33497	Voyager Fleet Systems, Inc.	7,132.64
11/20/2019	33498	Washington Department of Corrections	637.98
11/20/2019	33499	Westbay Auto Parts	709.31
11/20/2019	33500	Westcare Clinic, Inc.	170.00
11/20/2019	33501	Whisler Communications	1,746.31
11/20/2019	33502	Robert Williams	180.96
11/20/2019	33503	AWorkSAFE Service, Inc.	362.00
11/20/2019	33504	Washington State Park and Recreation Commissio	150.00
11/20/2019	33505	Washington State Transit Association	115.00
11/20/2019	33506	ZEP Manufacturing Company	1,012.53
11/25/2019	33507	Aflac	715.98
11/25/2019	33508	LegalShield	157.45
11/25/2019	33509	Northwest Administrators	<i>Void</i>
11/26/2019	33510	Northwest Administrators	93,200.49
11/27/2019	33511	Mason Transit Authority - ACH Account	188,159.81
12/4/2019	33512	Advance Glass	154.26
12/4/2019	33513	AIG Retirement	150.24
12/4/2019	33514	Ecolube Recovery, LLC dba American Petroleum E	313.29
12/4/2019	33515	Associated Petroleum Products, Inc.	23,536.34
12/4/2019	33516	Aramark	155.70
12/4/2019	33517	Cascade Natural Gas	175.15
12/4/2019	33518	Cummins Northwest, LLC	384.32
12/4/2019	33519	EMC - Mason Transit	129.80
12/4/2019	33520	Gillig, LLC	488.25
12/4/2019	33521	Hood Canal Communications	1,818.04
12/4/2019	33522	Les Schwab	2,542.29
12/4/2019	33523	Mason County PUD #3	77,470.95
12/4/2019	33524	Mathis Exterminating	146.48
12/4/2019	33525	Mountain Mist Water	77.82

Mason Transit Authority Check Register

December 2019 Board Report

Activity From 11/14/2019 Through 12/11/2019

Document Date	Check #	Vendor Name	Amount
12/4/2019	33526	Mood Media	108.36
12/4/2019	33527	Office Depot, inc.	466.84
12/4/2019	33528	Olympic Lock & Key	2.19
12/4/2019	33529	O'Reilly Auto Parts	21.12
12/4/2019	33530	Builders FirstSource	30.00
12/4/2019	33531	Schetky Northwest Sales, Inc.	37.02
12/4/2019	33532	Staples Business Advantage	266.73
12/4/2019	33533	Summit Law Group	457.30
12/4/2019	33534	Titus-Will	244.71
12/4/2019	33535	Tozier Brothers, Inc.	74.01
12/4/2019	33536	United Way of Mason County	39.00
12/4/2019	33537	Westbay Auto Parts	925.11
12/4/2019	33538	Washington State Transit Association	165.00
12/11/2019	33539	Judy Arms	233.74
12/11/2019	33540	Mick Baker	539.40
12/11/2019	33541	Fran Cavaille	269.12
12/11/2019	33542	Comcast	192.37
12/11/2019	33543	Gene Currier	498.90
12/11/2019	33544	Carolyn Gravatt-Bowles	766.40
12/11/2019	33545	Cheryl Moore	223.50
12/11/2019	33546	Nancy C. Murphy	110.78
12/11/2019	33547	Judy Nicholson	59.16
12/11/2019	33548	Southgate Fence, Inc.	2,148.73
12/11/2019	33549	U.S. Bank	5,744.28
12/11/2019	33550	Robert Williams	52.20
12/11/2019	33551	Mason Transit Authority - ACH Account	178,811.02
Total			<u>\$ 642,939.67</u>

Mason Transit Authority Credit Card Activity

December 2019 Board Report

November Activity

GL Title	Transaction Description	Expenses
Parts Inventory	Speedtech Lights - Ops van light bar	\$ 74.78
Uniform Allowance	Shelton Outfitters - Rain gear	27.17
Employee Recognition	Successories - Board Member Recognition	43.50
Postage	Shelton Mail & Ship - Return broken part	36.74
Postage	Shelton Mail & Ship - Return wrong part	23.05
Facility Repair/Maintenance	Amazon - Vinyl letters for new kiosk	2.36
Facility Repair/Maintenance	Amazon - Vinyl letters for new kiosk	5.78
Facility Repair/Maintenance	Amazon - Yard Hydrant Repair Kit	18.43
Facility Repair/Maintenance	Door Closers - Replacement door BLDG 1	1,098.10
Facility Repair/Maintenance	Green Light Depot - LED Replacement lamps	57.51
Facility Repair/Maintenance	Henrich Inc - Diesel pump hose clamp	31.08
Facility Repair/Maintenance	JM Ellsworth - Diesel pump hose kit	532.92
Facility Repair/Maintenance	JM Ellsworth - Diesel Pumps Breakaways	33.57
Facility Repair/Maintenance	Tractor Supply - Yard Hydrant & PVC	8.13
Facility Repair/Maintenance	Tractor Supply - Yard Hydrant & PVC	48.81
Facility Repair/Maintenance	Walmart - Light bulbs	10.81
Office Supplies	McLendons - Stacking drawers	67.23
Cleaning/Sanitation Supplies	Cut Rate Vacuum - Cleaning supplies	7.64
Cleaning/Sanitation Supplies	Walmart - Cleaning Supplies	5.66
Shelter Supplies	Lowes - Trash cans for shelters	48.39
IT Equipment	Amazon - Connector Kiosk	17.35
IT Equipment	Amazon - HDMI Cable Kiosk	7.58
IT Equipment	Amazon - Mailbox Kiosk	30.91
IT Equipment	Amazon - Power cord Kiosk	10.83
IT Equipment	Amazon - Powerstrip	75.94
IT Equipment	Amazon - Wire Loom Kiosk	12.36
IT Equipment	Amazon - Wireless Mouse	10.85
IT Equipment	Walmart - Portable Battery	41.28
Small Tools & Equipment	Cleaning Equipment Direct - Brush for scrubber	454.00
Small Equipment & Furniture	Lowes - TCC Ops Appliances	1,044.54
Small Equipment & Furniture	Walmart - New fridge TCC drivers	183.87
Garbage	Mason County Landfill - CC Fee	2.00
Garbage	Mason County Landfill - Trash Disposal	16.73
Veh License/Registration Fee	Mason County License - New plates	60.00
Dues, Memberships, Subscriptions	MRSC - Annual subscription	135.00
Dues, Memberships, Subscriptions	Network Solutions - Domain	78.09 GM
Travel & Meeting Expense MTA	Best Western - Lodging for training	105.41
Travel & Meeting Expense MTA	Best Western - Lodging for training	105.41
Travel & Meeting Expense MTA	Enzian Inn - WSTA/SMTA Meetings	213.88 GM
Travel & Meeting Expense MTA	MT Cup - Strategic planning lunch meeting	16.00
Advertising/Promotion Media	Anypromo - Glow in the dark logo bracelets	243.30
Advertising/Promotion Media	Anypromo - Logo flashlights	147.29
Passenger Parking Facilities	Glacier - Belfair Parking	550.00
Total		<u>\$ 5,744.28</u>



PURCHASE LOG

Name: Danette Brannin

Date Submitted

Department: Admin

12/2/19

Manager's Approval: _____

Finance Use
Only

DATE	VENDOR	PURPOSE	AMOUNT	RECEIPT (Y/N)	DEPARTMENT	CODING	FINANCE DEPARTMENT REVIEW
11/22/19	Enzian Inn	WSTA/SMTA Mtgs	\$213.88	Y	Admin	509021-10	
11/16/19	Network Solutions	Domain	\$78.09	Y	IT	509080-10	

TOTAL \$ 291.97

Don't forget to attach original receipts

Signature: Date: 12/2/19

I hereby certify under penalty of perjury that this is a true and correct claim for necessary purchases or expenses on behalf of MTA and that no payment has been received by me on account thereof.

MASON TRANSIT AUTHORITY TRAVEL FORM (FRM-402B)

I. Pretrip Authorization

1. Name: Danette Brannin Event: Management of Transit Construction Project
 2. Destination: Everett, WA Departure Date: 11/11/19 Return Date: 11/14/19
 3. Estimated Total Cost of Travel (registration, airfare, lodging, meals, car etc.) Total: 631.02
 4. Advance Travel Request Amount \$ 0 **-- Event Agenda must be Attached--**
 5. Mode(s) of travel to be used: Car 6. Using a Staff Car? Y / N
 7. Approved by: _____ Team Manager or designee Ineligible
 8. Advance Travel Granted is: Check # _____ Initial: _____ Date: _____

II. Travel Expenses: ALL EXPENSES MUST HAVE matching Receipts/Documents attached (EXCEPT MEALS).

SECTION A	ESTIMATED EXPENSES	ACTUAL EXPENSES (complete upon return)		
		MTA PAID THRU A/P	MTA CREDIT CARD	EMPLOYEE EXPENSE
Meals from IV. Meal Calculation worksheet	\$ <u>218.00</u>			\$ <u>170.00</u>
Airline Travel:	\$		\$	\$
Rental Car	\$		\$	\$
Lodging:	\$ <u>354.44</u>		\$ <u>351.43</u>	\$
Registration fees:	\$ <u>0</u>	\$	\$	\$
Mileage: _____ miles X .58 per mile*	\$			\$
Mileage (Pers Veh): <u>302</u> miles X .29 mile*	\$ <u>58.58</u>			\$ <u>58.58</u>
Airport Parking/Parking Lot	\$			\$
Shuttle / Taxi	\$			\$
Bridge Toll / Ferry	\$			\$
	\$			\$
	\$			\$
TOTAL	\$ <u>631.02</u>	\$	\$ <u>351.43</u>	\$ <u>228.58</u>

• **Attach a copy of MapQuest to verify mileage.** Starting point is 790 E Johns Prairie Rd or your home, whichever is closer to your destination. Miles to the Airport from MTA is 153 miles round trip (no MapQuest needed)

SECTION B

PAID WITH A/P PURCHASE LOG EMPLOYEE

1. Total Actual Expenses:	\$ <u>0</u>	\$ <u>351.43</u>	\$ <u>228.58</u>
1. Less total cash advances			\$ <u>0</u>
2. Total reimbursement due			\$ <u>228.58</u>
3. Or total due to MTA			\$

TOTAL TRAVEL EXPENSES (add totals in the Total Expenses line Section B)

\$ 580.01

III. Certification

I hereby certify under penalty of perjury that this is a true and correct claim for necessary expenses incurred by me and that no other payment has been received by me as reimbursement for these expenses.

1. Employee Signature: <u>[Signature]</u>	2. Date: <u>11/15/19</u>	3. Team Leader Signature: _____	4. Date: _____
Finance Use Only			
5. Travel General Ledger Account #: _____	7. Audited By: <u>[Signature]</u>	8. Date: <u>11/21/19</u>	

MASON TRANSIT AUTHORITY TRAVEL FORM (FRM-402B)

I. Pretrip Authorization

1. Name: Danette Brannin Event: WSTA 4th Qtr. Board Mtg.: SMTA Mtg.
 2. Destination: Leavenworth Departure Date: 11/6/19 Return Date: 11/8/19
 3. Estimated Total Cost of Travel (registration, airfare, lodging, meals, car etc.) Total: 597.24
 4. Advance Travel Request Amount \$ 0 **-- Event Agenda must be Attached--**
 5. Mode(s) of travel to be used: Car 6. Using a Staff Car? Y / N
 7. Approved by: _____ Team Manager or designee Ineligible
 8. Advance Travel Granted is: Check # _____ Initial: _____ Date: _____

II. Travel Expenses: ALL EXPENSES MUST HAVE matching Receipts/Documents attached (EXCEPT MEALS).

SECTION A	ESTIMATED EXPENSES	ACTUAL EXPENSES (complete upon return)		
		MTA PAID THRU A/P	MTA CREDIT CARD	EMPLOYEE EXPENSE
Meals from IV. Meal Calculation worksheet	\$ <u>54.00</u>			\$ <u>40</u>
Airline Travel:	\$		\$	\$
Rental Car	\$		\$	\$
Lodging:	\$ <u>265.14</u>		\$ <u>213.88</u>	\$
Registration fees:	\$ <u>165.00</u>	\$ <u>165</u>	\$	\$
Mileage: _____ miles X .58 per mile*	\$			\$
Mileage (Pers Veh): <u>340</u> miles X .29 mile*	\$ <u>113.10</u>			\$ <u>113.10</u>
Airport Parking/Parking Lot	\$			\$
Shuttle / Taxi	\$			\$
Bridge Toll / Ferry	\$			\$
	\$			\$
	\$			\$
TOTAL	\$ <u>597.24</u>	\$ <u>165</u>	\$ <u>213.88</u>	\$ <u>153.10</u>

• Attach a copy of MapQuest to verify mileage. Starting point is 790 E Johns Prairie Rd or your home, whichever is closer to your destination. Miles to the Airport from MTA is 153 miles round trip (no MapQuest needed)

SECTION B

PAID WITH A/P PURCHASE LOG EMPLOYEE

1. Total Actual Expenses:	\$ <u>165</u>	\$ <u>213.88</u>	\$ <u>153.10</u>
	1. Less total cash advances		\$ <u>0</u>
	2. Total reimbursement due		\$ <u>153.10</u>
	3. Or total due to MTA		\$

TOTAL TRAVEL EXPENSES (add totals in the Total Expenses line Section B) \$ 531.98

III. Certification

I hereby certify under penalty of perjury that this is a true and correct claim for necessary expenses incurred by me and that no other payment has been received by me as reimbursement for these expenses.

1. Employee Signature: <u>[Signature]</u>	2. Date: <u>11/15/19</u>	3. Team Leader Signature: _____	4. Date: _____
Finance Use Only			
5. Travel General Ledger Account #:	7. Audited By: <u>[Signature]</u>		8. Date: <u>11/21/19</u>

Mason Transit Authority Regular Board Meeting

Agenda Item: Unfinished Business – Item 1 – *Actionable*
Subject: Approval of Proposed 2020 Budget
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

A first view of the proposed 2020 budget was provided to the Board at the October 15, 2019 meeting. The 2020 proposed annual budget has been prepared in conjunction with team managers, the Administrative Services Manager and General Manager. In addition, two public hearings were held on November 5 and December 10, 2019 to solicit public comments.

The attached 2020 proposed annual budget narrative provides assumptions and background to the budget.

Since the previous version of the budget, the following items have been modified:

- Further wage adjustments have been made to include updated benefit selections going into 2020.
- \$20,000 has been added to professional and technical services for a potential lobbyist to help the 2020 Legislative Session in Olympia.
- An additional \$2,300 was added to the ops budget for anticipated increased costs for the robotic bus that we are partnered with Shelton High School to build.
- \$15,000 was added to the ops budget for the purchase of furniture for the new driver's space at the TCC.
- As we refine our procurement process, we have included an additional \$10,000 in facility maintenance and repairs to accommodate for extra costs identified.
- L&I rates were finally provided to us and they have decreased significantly from 2019, resulting in a reduction in expense by roughly \$60,000.

Summary: Approval of Proposed 2020 Budget.

Fiscal Impact:

Net income from Operations \$0, after a \$130,406 commitment from Operating Reserves.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-30, adopting the 2020 Budget with Gross Operating Revenues of \$7,889,988 and Total Operating Expenses of \$7,889,988 with Net Income from Operations of \$0.



2020 Annual Budget

Draft

December 17, 2019

Objective

The purpose of the 2020 Budget is to ensure that Mason Transit Authority (MTA) continues to meet the needs of its community and operate effectively with its available financial resources.

Goals

1. Maintain a 4-month Operating reserve fund
2. Focus on long-term sustainability within current funding limits
3. Ensure fiscal responsibility
4. Review current service levels and community needs
5. Adjust wages to remain competitive and retain staff
6. Progress towards 80% State of Good Repair
7. Cut unnecessary spending

2020 Budget Overview

A lot of uncertainty has been created due to I-976 passing. However, we have planned accordingly going into 2020 and expect to run our operations without any cuts and with the high-level of current operations. The main concern with the passing of I-976 is that we could lose our state grant funding which translates to roughly 25% of our annual operating revenue. We anticipate receiving all of our state funding for 2020, but in case a situation occurs where we lose it before we anticipate, we have reserves built up to maintain operations through the remainder of 2020. A goal of the 2020 budget was to budget for essential services, cutting non-essential spending to help mitigate the impact of the potential loss of funding. Although there is the possibility of state funding being cut, we also invested funding into our staff. After completing a wage analysis on some positions within the agency, this budget year we plan on realigning wages to be more competitive and comparable to other agencies within the industry and local employers.

2020 Budget Highlights

1. Both Operating and Non-Operating Revenue are budgeted for a slight decrease, with a slight infusion of reserves to break-even.
2. Budgeted expenses are anticipated to increase by 2% almost solely attributable to wage adjustments. However, costs have been minimized elsewhere within the budget to accommodate for the increased wages. This 2% increase is within the goal to maintain expense growth to no more than 4% year over year.
3. Minimal changes are anticipated to occur within each department in 2020: an increase of Full Time Employees (FTEs) from 80.5 budgeted for 2019 to 81.75

budgeted in 2020. The change is due to moving the half-time IT Analyst to full time and reducing the Outreach/Transit Planner to ¾ time as requested.

4. In addition to the continued work on the Park & Ride Project, the bulk of the capital budgeted for 2020 is for vehicle replacement: 2 Worker/Driver Coaches, 2 40' Coaches, 9 Cutaways, 1 Mini Cutaway, and the hope of securing an additional grant to fund one more coach.
5. T-CC's separate operating budget's net deficit is projected to be smaller than 2019's as its revenue is budgeted at full-capacity going into 2020 which helps offset wages and maintenance costs to the facility.

2020 Proposed Operating Budget

The Operating Budget does not include Capital expenditures (see Capital Budget on page 10).

Consolidated 2020 Budget	2019					Budget %	
	2017 Actual	2018 Actual	Projection	2019 Budget	2020 Budget	Change YoY	
Operating Revenue (Fares)							
Passenger Fares	98,224	101,791	97,578	103,500	105,000	1%	1
WD/VP	265,129	254,753	244,236	265,000	260,000	-2%	2
	363,353	356,544	341,814	368,500	365,000	-1%	
Non-Operating Revenue							
Sales Tax	4,258,175	4,807,028	5,078,401	3,936,179	4,054,264	3%	3
Operating Grants	2,913,315	3,378,164	3,769,161	3,189,554	3,049,288	-4%	4
Rental Income	181,205	180,439	183,250	143,227	179,520	25%	5
Investment Income	44,156	106,978	174,688	45,000	50,000	11%	6
Other income	277,418	350,089	221,053	199,233	61,510	-69%	7
	7,674,269	8,822,698	9,426,553	7,513,193	7,394,582	-2%	
Operating Reserves Allocation					130,406		17
Total Revenue	8,037,622	9,179,242	9,768,367	7,881,693	7,889,988	0%	
Expenses							
Wages & Benefits	5,127,618	4,975,696	5,234,286	5,919,743	6,223,621	5%	8
Contracted Services	254,849	353,117	222,941	208,223	180,475	-13%	9
Fuel	331,502	389,011	372,062	400,250	377,450	-6%	10
Vehicle/Facility Repair & Maintenance	268,631	319,553	337,120	351,750	325,354	-8%	11
Insurance Premium	238,034	238,506	228,367	235,477	242,605	3%	12
Intergovernmental - Audit Fees	26,604	29,411	33,484	31,000	33,000	6%	13
Facility Rent and Park & Ride	27,662	28,930	30,396	32,000	32,500	2%	
Utilities	117,810	124,471	129,668	139,781	137,508	-2%	
Supplies	93,803	109,087	264,596	132,220	123,801	-6%	14
Training & Meetings	26,433	29,439	38,711	74,705	47,035	-37%	15
Other Operating Expenses	131,735	253,846	119,424	174,363	166,639	-4%	16
Total Expense	6,644,681	6,851,067	7,011,055	7,699,512	7,889,988	2%	
Net Income (Loss)	1,392,941	2,328,175	2,757,312	182,181	-		
Operating Reserves Allocation		(699,494)		(120,000)			17
Net Income (Loss) Net Reserves Allocated	1,392,941	1,628,681	2,757,312	62,181	-		

2020 Budget Notes

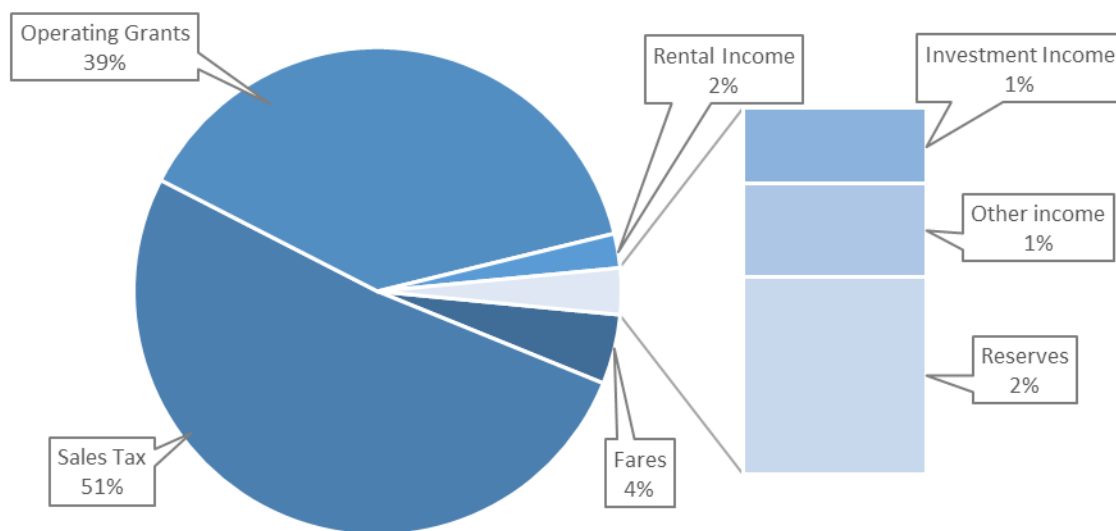
1. Fares are anticipated to remain consistent with 2019, with some minimal growth to be captured from pass price increases that occurred in Q4 of 2019.
2. Vanpool service has declined so we realigned our expectation going into 2020. However, Worker/Driver fares have remained healthy and we expect them to perform at the same level of 2019 with some minimal growth.
3. Sales Tax has shown high levels of growth through the past few years, but to remain conservative we applied a 3% growth rate from 2019's budget. Excess sales tax revenue received over what is budgeted will be set aside in reserves to allocate to assist with operations, if necessary, or additional capital expenditures.
4. Operating grant revenue is based off the 2019-2021 biennium contract awards. We anticipate receiving state funding in 2020. However, should state grant funding be lost in 2020, the impact of the loss would be approximately \$1.4m at most.
5. The rental income is based upon current fixed leases through the majority of 2020. The increase of 25% over 2019's budget is due to Telecare's intent to renew their lease at the TCC, which was omitted from the 2019 budget due to the uncertainty of them renewing.
6. The treasury pool investment account continues to grow as well as interest rates. Budgeted amount for 2020 remained conservative, as interest rates may fluctuate.
7. The Regional Mobility Grant is no longer in effect resulting in a significant decrease to other income. The expectation is that LMTAAA will continue providing \$38k of funding for 2020 and MTA will continue to commit an additional \$10k of our funds to support the program and its demand. In addition to the RMG funding halting, we are no longer accepting bus ads on our vehicles, further reducing this revenue line.
8. Salary and wages have been under an agency-wide wage analysis as reflected with the high growth level. Health benefit premiums had minimal increases. Of the two medical plans offered, only Kaiser had an increase of 1.9% and of the two dental plans offered, only Willamette had an increase in premium of 9%. No other insurance changes were quoted for 2020. L&I rates decreased significantly from the prior year, resulting in \$60k in cost savings. In addition to these items, employee recognition has a budgeted increase to accommodate for the newly created annual driver safety award.
9. No large contracted projects are intended to occur in 2020 so this account remains lean, accommodating for those contracts and services that have already been established and are necessary.
10. Fuel is projected to come in under budget. As such we have adjusted our fuel expectations in 2020 as no major changes in service hours are expected. We continue to carry a fuel reserves should fuel trend upward unexpectedly.
11. A decrease in the budget for Repairs and Maintenance has been made as many major projects on the JP Facility have been completed recently. However, the account remains significant to accommodate for repairs and maintenance for both the facilities and fleet.
12. WSTIP Insurance coverage is quoted to increase by 3% due to premium rate increases.
13. Audit fees have historically increased by roughly 6% annually, as such we have budgeted this increase accordingly.

14. The decrease from supplies largely comes from the reduction in spending on IT related items. 2019 was a year where we replaced all desktop computers, and monitors, and made additional IT-related purchases to aid operations and service.
15. Trainings and meetings expense have decreased from prior year as only meetings and trainings that are necessary to maintain an educated staff have been budgeted.
16. Other Operating expenses are anticipated to decrease as we reduce advertisement and dues/subscription spending.
17. The budget shows an allocation from reserves that was specifically established for future revenue needs. The allocation could potentially be larger should a loss of state grant funding occur sooner than anticipated due to the passage of I-976.

Operating Revenues

Total operating revenue budgeted is projected to slightly increase from \$7,881,693 in 2019 to \$7,889,988 in 2020; which includes reserves allocated in the amount of \$130,406 to break-even. The two major revenue sources making up 90% of our revenue are sales taxes collected in Mason County and grant funding from WSDOT.

Funding Source Breakdown



Sales Tax

Sales tax revenue continues to remain the largest source of funding - projected to be 51% of revenue for 2020. Sales tax revenues were approximately \$4.80m in 2018 compared to 2017's \$4.25m showing a growth of 13%. The current projections for sales tax in 2019 come in just above the \$5m mark.

Historical and Projected Sales Tax Revenue

The following table shows actual sales tax revenue for 2016 through September 2019, the remainder of the year is at the 2019 budgeted amount (in gray).

	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Budget	2020 Budget
January	246,415	279,777	310,547	377,689	243,216	250,512
February	262,925	276,310	292,604	354,467	259,512	267,297
March	328,665	356,214	394,293	459,822	324,400	334,132
April	312,635	320,241	350,586	445,171	308,577	317,834
May	332,428	357,049	391,052	461,236	328,114	337,957
June	391,485	435,445	440,606	525,839	386,404	397,996
July	360,375	386,531	449,080	498,248	355,698	366,369
August	389,222	397,061	462,622	489,291	384,171	395,696
September	426,039	388,845	443,327	504,696	384,146	395,670
October	324,125	319,477	431,530	325,184	325,184	334,940
November	314,996	325,586	379,605	274,104	274,104	282,327
December	381,623	416,254	467,961	362,653	362,653	373,534
	4,070,933	4,258,790	4,813,813	5,078,401	3,936,179	4,054,264

Grant Revenues

Operating grants comprise 39% of operating revenues. Grant funding comes entirely from the 2019-2021 consolidated grant award, which includes both state and federal funds. Additionally, \$1.3m of sales tax equalization dollars have been allocated to the consolidated grant for operations.

Fares

Fares consist of three sources: out-of-county fares, Worker/Driver fares, and Vanpool fares. The out-of-county fares make up nearly 30% of total budgeted fares while Worker/Driver makes up roughly 55% and Vanpool the remaining 15%. Additionally, adult passes and reduced passes have had a slight bump from \$28 to \$30 and \$9 to \$10, respectively.

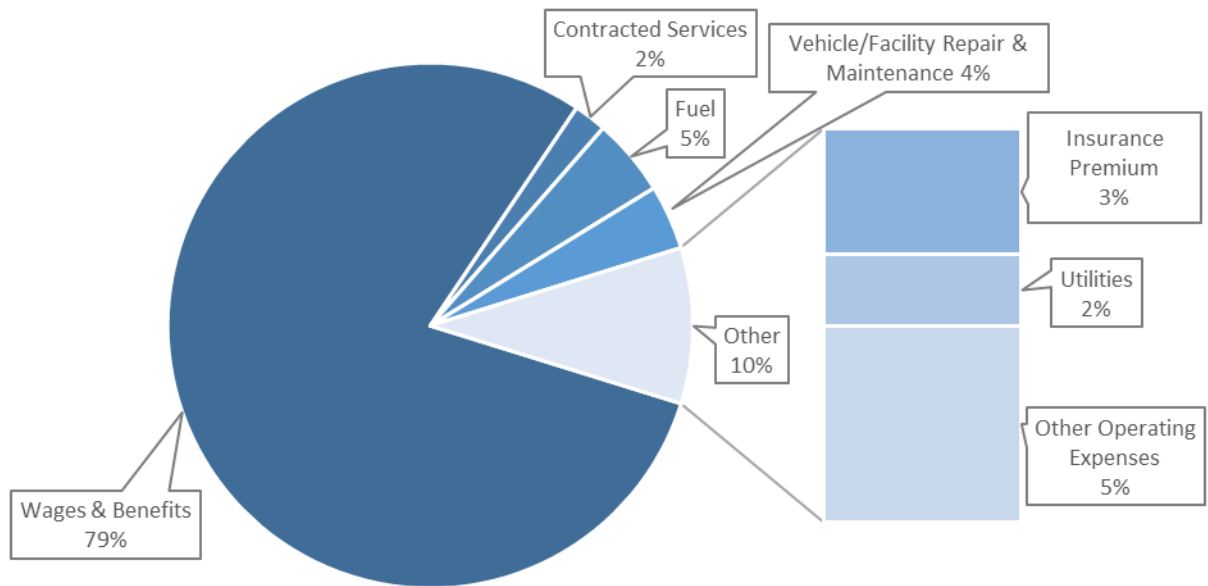
Transit-Community Center Revenues

The T-CC provides revenue through leases and providing event space in the gym, conference room, kitchen, and atrium. The revenues generated from the Transit-Community Center are roughly 80% from active leases, and the remaining 20% is attributed to event use throughout the year. It is anticipated going into 2020 that all leasable space will be at full capacity through the year and there are no signs of event revenues declining.

Operating Expenses

Total operating expense budgeted is projected to increase from \$7,699,512 in 2019 to \$7,889,988 in 2020; which is roughly a 2% increase from 2019. The largest operating expense is employee wages and benefits, accounting for 79% of total operating expense, with the second highest expense category being fuel at about 5%.

Expense Source Breakdown



Salaries and Wages

A significant amount of time and effort went into a wage analysis of a majority of the positions. The goal of this analysis was to realign wages to better match the value of each position as well as make wages more competitive. External sources were used to help determine all the wage adjustments that were decided. In addition to using regional comparatives, the Washington State Transit Association Salary Repository was also used which details wages by position of affiliated members throughout the state.

The most notable increase going into 2020 will be that the current driver wage matrix will receive a 5% bump. This means all drivers on 1/1/2020 will receive a 5% increase on their wages instead of the annual GWI bump they have been receiving since their contract went into effect. Since the entire wage matrix is receiving a bump, any anticipated step increases between 1/1/2020 and 6/1/2020 (date when the new driver contract will go into effect) will still be honored.

The Maintenance and Facilities team's new contract has gone into effect, the wages agreed upon within the new contract were also a product of the wage analysis.

No wage adjustments were determined for the Comm Center team at this time but will be analyzed when their current contract is negotiated in 2020. As such their wages will remain in-line with their current contract.

Non-represented employees were also reviewed individually and adjusted to remain competitive with the metrics that were used to conduct the analysis.

Below is a listing of percent increases for positions that were considered undervalued and were adjusted accordingly to remain competitive:

Position	Increase
Operations Manager	8%
Maintenance Manager	5%
Administrative Services Manager	8%
Accounting Supervisor	4%
Drivers	5%
Facilities Technician	25%
Custodian/Detailer	7%
Fueler/Detailer	12%
T-CC Assistant/Custodian	13%

Also included in the budgeted wage request is a 1.5% general wage increase for the General Manager.

Benefits

No significant changes are anticipated for 2020; rates have been quoted by AWC and were minimal.

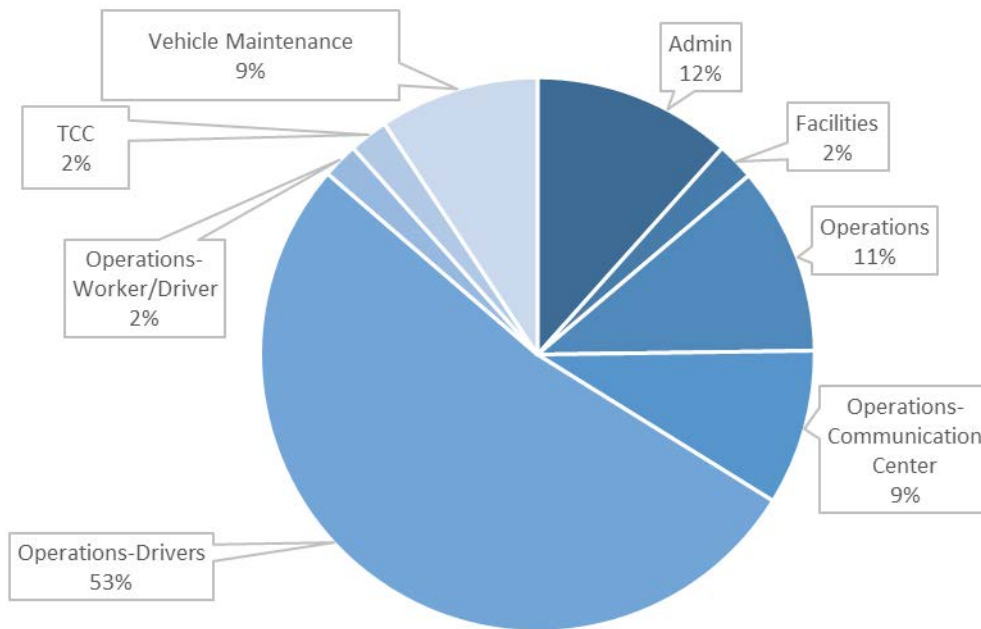
Although the changes noted above will increase the wages and benefit expense line on our financial statements by roughly 5%, this increase is an investment. We are choosing to invest in our people for their continued public service, experience and value as MTA employees.

Wages and Benefits by Department

The following table below breaks out budgeted FTEs, wages, and benefits for each department for 2020.

Department	FTEs	Wages	Benefits	2020 Budget	
				Total	2019 Budget
Admin	8	483,650	226,581	710,231	670,825
Admin-Board		4,320	330	4,650	4,650
Facilities	2	85,755	48,783	134,538	125,323
Operations	6.8	436,033	239,876	675,909	564,078
Operations-Communication Center	7	358,997	201,911	560,908	549,973
Operations-Drivers	42	1,989,438	1,227,360	3,216,798	3,103,575
Operations-Worker/Driver	8	98,110	28,525	126,635	126,804
Transit Community Center	2	90,243	49,722	139,965	132,343
Vehicles/Maintenance	6	362,405	210,285	572,690	565,848
Volunteer Driver		14,072	7,917	21,989	28,121
Vanpool		4,198	2,450	6,648	12,323
Total	81.8	3,927,221	2,243,740	6,170,961	5,883,863

The following chart shows each department's % of total wages and benefit expense.



Budgeted Positions and Full-Time Equivalent

The following chart shows the staff position and Full-Time Equivalent (FTE) changes with explanations describing each change.

Department	2019 Budget - Positions	Change	2020 Budget - Positions	2019 Budget FTEs	Change	2020 Budget FTEs
Administration						
General Manager	1.0	0.0	1.0	1.0	0.0	1.0
Administrative Services Manager	1.0	0.0	1.0	1.0	0.0	1.0
Executive Assistant	1.0	0.0	1.0	1.0	0.0	1.0
Accounting Assistant	2.0	0.0	2.0	2.0	0.0	2.0
Staff Accountant	1.0	0.0	1.0	1.0	0.0	1.0
Systems Administrator	1.0	0.0	1.0	1.0	0.0	1.0
IT Analyst ¹	1.0	0.0	1.0	0.5	0.5	1.0
<i>Total Administration</i>	8.0	0.0	8.0	7.5	0.5	8.0
Maintenance/Facilities						
Maintenance Manager	1.0	0.0	1.0	1.0	0.0	1.0
Lead Mechanic	1.0	0.0	1.0	1.0	0.0	1.0
Service Mechanics	3.0	0.0	3.0	3.0	0.0	3.0
Fueler/Detailer	1.0	0.0	1.0	1.0	0.0	1.0
Facilities Technician	1.0	0.0	1.0	1.0	0.0	1.0
Custodian/Detailer	1.0	0.0	1.0	1.0	0.0	1.0
<i>Total Maintenance/Facilities</i>	8.0	0.0	8.0	8.0	0.0	8.0
Operations						
Operations Manager	1.0	0.0	1.0	1.0	0.0	1.0
Assistant Operations Manager	1.0	0.0	1.0	1.0	0.0	1.0
Operations Supervisor ²	3.0	1.0	4.0	3.0	1.0	4.0
Dispatcher/CSR/Lead	7.0	0.0	7.0	7.0	0.0	7.0
Drivers	42.0	0.0	42.0	42.0	0.0	42.0
Worker/Drivers	8.0	0.0	8.0	8.0	0.0	8.0
Outreach/Transit Planner ³	1.0	0.0	1.0	1.0	-0.2	0.8
<i>Total Operations</i>	63.0	1.0	64.0	63.0	0.8	63.8
Transit-Community Center						
T-CC Assistant/Custodian	1.0	0.0	1.0	1.0	0.0	1.0
T-CC Building Superintendent	1.0	0.0	1.0	1.0	0.0	1.0
<i>Total Transit-Community Center</i>	2.0	0.0	2.0	2.0	0.0	2.0
TOTAL	81.0	1.0	82.0	80.5	1.3	81.8

FTE Notes

- After review of the initial year of this position, it has been determined that having two staff in IT will be necessary going forward. However, the intern position will be moved to full-time which will allow the IT team additional time and resources to provide support and implement new technology as it becomes available.

- To allow both the Operations Manager and Assistant Operations Manager additional time for higher-level tasks, an additional Operations Supervisor position was added.
- The Outreach/Transit Planner position will have its hours dropped from 40 hours a week to 32 hours a week going into 2020 with a more focused effort on outreach than planning.

CAPITAL BUDGET

Project	Budget	Grants	Capital Projects		Project Costs to Date	Purpose
			MTA Funding	Contingent Projects		
T-CC Parking Lot	\$ 302,500	\$ 250,000	\$ 102,500		\$ 5,615	Parking lot behind T-CC
Park & Ride Development - 2015-2019 RMG Funds	6,371,134	5,617,000	950,000		2,098,365	Construct or improve 5 park & rides throughout county including base in North Mason and roundabout at SR3 & Log yard road. Purchase land for North Mason Park & Ride Facility (\$687,059)
JP Copy Machine	7,000		7,000			Purchase new copy machine rather than leasing over 5-year term.
JP Exterior Paint	85,000			85,000		
Radich building roof repair	35,000			35,000		
Scissor lift for T-CC	15,000			15,000		
HVAC Units at JP	50,000			50,000		
Bus Technology	30,915		30,915			Final Payment for incorporated bus technology.
Coach Repairs	116,500	116,500				Rebuild engines and transmissions in 3 coaches to extend life. Funded by Sales Tax Equalization.
TOTAL CAPITAL PROJECTS	7,013,049	5,983,500	1,090,415	185,000	2,103,980	

Vehicle	Budget	Grants	Vehicle Replacement		Project Costs to Date	Purpose
			MTA Funding	Contingent Projects		
2 Worker Driver Coaches	1,779,228	1,482,690	296,538			Replacement inventory.
2 40' Coaches, 9 Cutaways	1,972,468	1,427,052	545,416			Replacement inventory.
Mini Cutaway	80,000	80,000				Expansion vehicle; funded through Sales Tax Equalization.
1 Coach	510,000			510,000		Need to replace a coach and will seek grant opportunity. Purchase will be contingent on successful grant application.
TOTAL VEHICLE REPLACEMENT	4,341,696	2,989,742	841,954	510,000		
GRAND TOTAL	\$11,354,745	\$ 8,973,242	\$ 1,932,369	\$ 695,000	\$ 2,103,980	

Contingent Projects will only be funded if grant opportunities are presented and successful or Sales Tax Equalization is available.

State of Good Repair

The State of Good repair is a measurement used to determine in what condition an agency's fleet is in. Our current goal is to have our fleet be at 80% state of good repair. Once the vehicles budgeted for above are received, our fleet will be in the following condition: Cutaways – 70%, Fixed Route – 77%, Worker Driver – 100%, Medium Duty – 100%. The condition of our fleet continues to improve and will continue to do so as we continue budgeting for replacement vehicles.

Transit – Community Center

2020 Proposed T-CC Operating Budget

The on-going operating costs for the T-CC are allocated between Transit-related functions and Community Center-related functions based upon the square footage associated with each.

	2019 Budget			2020 Budget				
	TCC	Ops	Total	TCC	Ops	Total		
Revenue								
T-CC Rental	125,630	-	125,630	158,020	-	158,020	1	26%
Expenses								
Wages and Benefits	132,383	-	132,383	140,365	-	140,365		6%
Contracted Services	9,315	1,885	11,200	20,400	423	20,823	2	86%
Repair & Maintenance	10,500	4,000	14,500	11,354	4,000	15,354		6%
Insurance	15,673	-	15,673	16,161	-	16,161		3%
Utilities	35,120	13,250	48,370	36,092	13,592	49,684		3%
Supplies & Small Equipment	11,400	2,895	14,295	5,050	2,960	8,010	3	-44%
Training & Meetings	450	-	450	-	-	-		-100%
Other Operating Expenses	3,400	-	3,400	2,112	-	2,112	4	-38%
Total Operating Expenses	218,241	22,030	240,271	231,534	20,975	252,509		
Net Income (Deficit) from Operations	(92,611)	(22,030)	(114,641)	(73,514)	(20,975)	(94,489)		

T-CC Budget Notes

1. As noted in the consolidated budget notes, the 2019 budget did not include Telecare's lease within the T-CC's Revenue Rental number, however they have confirmed they will renew. Telecare's lease makes up roughly 20% of the TCC rental income.
2. The significant increase in Contracted Services can be attributed to multiple 5-year inspections anticipated for 2020.
3. The decrease in Supplies & Small Equipment is due to cuts in purchasing pieces of equipment as well as a lower volume of supply purchases planned.
4. Other Operating Expenses have been tightened-up a bit removing those items not deemed necessary.

TEAM GOALS FOR 2019

Administrative Services

Team Mission Statement

Provide administrative support in Finance and Human Resource to all MTA teams, ensuring internal controls, financial stability, and compliance in all financial and human resource related regulations.

Significant Changes from 2019 to 2020

- Establish a procedures document outlining considerations for key financial policies.
- Provide department heads with timely spending trends to ensure budget optimization.
- Continue refinement of long-term financial projections in a post I-976 funding environment ensuring sustainability and alignment with the strategic plan.
- Continue streamlining administrative processes to promote efficiency and keep costs down.

Information Technology (IT)

Team Mission Statement

Provide excellent customer service through prompt and efficient response to technology needs. Keep MTA safe from cyber vulnerabilities.

Significant Changes from 2019 to 2020

- Explore grant opportunities for Technology modernization.
- Transitioning our part-time IT position to a full-time position.
- Ensure the smooth operation of MTA's IT infrastructure through proactive monitoring, and modernization of our systems and processes.
- Due to the passage of I-976 no major projects have been planned.
- Capital request to purchase a support contract of the phone system is still requested.

Maintenance Team

Team Mission Statement

The Maintenance Team's mission is to effectively and efficiently provide safe, clean, reliable and comfortable vehicles, facilities and amenities for use by its customers and to ensure that such resources are available to deliver on the agency vision of Driving our Community Forward.

Significant Changes from 2019 to 2020

- With the procurement of 4 coaches and 9 cutaways we will experience reduced maintenance cost and increased reliability in our worker driver and paratransit fleets for 2020.
- Our fixed route coach bus fleet currently averages 320,000 miles, we are experiencing major component failures that significantly increase parts costs. Examples of these components include: starters, alternators, air-compressors, injectors and diesel emission systems. It is anticipated that at least 50 percent (7) of the coach bus fleet will require some or all these components requiring

replacement within the next year. Repair and maintenance costs continue to rise. We are in the process of replacing engines and transmissions in our oldest coaches to extend their life cycles which is being funded with sales tax equalization dollars.

- Facility repair and maintenance is stabilizing. With continued predictive maintenance the Johns Prairie Facility is beginning to become less labor and material intensive. Items of continued concern are plumbing and HVAC issue. Electrical systems are another; we are not equipped or certified to repair high voltage circuitry.
- We project receiving \$5,000 for sales of contracted maintenance services in 2020.
- Significant cost issues for both vehicle and facility maintenance remain the same. They include labor, fuel, parts and tires. Facility expenses include electricity and natural gas.

Operations Team

Team Mission Statement

The mission of the Operations team is to provide a range of safe, courteous and on-time transit services to best meet the needs of the riding public in Mason County.

Significant Changes from 2019 to 2020

- Conduct one major Service change in February 2020.
- Optimize the newly installed technology on our fleet to improve fleet operations and customers accessibility.
- Provide quarterly refresher training to all regular drivers and dispatcher/schedulers.
- Hire and train new drivers as needed (3 classes).
- Keep our preventable accident rating below WSTIPs goal of 1.25 per 100,000 miles, annualized.
- Provide nearly 70,000 hours of directly operated service in 2020, including fixed route, dial-a-ride, and regional express

Transit-Community Center (T-CC)

Team Mission Statement

The T-CC team works to continually go beyond expectations to serve our customers and public through ridership and event support and information. The T-CC remains an excellent choice as a venue for all types of events due to our knowledgeable staff, downtown location, amenities, and overall cleanliness. We are continually striving to provide our tenants, patrons, passengers, and visitors with a safe, clean, functional community center.

Significant Changes from 2019 to 2020

- Slight reduction of revenue from absorbing the S.S.D. Family Resource Center office space for MTA Operations Department at the T-CC. However, Telecare's continued lease through 2020 plus additional kitchen usage agreements will offset this loss, thus why T-CC revenues are projected much higher than 2019.

- Income from T-CC event rentals is expected to increase slightly in 2020 due to new weekly programs (Special Olympics Basketball, additional CHOICE classes, 4-H Archery, etc.).

Strategic Objectives and 2020 Work Items

The following details 2020's work items as related Strategic Objectives:

Objective 1: Safe and Secure

Quarterly Driver training and refresher training as required
Complete CAD/AVL/GPS installation
Change from flag stop to fixed stop in urban area of Shelton
Curbs or bollards at Johns Prairie
Purchase rain jackets
Manager or supervisor on-duty during service - Move Ops office
Ensure L & I safety compliance through training
Review WSTIP Best Practices for Safety
Define Safety Committee's purpose and direction

Objective 2: Effective Transportation Services

Review DAR services and hours for efficiency and availability
Expand Zipper route time to 8:00am-5:00pm
Seek Pilot opportunities and funding
Continue review of Comp Service Review
Conduct outreach for all service changes
Improve passenger amenities
Plan for 2021 service adjustments due to impact of funding
Benchmark route performance and monitor low-performing routes

Objective 3: Financial Stewardship

Procurement training for Public Works projects
Prepare for I-976 impacts
Create needed financial policies or manual
Ensure compliance of grant contracts
Review 5-year sustainability plan
Prepare for Paid Family Medical Leave rollout
Maintain Fair Labor Standard Act compliance through updated training
Records Management - Network reorganization

Objective 4: Community Partnerships and Responsibility

Conduct Community Conversations to solicit input
Participate in community events
Promote City and County partnerships
Participate in outside committees, RTPO and boards
Participate in mentorship programs
Promote Volunteer Driver Program
Park & Ride project (through 2023)
Brand vehicles
Progression toward inclusion of electric vehicles

Objective 5: Workplace Culture

Improve communications through established methods
Incorporate wellness program and encourage participation
Promote skills and job knowledge
Bargain contracts for drivers and Comm Center
Employee Engagement committee
Enhance meaningful employee recognition
Provide more Belfair interaction and oversight
Prepare a policy review schedule

RESOLUTION NO. 2019-30

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A BUDGET FOR THE MASON COUNTY PUBLIC
TRANSPORTATION BENEFIT AREA FOR THE CALENDAR YEAR
BEGINNING JANUARY 1, 2020.**

WHEREAS, the Mason County Public Transportation Benefit Area dba Mason Transit Authority (MTA) has prepared a budget for the 2020 calendar year; and

WHEREAS, the governing authority of Mason County Public Transportation Benefit Area did hold, pursuant to law, two duly advertised public hearings on the preliminary budget; and

WHEREAS, management has recommended the 2020 Budget, a copy of which is attached hereto and incorporated herein by this reference.

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the attached budget for Mason Transit for the year 2020 is hereby adopted.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shetty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: Unfinished Business – Item 2 – *Actionable*
Subject: Approval of 2020 Regular Meeting Calendar of Authority Board
Prepared by: Tracy Becht, Clerk of the Authority Board
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

At the October 15, 2019 Board meeting, the Clerk was asked to explore costs and availability of the use of the Hoodsport Fire Hall as a location for the April 21, 2020 Board meeting.

The Clerk has been informed by the facilities manager of Mason County Fire District #1 that the fire hall will be available and there will be no cost for the Board’s use of the meeting room. Since MTA is looking for lean options for budgetary reasons, this meets that goal as well.

Summary: Approve the 2020 Regular Board meeting calendar.

Fiscal Impact:

None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-32 establishing the 2020 schedule of regular MTA Authority Board meetings.



MASON TRANSIT AUTHORITY BOARD 2020 REGULAR MEETING SCHEDULE

(Adopted by Resolution No. 2019-~~XX~~32
on ~~November~~ December 19th, 2019)

TIME	DATE	MONTH	LOCATION
4:00 P.M.	21	January	MTA Transit-Community Center, 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	18	February	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	17	March	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	21	April	<u>Port of Allyn Mason County Fire District #1, 18560 E SR 3, Allyn, WA 98524</u> <u>331 N. Finch Creek Road, Hoodspout, WA 98548</u>
4:00 P.M.	19	May	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	16	June	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	21	July	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	18	August	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA
4:00 P.M.	15	September	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	20	October	Port of Allyn, 18560 E SR 3, Allyn, WA 98524
4:00 P.M.	17	November	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584
4:00 P.M.	15	December	MTA Transit-Community Center 601 West Franklin Street, Shelton, WA 98584

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MTA Administrative Office:
Phone:
Clerk of the Authority E-mail:

790 East Johns Prairie Road, Shelton, WA 98584
360-426-9434 or 800-374-3747
clerk@masontransit.org

RESOLUTION NO. 2019-32

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ESTABLISHING THE 2020 SCHEDULE OF REGULAR MEETINGS FOR THE
MASON TRANSIT AUTHORITY BOARD.**

WHEREAS, the Mason Transit Authority Board holds regular monthly meetings on the third (3rd) Tuesday of each month that are open to the public; and

WHEREAS, the need exists to establish a published schedule of said meetings for 2020;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the regular monthly meetings for the 2020 calendar year be held at the times and locations as outlined on the attached schedule. Meeting changes and special meetings will be published as required by law.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shuttly, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board



MASON TRANSIT AUTHORITY BOARD 2020 REGULAR MEETING SCHEDULE

(Adopted by Resolution No. 2019-32 on December 17, 2019)

TIME	DATE	MONTH	LOCATION
4:00 P.M.	21	January	MTA Transit-Community Center, 601 West Franklin Street, Shelton, WA 98584
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790 East Johns Prairie Road, Shelton, WA98584
360-426-9434 or 800-374-3747
clerk@masontransit.org

Mason Transit Authority Regular Board Meeting

Agenda Item: Unfinished Business – Item 3 – *Discussion*
Subject: Strategic Plan
Prepared by: Danette Brannin, General Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

Back in 2016, staff worked with two individuals to help guide a Strategic Plan for MTA. Several objectives were identified, and work items listed for each objective. The end result was more of a work plan than a strategic plan; however, staff has used the information to create a work plan each year since to help guide yearly activities and projects.

The Executive Team (ET) decided to complete the Strategic Plan but in a different format with the goal of having an annual work plan attached to each objective and that it would be a usable document. The ET did not want to create a lengthy document that would not be used. The objectives and goals will remain the same and each year during the budget and planning process the ET will create items for the work plan so there is a measurable outcome to the Strategic Plan. The ET also sees the Strategic Plan as a growing document where relevant information is added when applicable.

The ET will also report quarterly on the progress of the work plan as well as other information such as ridership, cost per mile, vehicle availability and HR information.

The objectives identified are:

- 1) Safe and Secure
- 2) Effective Transportation Services
- 3) Financial Stewardship
- 4) Community Partnerships
- 5) Workplace Culture

Summary: Solicit comments about the objectives and review Draft Strategic Plan.

Fiscal Impact:

None at this time.

Staff Recommendation:

None at this time.

STRATEGIC PLAN



**MASON
TRANSIT
AUTHORITY**

Draft Presentation: December 17, 2019

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INTRODUCTION

We are excited to present the first edition of Mason Transit Authority's Strategic Plan. The desire and goal is that this plan would guide MTA's decisions, set direction and be a growing document that is actively used along with our Mission, Vision, and Guiding Principles to ensure long-range stability of the Authority as well as provide quality service to our customers and community.

The Strategic Plan was prepared with the assistance of two citizens and the MTA Leadership Team. Goals were established based on our Mission Statement to *provide transportation choices that connect people, jobs, and community, increasing the quality of life in Mason County*. Each team contributed to the foundation of the goals and objectives as well as the work plan by year. In the coming years, work plans will be reviewed for feasibility and set according to available resources. We anticipate that our Strategic Plan will grow and change as needed to reflect the changes in Mason County, the needs of riders and the capacity of MTA.

The Leadership Team will update the plan every year during the budget preparation process to align the strategic goals and objectives for the year as well as relevancy. In addition, with the yearly review, a report to the Authority Board will be given to track and report on Agency progress and performance. It is planned that future updates will also include input from a variety of sources and partnerships within Mason County through community forums, public meetings and surveys.

We look forward to adopting policies, budgets, projects and programs that will successfully deliver MTA's Strategic Plan. For the Leadership Team it means placing transit first so by improving our service to meet riders' needs within the capacity of funding and available resources. It also means developing partnerships within the community as well as other transit agencies to share information and resources for better efficiency and effectiveness.

This document will guide decisions regarding how we move forward. When faced with challenges or competing interests, we will use the Strategic Plan to look beyond the isolated situation and focus on the impact to MTA as a whole and the quality of service provided to the riders and the community. We anticipate there will be challenges to right-size MTA's capacity so long-range sustainability with a level of service that best serves Mason County will be ensured.

We know we cannot realize a successful Strategic Plan alone. It will take partnerships, both external and internal to reach the vision of excellent transportation services and choices throughout Mason County and beyond.

Danette Brannin
General Manager

LEADERSHIP

Mason Transit Authority Board:

Randy Neatherlin, Chair, Mason County Commissioner
Wes Martin, Vice Chair, Grapeview School District
John Campbell, North Mason School District
Kevin Dorcy, City of Shelton Council Member
Deborah Petersen, Hood Canal School District
Kevin Shutty, Mason County Commissioner
Sharon Trask, Mason County Commissioner
Sandy Tarzwell, Shelton School District
Don Pogreba, Southside School District

Non-voting Authority Board:

Greg Heidel, Bargaining Unit Business Representative, IAM and AW District 160
John Piety, Citizen Advisor to the Board

Mason Transit Authority Executive Management Team:

Danette Brannin, General Manager
Tracy Becht, Executive Assistant/Clerk of the Board/Public Records Officer
LeeAnn McNulty, Administrative Services Manager
Mike Ringgenberg, Operations Manager
Marshall Krier, Vehicle and Facilities Manager

WHO WE ARE

Mason County Public Transportation Benefit Area, doing business as Mason Transit Authority (MTA), is a Public Transportation Benefit Area (PTBA) Authority, authorized in Chapter 36.57A RCW, located in Mason County, Washington. The service was approved by Mason County voters in November 1991, and MTA began providing public transportation in December 1992. The service area is all of Mason County, if road access is available, with connections to adjacent counties.

The proposition imposing a sales and use tax of two-tenths of one percent (0.2%) to fund public transportation was also passed in November 1991. These actions created the first extensive bus service ever in the county to be operated by either a public or a private provider, and it would be provided as a prepaid fare (fares paid through sales & use taxes) service. After the elimination of Motor Vehicle Excise Tax funds in 1999, voters approved a sales & use tax increase of four-tenths of one percent (.4%). This officially raised the taxing base to six-tenths of one percent (.6%) effective January 1, 2002. Mason Transit Authority then began to charge a fare for routes going out-of-county. The taxing structure remains the same today. Additional funding comes from federal and state grants, rental income and sales of maintenance services.

The Authority began with five wheelchair accessible body-on-chassis type buses that provided service on a general public Dial-a-Ride system. In May 1993, MTA decided to move ahead to a mix of routed and Dial-A-Ride services. Today, this mix of services is still in effect with other services added such as Worker/Driver Commuter Program, Vanpool and Volunteer Driver Program.

WHAT WE DO

MTA provides transportation services consisting of Fixed Route (local and regional deviated fixed routes, Worker/Driver commuter service to Puget Sound Naval Shipyard (PSNS) Demand Response, Vanpools and volunteers using private cars.

Hours of operation of the transportation service are 5:00 a.m. to 8:30 p.m., Monday through Friday, and 6:00 a.m. to 8:30 p.m. on Saturday. There is no service on Sunday, and either no service or reduced service on observed holidays. MTA operates ten (10) Fixed Routes on weekdays and eight (8) routes on Saturdays that allow minimal deviated service to persons traveling off designated routes. Dial-A-Ride service operates in rural areas where there is no fixed route service or where deviations are not possible as well as in populated areas of Mason County for people who have difficulty using the routed service. All Dial-A-Ride service is open to the general public. Riders using Dial-A-Ride can make a trip request from two (2) hours before to two (2) weeks prior to the preferred pick-up time. All vehicles in MTA scheduled service are equipped with bike racks and are accessible to persons with disabilities.

Facilities include the Johns Prairie main base, the downtown Shelton Transit-Community Center and rented satellite office in Belfair. MTA supports a network of park and ride facilities that are located throughout the County by managing and providing routine maintenance for locations owned by Washington State Department of Transportation ("WSDOT"), the County or others.

CORE VALUES

We will strive to provide the best possible transportation experience for our users and improve mobility throughout Mason County, reaching to connect around the region, aiming to enhance the quality of life through opportunities in Mason County.

Our core values or competencies for our team include:

Inspirational Leadership – Takes initiative; acts decisively; creates an environment that motivates and challenges others; adapts to a variety of situations; develops fresh ideas that provide solutions to all types of workplace challenges; shares information, plans, develops, and implements our vision; promotes MTA's mission and values and models ways to achieve them.

Informed Decision Making – Researches data to grasp issues, draw conclusions, and solve problems resulting in sound solutions that, when judged over time, are aligned with MTA's vision and mission; commits to action, even in uncertain situations, to accomplish organizational goals; identifies, assesses and manages risk while striving to attain objectives.

Transparency & Accountability – Builds trust and respect through consistently honest and professional interactions; uses public funds and resources appropriately; approaches each situation with a clear perception of organizational and political realities; recognizes the impact of alternative courses of action; assures that effective controls are developed and maintained to ensure the integrity of the organization and its mission; seeks and builds strategic alliances and collaborative arrangements through partnerships to advance the mission of the organization; actively communicates decisions with stakeholders.

Respectful Relationships – Helps create a work environment that embraces and appreciates diversity; treats others fairly without regard to race, sex, color, religion, or sexual orientation; recognizes differences as opportunities to learn and grow by working together; establishes and maintains constructive relationships; works to preserve the self-confidence and self-esteem of others; focuses on the situation, issue or behavior, not the person; takes initiative to make things better; models appropriate behaviors for others.

Personal Responsibility – Demonstrates integrity, honesty and ethical behavior; personally acknowledges and accepts responsibility for meeting expectations and correcting mistakes; exhibits self-control and responds to

feedback non-defensively; executes principles of workplace safety; complies with all safety policies and procedures; takes responsibility for efficient, effective use of time, equipment, and resources.

Outstanding Customer Service – Provides accurate and timely information; understands and is responsive to our customers' objectives and needs; is accessible, provides timely and responsive replies to customer requests, emails, phone messages and mail; handles customer inquiries and complaints in a prompt, courteous and professional manner while adhering to rules and regulations; anticipates, assesses, responds to changing customer needs; consistently provides products and services that meet or exceed the expectations of the customers.

STRATEGIC PLAN FRAMEWORK

MTA will attempt to integrate the Strategic Plan into all planning documents as a way to create consistency throughout all areas.

The framework for this Strategic Plan focuses on goals and objectives that will assist in achieving the vision and mission of the Agency and contribute to long-range planning and sustainability. The elements of this Strategic Plan are defined as follows:

- Mission: What we do
- Vision: What we want to be
- Guiding Principles: Guides the Agency's daily actions
- Team Culture: Drives our guiding principles through leadership, teamwork and excellence
- Goals: Goals set for the Agency that support the mission and vision
- Objectives: Specific ways the Agency can accomplish the goals

VISION, MISSION, GUIDING PRINCIPLES and TEAM CULTURE

MISSION: We provide transportation choices that connect people, jobs, and community, increasing the quality of life in Mason County.

VISION: Driving Our Community Forward

OUR GUIDING PRINCIPLES: We believe that public transportation and personal mobility are essential to the economic vitality, environmental stability and quality of life in Mason County. Our core values guide our actions each day.

- **Service Excellence:** We go beyond the expectations of our customers and provide inspirational leadership to deliver safe, comfortable and reliable service; we see today's best service as our motivation to make tomorrow's even better.
- **Safety:** We provide and enforce a safe and secure environment for our customers, community and teammates through awareness, consistent training, and allocation of resources.
- **Professionalism:** We conduct our work transactions with integrity, fiscal responsibility in the allocation of resources, and transparency. We engage the community in our decision making by sharing information and encouraging public involvement.
- **Teamwork:** We achieve our greatest success as a team. We embrace diversity, support and treat each other with respect, and use meaningful communication.
- **Partnerships:** We explore and build collaborative alliances with partners and community members to promote and advance our mission.
- **Innovation:** We constantly explore ways to improve. We celebrate inspiration, creativity, initiative and courage in all things to promote an exceptional customer service experience.

TEAM CULTURE: Our Team Culture drives our Vision, Mission and Guiding Principles through Leadership, Teamwork and Excellence. It is our belief culture is needed to provide guidelines on how people work together towards a common goal and how people treat each other. Team Culture is important in supporting each team member to feel they are part of something bigger than themselves and to feel engaged and satisfied with the work they do.



LONG-RANGE STRATEGIC VISION, GOALS AND OBJECTIVES

MTA's long-range strategic vision is to provide safe and accessible transit services to the community that will enhance the quality of life in Mason County. We see MTA as a partner in the community providing transportation to essential services, jobs and social activities. Our commitment is to not only provide safe and accessible services but to provide services that are usable and meet the needs of customers. We know we must change as the community changes and we dedicate ourselves to that effort by understanding what our customers need and want then adjust where feasible. In addition, our strategic vision includes financial stewardship so we can continue the level of service our community has grown accustomed. This requires MTA to operate efficiently and effectively by using our resources responsibly.

Strategic Goals:

Safe and Secure
Effective Transportation Services
Financial Stewardship
Community Partnerships
Workplace culture of excellence

Safe and Secure

Objectives:

- Emphasize safety of our riders, citizens and employees in all aspects of our operations.
- Ensure training for a safe and secure experience for all and to eliminate preventable accidents.
- Provide technology and resources to support secure movement of buses.
- Proactive approach to safety throughout the agency to increase and improve security throughout the service area.
- Enforce transit rules and establish consistency of service to riders in a safe, accessible manner.

2020 Work Plan:

- Quarterly Driver training and refresher training as required.
- Complete CAD/AVL/GPS installation.
- Change from flag stops to fixed stops in urban area of Shelton.
- Curbs or bollards in parking area next to building at Johns Prairie.
- Purchase rain jackets for employee safety.
- Have a manager or supervisor on duty during service hours by moving Ops office to the T-CC.
- Ensure L & I safety compliance through training.
- Review WSTIP Best Practices for safety.
- Define Safety Committee's purpose and direction.

Effective Transportation Services

Objectives:

- Creating a positive transportation experience within all modes of MTA services that is reliable, accessible, equitable, safe, secure and comfortable for all users.
- Establish a culture of customer service and deliver services that are responsive to community needs.
- Strive to look for ways to improve service through a variety of tools including outreach, community meetings, service review and passenger amenities.
- Seek new opportunities to enhance the riders' experience through better route planning and additional services when feasible.

2020 Work Plan

- Review Dial-a-Ride services and hours to ensure efficiency and availability of resources.
- Expand Zipper route time to 8:00am – 5:00pm.
- Seek pilot route opportunities.
- Continue review of the Comprehensive Service Review suggestions to improve services.
- Conduct outreach for all service changes.
- Improve passenger amenities by providing apps and on-line scheduling.
- Plan for 2021 service
- Benchmark route performance and discontinue or adjust low performing routes.

Financial Stewardship

Objectives:

- Operate an efficient, cost-effective system.
- Maintain internal controls and compliance over public resources.
- Provide current, accurate and transparent financial data.
- Strive for a 5-year sustainability plan.
- Plan for future operational and capital needs through maintaining financial reserves.
- Proficiency in regulatory requirements through continuing education.
- Manage key financial indicators.

2020 Work Plan:

- Procurement training for Public Works projects, prevailing wage requirements and Federal Transit Administration compliance.
- Prepare for I-976 impacts.
- Identify needed financial policies or manual to outline financial objectives.
- Ensure compliance of 2019-2021 grant contracts.
- Review 5-year sustainability plan and adjust as needed.
- Complete the competitive purchases analysis for FTA compliance.
- Review and renew leases for T-CC and Johns Prairie tenants.
- Continued work in records management.

Community Partnerships and Responsibility

Objectives:

- Cultivate partnerships throughout the community.
- Participate in outside committees, regional planning organizations and boards.
- Participate in mentorship programs at local schools and colleges.
- Exemplify exceptional customer service that goes above and beyond.
- Provide transportation choices and support travel that uses less energy, produces fewer pollutants and reduces greenhouse gases in the region.
- Support efforts to mitigate traffic congestion throughout the region.
- Cooperative relationships with T-CC tenants and events.

2020 Work Plan:

- Conduct Community Conversations to solicit input regarding MTA services.
- Participate in community events such as Business Expo, job fairs, Allyn Days and Oysterfest.
- Promote City and County partnerships on projects, communication and support.
- Promote Volunteer Driver Program for additional drivers and riders.
- Continue Park & Ride project.
- Brand vehicles with MTA logo and promotion of services.
- Continue progress toward inclusion of electric vehicles.

Workplace Culture

Objectives:

- Provide an atmosphere where employees are valued and respected.
- Develop and empower employees.
- Support the philosophy of team culture.
- Promote healthy dialogue on important issues.
- Encourage an active and engaged environment including Board of Directors.
- Be an employer of choice in Mason County.

2020 Work Plan:

- Improve communications through established methods and monitor outcome through a survey.
- Incorporate strategies for work/life balance in MTA's wellness program and encourage participation.
- Promote skills and job knowledge through webinars, conferences and training.
- Bargain contracts for the Driver and Comm Center Collective Bargaining Units.
- Continue the Employee Engagement Committee for seeking opportunities to improve the work environment.
- Enhance meaningful employee recognition
- Provide more Belfair interaction and oversight.
- Prepare a policy review schedule.

WORK PLAN

An annual Work Plan that serves as a “to-do” list of what the agency expects to accomplish for the year will be included in the Strategic Plan. Work Plan items will tie to an objective to ensure we are moving in a direction that supports our objectives and desired outcomes. Staff will monitor progress throughout the year and report to the Board on a quarterly basis the progress of each Work Plan item.

KEY ISSUES AND OPPORTUNITIES

The Agency will look for key issues and opportunities that may impact the goals of the Agency. Issues may be such things as funding, demographic changes, ridership decline or employee shortage. In looking at current issues impacting the Agency, Leadership will look for ways to minimize the impact and strategize ways to meet the strategic goals and objectives. Opportunities will often be present when issues arise. Leadership will look for new opportunities to improve services and enhance the community along with striving to meet each objective in the Strategic Plan.

MONITORING, EVALUATION AND PLANNING

The Agency will set key performance indicators to measure how well the agency is performing with respect to the Strategic Plan goals and objectives. These indicators such as safety, ridership, financial stewardship will be measured and evaluated on a regular basis to ensure the Agency is moving in the direction expected.

The Strategic Plan will be reviewed quarterly by the Executive Team to assess progress on the year's work plan. A quarterly report will be given to the Board following the review and revisions, if necessary, will be discussed. On an annual basis, a summation of what was accomplished during the prior year will be presented.

As part of the annual budget process, the Leadership Team will set the next year's goals and bring the work plan to the Board for input and suggestions when the draft budget is presented. The work plan will also be part of the public meetings on the budget.

Discussion of the Transportation Development Plan (TDP) will be part of the process of updating the annual work plan; the TDP will then be reviewed and updated when it is due. In all planning documents MTA prepares, the Strategic Plan will be incorporated where applicable.

MOVING FORWARD

We are excited to move forward with implementing this Strategic Plan in the hope that transportation options will continue to grow and be a viable choice throughout Mason County. Staff will use the Strategic Plan as a moving document to assist with bringing multimodal travel into the future to improve the quality of life for the citizens and to connect our community with surrounding communities whether it is for work or pleasure.

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 1 – *Actionable*
Subject: Service Animal and Pets Policy (POL-508)
Prepared by: Mike Ringgenberg, Operations Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The purpose of this policy is to provide guidelines for passengers and patrons with Service Animals and pets; to provide safe transportation for all passengers when Service Animals and pets are on board MTA vehicles or in MTA facilities; and to comply with the Americans with Disabilities Act (ADA) and Washington state law.

This policy will also help drivers with a point of reference when addressing pets on board MTA vehicles.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve Service Animal and Pets Policy (POL-508)

Fiscal Impact:

None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-33 and the attached Service Animal and Pets Policy (POL-508).



Title:	Service Animals and Pets
Number:	508
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Mike Ringgenberg, Operations Manager
Approved by:	Authority Board Resolution No. 2019-33

POL-508 SERVICE ANIMAL AND PETS POLICY

This policy applies to all Mason Transit Authority (MTA) employees and those using MTA Services and Facilities.

1.0 Purpose

The purpose of this policy is to provide guidelines for passengers and patrons with Service Animals and pets; to provide safe transportation for all passengers when Service Animals and pets are on board MTA vehicles or in MTA facilities; and to comply with the Americans with Disabilities Act (ADA) and Washington state law.

2.0 Policy

Mason Transit Authority allows any service animal on board and in all areas of MTA facilities where the public is normally allowed to go.

Therapy animals or comfort animals are not considered service animals.

Any animal/pet which a rider wishes to take on board an MTA vehicle, other than a service animal, must be in a suitable, securely closed carrier/container that the rider or a companion can comfortably carry.

Staff may ask two questions regarding the service animal: 1) is the animal a service animal required because of a disability? and 2) what work, or task has the animal been trained to perform? Staff may not ask about the person's disability or require documentation or ask that the animal demonstrate its ability to perform the work or task.

3.0 Definitions

- 3.1 **Service Animal:** means any dog or miniature horse that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability. MTA shall make reasonable modifications in policies, practices, or procedures to permit the use of a miniature horse by an individual with a disability in accordance with RCW 49.60.040(24) if the miniature horse has been individually trained to do work or perform tasks for the benefit of the individual with a disability. In determining whether reasonable modifications in policies, practices, or procedures can be made to allow a miniature horse into a facility, MTA shall act in accordance with all applicable laws and regulations.



Title:	Service Animals and Pets
Number:	508
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Mike Ringgenberg, Operations Manager
Approved by:	Authority Board Resolution No. 2019-33

A service animal is not a pet. It shall be a civil infraction under chapter 7.80 RCW for any person to misrepresent an animal as a service animal.

- 3.2 Therapy or comfort animals: For the purpose of providing comfort to an individual but are not trained to perform the tasks of a service animal. Animals whose sole function is to provide comfort or emotional support do not qualify as service animals under the ADA. The crime-deterrent effects of an animal's presence and the provision of emotional support, well-being, comfort, or companionship do not constitute work or tasks.
- 3.3 Other animals: Any other animal that can be contained in a carrier that is manageable by the rider or the rider's companion or by the patron.

4.0 Requirements to Ride MTA Services

When traveling with a service animal or other animal, notification must be given to the Communication Center Scheduler when requesting a trip on Dial-a-Ride or a deviation on fixed-route service. The passenger must inform the fixed route driver prior to boarding the bus.

All riders must follow the below policy guidelines when bringing an animal on board an MTA vehicle:

- Service animals must be harnessed, leashed or tethered unless these devices interfere with the service animal's work or the individual's disability prevents using these devices. In that case, the individual must maintain control of the animal through voice, signal or other effective controls.
- Service animals must be working while on MTA vehicles.
- All other animals must be in a carrier/container. The rider or companion must be able to comfortably carry the carrier/container.
- The service animal must remain under control of the owner and behave appropriately as in the manner of a service animal .
- The service animal must remain at the rider's feet or on the lap of the rider. It may not sit on a vehicle seat.
- The animal must not bark or cause a disturbance unless it is a service animal performing tasks it was trained to do in an emergency.
- Birds, reptiles, amphibians, rodents and cats must be kept in a secured, enclosed carrier/container.
- The container must not be in the way of any passengers or block the aisle way of the vehicle.



Title:	Service Animals and Pets
Number:	508
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Mike Ringgenberg, Operations Manager
Approved by:	Authority Board Resolution No. 2019-33

- The animal must not be aggressive toward people or other animals. (49 CFR 37.167(d))

5.0 Denial of Services

Service animals and pets, regardless of training or certification, may be denied transportation if the animal poses a direct threat to the health or safety of others. This also applies to animals in MTA facilities.

A person with a disability cannot be asked to remove his service animal from the premises unless: 1) the service animal is out of control and the owner does not take effective action to control it or 2) the service animal is not housebroken.

When there is a legitimate reason to ask that a service animal be removed, staff must offer the person with the disability the opportunity to obtain goods or services without the animal's presence.

Owners and pets may be excluded from MTA vehicles and facilities if animals are not contained and under control of the owner.

6.0 U.S. Department of Justice

Mason Transit Authority follows the U.S Department of Justice Civil Rights Division Disability Rights Section on Service Animals and Chapter 49.60 RCW.

<https://www.nps.gov/deto/planyourvisit/upload/Service-Animal-Policy-DOJ.pdf>

RESOLUTION NO. 2019-33

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A SERVICE ANIMAL AND PETS POLICY (POL-508).**

WHEREAS, Mason Transit Authority wishes to establish guidelines for passengers and patrons with Service Animals and pets so that safe transportation can be provided for all passengers when Service Animals and pets are on-board MTA vehicles or in MTA facilities, and to comply with Americans with Disabilities (ADA) Act; and

WHEREAS, this policy sets forth guidelines and requirements to ride MTA services with a Service Animal or other animal;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Service Animals and Pets Policy (POL-508), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this Service Animals and Pets Policy (POL-508) shall supersede and replace in full any previously adopted or approved Service Animals and Pets policy.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shuttly, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 2 – *Actionable*
Subject: No Show Policy (POL-509)
Prepared by: Mike Ringgenberg, Operations Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The purpose of this policy is to ensure that MTA's resources are utilized to the maximum extent possible and with that objective in mind, address riders who schedule Dial-A-Ride (DAR) or deviated fixed route (DFR) trips and repeatedly do not use the trip they have scheduled with MTA.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve No Show Policy (POL-509)

Fiscal Impact:

None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-34 and the attached No Show Policy (POL-509).



Title:	No-Show Policy
Number:	509
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Mike Ringgenberg, Operations Manager
Approved by:	Authority Board Resolution No. 2019-34

POL-509 NO-SHOW POLICY

This policy applies to all Mason Transit Authority (MTA) employees and users of MTA services.

1.0 Purpose

The purpose of this policy is to ensure that Mason Transit Authority resources are available to the maximum extent possible and therefore, address riders who schedule Dial-A-Ride (DAR) or deviated fixed route (DFR) trips and repeatedly do not use the scheduled trip.

2.0 Policy

2.1. No Show

A No Show occurs when a rider fails to take a scheduled DAR or DFR either by refusing or not being present to take the scheduled trip. If a rider misses the first scheduled ride of the day, any other rides scheduled for the same day will be canceled.

2.2. Late Cancellation

Trips that are cancelled with less than two hours noticed are considered a Late Cancel. Two Late Cancels are equal to one No Show for the purpose of suspension of services. Cancellations after the window pickup will be considered a No Show.

2.3. Suspension

If a rider No Shows three scheduled trips or Late Cancels six trips in a 30-day period, the rider may be suspended from MTA service for a minimum of one week.

The second suspension will be for a two-week period; a third suspension will be for a three-week period, and so on.

Once the rider has received (either verbal or written) a Notice of Suspension, the rider will not be allowed to schedule rides on DAR or DFR until the suspension has expired. The rider may continue to use fixed route service or may ride DAR or DFR with another rider from the same origin to the same destination. Rides cannot be made on behalf of the suspended rider by another rider that is not riding.



Title:	No-Show Policy
Number:	509
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Mike Ringgenberg, Operations Manager
Approved by:	Authority Board Resolution No. 2019-34

3.0 Warning and Suspension Notices

The rider will receive a written warning after two No Shows or equivalent in a 30-day period. In addition, the Scheduler will remind the rider that if another No Show occurs during the 30-day period, the rider may face a possible suspension.

If a rider is suspended, the Communication Center will notify the rider of the suspension immediately and will follow up with a letter stating the reason and length of the suspension.

4.0 Appeals

The rider may appeal any No Show to an MTA scheduler at any time. The scheduler may remove the No Show from the rider's record if it is clear that the No Show was beyond the rider's control, for example, due to illness or an emergency.

If the No Show is not removed, the rider may request an investigation by the Communication Center Supervisor. A decision to keep or remove the No Show will be made within three business days.

If the Communication Center Supervisor upholds the scheduler's decision not to remove the No Show, a final appeal can be made to Mason Transit's Operations Manager. The request must be made within five business days of the Communication Center Supervisor's decision. The Operations Manager's decision regarding the No Show will be made within three days and is final. The rider may continue to ride pending the outcome of any appeal.

RESOLUTION NO. 2019-34

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A REVISED NO SHOW POLICY (POL-509) AND
SUPERSEDING AND REPLACING IN FULL ANY PREVIOUSLY ADOPTED
OR APPROVED NO SHOW POLICY.**

WHEREAS, Mason Transit Authority desires to consistently ensure that its resources are utilized to the maximum extent possible; and

WHEREAS, this policy sets forth guidelines if riders schedule a Dial-A-Ride (DAR) or deviated fixed route (DFR) trips and repeatedly do not use the trip that they scheduled with MTA;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the No Show Policy (POL-509), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this No Show Policy (POL-509) shall supersede and replace in full any previously adopted or approved No Show policy.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 3 – *Actionable*
Subject: Public Records Request Policy (POL-205)
Prepared by: Tracy Becht, Public Records Officer
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

Previously the MTA Board approved a public records request policy as Exhibit A to Resolution No. 2014-07. The policy is now in the format currently used and has been updated to be in better alignment with the current federal and state laws and the Public Records Act.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve Public Records Request Policy (POL-205)

Fiscal Impact:


None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-35 and the attached Public Records Request Policy (POL-205).

	<p>Title: Public Records Request Policy</p> <p>Number: POL-205</p> <p>Effective: December 17, 2019</p> <p>Cancel: Resolution No. 2014-07</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2019-35</p>
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POL-205 – PUBLIC RECORDS REQUEST POLICY

This policy applies to all persons requesting public records from Mason Transit Authority (MTA), as well as Board members, employees and volunteers relating to Mason Transit Authority records, regardless of format and location, such as on a personal device.

1.0 Policy

It is the policy of Mason Transit Authority to release records of MTA in compliance with the Public Records Act (the Act), as set forth at RCW 42.56, and any other applicable provisions of federal or state law.

The Act requires that agencies, in accordance with published rules, shall make available for public inspection and copying all public records, unless the record falls within the specific exemptions of the Act or other statute which exempts or prohibits disclosure of specific information or records. The Act’s exemptions are found in RCW 42.56.230-.480. Numerous other exemptions and disclosure prohibitions are contained in other state and federal statutes and may apply at the time the request is submitted to MTA.

The Act authorizes redaction of the records with exempt information and with certain identifying details to the extent required to prevent an unreasonable invasion of personal privacy interests RCW 42.56.070. The Act narrowly defines invasion of personal privacy as occurring only if disclosure of information about the person: 1. would be highly offensive to a reasonable person, and 2. is not of legitimate concern to the public. RCW 42.56.050. Washington’s Constitution, article I, section 7, protects unreasonable intrusion into a person’s private affairs.

2.0 Public Records Definition

Public record is defined under the Act to include any writing containing information relating to the conduct of government or the performance of any governmental or proprietary function prepared, owned, used or retained by MTA regardless of form or characteristics. RCW 42.56.010(3). Writing is defined under the Act as: handwriting, typewriting, printing, photocopying, photographing, and any and every other means of recording; any form of communication or representation including but not limited to, letters, words, pictures, sounds, or symbols, or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, motion pictures, film and video recordings, magnetic or punched cards, disks, drums, diskettes, sound recordings, or other documents including existing data compilations from which information may be obtained or translated.

3.0 Request Records

See Also: POL-205, POL-702, POL-703



Title:	Public Records Request Policy
Number:	POL-205
Effective:	December 17, 2019
Cancel:	Resolution No. 2014-07
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-35

No official format is required for making a records request; however, MTA recommends that a requestor submit a request as follows

- The requester may submit a completed Public Records Request Form in person to the Administration office located at 790 East Johns Prairie Road, Shelton, WA 98584, or mail it to that same address; or
- The requester may complete and submit an on-line Public Records Request Form or complete a printed form and email it to publicrecords@masontransit.org.

All requests for public records must include contact information of the requester and detailed information necessary to readily identify the public records requested.

4.0 Response to Request

All requests will be reviewed by the Public Records Officer and legal counsel.

Within five business days of the receipt of a records request, MTA shall conduct a review of the request and respond to the requestor in writing as specified therein. If MTA anticipates being unable to conduct the review within the five-day timeframe, MTA shall respond to the requester within five business days and acknowledge receipt of the request and give a reasonable estimate of the time to conduct the initial evaluation.

MTA may notify the requestor of a delay in providing records within five days in order to:

- Clarify the intent of the request;
- Locate and assemble the information requested;
- Notify third parties or agencies affected by the request; or
- Determine whether any of the information is exempt and whether a denial should be made as to all, or part, of the request.

Upon receipt of a records request MTA shall conduct a review of the request:

- 4.1 Determine whether part or the entire request is unclear. For any part of the request that is unclear, MTA shall ask the requester to clarify what information the requester is seeking. If the requester fails to clarify the request, MTA will not respond to it. For all portions of the request that do not require clarification, MTA shall complete the steps below.
- 4.2 Determine whether the request is for an identifiable existing record. The Public Records Act does not require MTA to compile or create a new record based on a public record request. If a request does not identify an existing record, MTA shall



Title:	Public Records Request Policy
Number:	POL-205
Effective:	December 17, 2019
Cancel:	Resolution No. 2014-07
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-35

- so inform the requester. A request for all or substantially all records prepared, owned, used, or retained by MTA is not a valid request for identifiable records
- 4.3 Determine whether the request is for a Public Record (as defined by RCW 42.56.010(3)). If the request is not for a Public Record, MTA shall so inform the requester.
- 4.4 If the request is for an identifiable Public Record, MTA shall determine whether an exemption applies to all or part of the record. If MTA believes that a record, or a portion thereof, is exempt from disclosure and should be withheld, the public records officer will state the specific exemption and provide a brief explanation of why the record is being withheld. If only a portion of a record is exempt from disclosure and the remainder is not exempt, the public records officer will redact the exempt portions and provide the non-exempt portions.
- 4.5 MTA need not make available for inspection and copying those public records which are specifically exempted from disclosure by provisions in Chapter 42.56 RCW or that are specifically exempted from public inspection and copying by other state or federal regulations.


Some records NOT available for public inspection and copying including, but not limited to:

Records which include:

- Personal information in files maintained for employees, appointees, or elected officials
 - Personnel Evaluations unrelated to acts of misconduct
 - Employee Health Files
- 4.6 Within five business days of receipt of a request (or within the time specified by MTA in its initial response to the requester), and after completing the above review, MTA shall respond to the requester in writing.

This response shall, as appropriate:

- Provide the record(s) for inspection.
- Acknowledge receipt of the request and providing a reasonable estimate of the time MTA will require to respond to the request to make them available for inspection or copying.
- Deny the request. If all or part of the request is denied, indicate which parts are denied and briefly state the reason(s).
- If necessary, ask for clarification of all or part of the request.

	<p>Title: Public Records Request Policy</p> <p>Number: POL-205</p> <p>Effective: December 17, 2019</p> <p>Cancel: Resolution No. 2014-07</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2019-35</p>
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4.7 Inspection of records.

- a. Consistent with other demands, the MTA shall promptly provide space to inspect public records at MTA’s business office located at 790 E Johns Prairie Rd, Shelton, WA 98584. No member of the public may remove a document from the viewing area or disassemble or alter any document. The requestor shall indicate which documents he or she wishes MTA to copy.
- b. The requestor must claim or review the assembled records within thirty days of MTA’s notification to him or her that the records are available for inspection or copying. MTA will notify the requestor in writing of this requirement and inform the requestor that he or she should contact MTA to make arrangements to claim or review the records. If the requestor or a representative of the requestor fails to claim or review the records within the thirty-day period or make other arrangements, MTA may close the request and refile the assembled records. Other public records requests can be processed ahead of a subsequent request by the same person for the same or almost identical records, which can be processed as a new request.

After inspection is complete, the public records officer or designee shall make the requested copies or arrange for copying. Once copied records are produced and/or ready for production, MTA shall notify requestor of applicable fees, as set forth in Resolution No. 2017-36, as amended.

5.0 Request for Records Denial

If MTA denies the request in whole or in part, the requester may submit the request again within five business days for reconsideration along with a short statement explaining why the requester believes the request should be granted. Upon request for reconsideration, the original person conducting the review and the General Manager of MTA shall review the request and, as appropriate, consult legal counsel. MTA will review and complete this process within two business days. If a records request is still considered denied, denial is considered final.

6.0 Release of Records

If the request is for the inspection of records, the compiled records shall be available for inspection by appointment during normal business hours in the administrative offices. No original documents shall be removed from MTA. There is no charge to inspect



Title:	Public Records Request Policy
Number:	POL-205
Effective:	December 17, 2019
Cancels:	Resolution No. 2014-07
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-35

documents. If the requester asks that copies be mailed, MTA shall notify the requester of the shipping charges and any balance owed for copying.

7.0 Electronically Stored Data and Information

Public records in the form of information or data which is electronically stored (on the memory of a computer, a diskette, a magnetic tape, a compact disk, or in other similar ways) shall be subject to public inspection and copying in the same manner as for requesting paper public records. When a requestor requests records in an electronic format, the public records officer will provide the nonexempt records or portions of such records that are reasonably locatable in an electronic format that is generally available. If MTA does not have a scanner readily available, then MTA can provide a paper copy.

8.0 Release of Payroll Information

The release of payroll information will exclude: address or phone number, social security number, voluntary deductions, marital status or dependents, and garnishment deductions.

9.0 Prohibition on Requests for Commercial Uses

This policy shall not be construed as giving authority to MTA to give, sell, or provide access to lists of individuals requested for commercial purposes, and MTA shall not do so unless specifically authorized or directed by law.


10.0 Records as Public Property

All public records are and shall remain the property of MTA. Outgoing officials and employees shall deliver such records to their successors. Public records are preserved, stored, transferred, destroyed, and otherwise managed only in accordance with this policy and applicable state law.

11.0 Index of Public Records

Pursuant to RCW 42.56.070(4) MTA need not maintain such an index, if to do so would be unduly burdensome, but it shall in that event:

- a. Issue and publish a formal order specifying the reasons why and the extent to which compliance would unduly burden or interfere with MTA operations; and
- b. Make available for public inspection and copying all indexes maintained for MTA use.

	<p>Title: Public Records Request Policy</p> <p>Number: POL-205</p> <p>Effective: December 17, 2019</p> <p>Cancel: Resolution No. 2014-07</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2019-35</p>
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12.0 Prohibitions and Exemptions

The Public Records Act, Chapter 42.56 RCW, provides that a number of document types and information are prohibited from being disclosed or are exempt from public inspection and copying. A current list of these prohibitions and exemptions will be provided upon request of the Public Records Officer.

13.0 Protection of Records

If a records request is made at a time when such public records exist but are scheduled for destruction in the near future, MTA shall retain possession of the records, and shall not destroy or erase the records until the request is resolved, except as noted below.

Nothing in this policy prevents MTA from destroying information related to employee misconduct or alleged misconduct as authorized by the Local Government Common Records Retention Schedule, Washington State Archives, and Office of the Secretary of State, as presently constituted or hereafter amended.

MTA shall comply with state and federal laws affecting the maintenance and preservation of MTA records, including but not limited to the guidelines promulgated by the Secretary of the State Division of Archives and Records Management.

14.0 Disclaimer of Liability

Neither MTA nor any officer, employee, official or custodian shall be liable, nor shall a cause of action exist, for any loss or damage based upon a release of public records if the person releasing the records acted in good faith in attempting to comply with this policy. This policy is not intended to expand or restrict the rights of disclosure or privacy as they exist under state and federal law.

15.0 Notification to Affected Persons

MTA may notify an individual that release of a record has been requested that pertains to the individual. MTA, or a person to whom the record applies, may ask a court to prevent an inspection of the record. If a court order preventing disclosure is sought, the records request is on hold until further order of the court per RCW 42.56.540.

RESOLUTION NO. 2019-35

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A PUBLIC RECORDS REQUEST POLICY (POL-205) WHICH
SHALL SUPERSEDE AND REPLACE IN FULL THE PREVIOUSLY ADOPTED
PUBLIC RECORDS REQUEST POLICY ADOPTED BY
RESOLUTION NO. 2014-07.**

WHEREAS, the Mason Transit Authority Board previously adopted a public records request policy by Resolution No. 2014-07; and

WHEREAS, it is necessary to have the policy in MTA's current format, as well as update the policy so that it is in alignment with current federal and state laws and the Public Records Act;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Public Records Request Policy (POL-205), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that Resolution No. 2014-07 shall be rescinded and replaced by this resolution.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 4 – *Actionable*
Subject: Records Management Policy (POL-206)
Prepared by: Tracy Becht, Public Records Officer
Approved by: Danette Brannin, General Manager
Date: December 19, 2019

Background:

The purpose of this policy is to provide requirements and guidelines for MTA Board members, employees and volunteers relating to all MTA records, regardless of format. This policy is in support of MTA fulfilling its mission and responsibilities as required by RCW 40.14 (preservation and proper destruction of records) and RCW 42.56 (the Public Records Act).

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve Records Management Policy (POL-206)

Fiscal Impact:


None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-36 and the attached Records Management Policy (POL-206).

	<p>Title: Records Management Policy</p> <p>Number: 206</p> <p>Effective: December 17, 2019</p> <p>Cancels: N/A</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2019-36</p>
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POL-206 RECORDS MANAGEMENT POLICY

This policy applies to all Mason Transit Authority (MTA) Board members, employees and volunteers and all Mason Transit Authority records, regardless of format.

1.0 Purpose

This records management policy provides requirements and guidelines for the creation, maintenance, use and disposition of Mason Transit Authority records. This policy is designed to:

- 1.1 Demonstrate and document compliance with laws, regulations and standards.
- 1.2 Facilitate and sustain day-to-day operations.
- 1.3 Support budgeting and planning.
- 1.4 Assist in answering questions about past decisions and activities.

2.0 Policy

Proper handling of records enables and supports Mason Transit Authority in fulfilling its mission and the responsibilities required by RCW 40.14 and RCW 42.56. An effective records management program ensures that records necessary for the effective functioning of MTA business are systematically controlled from creation through use, storage and/or disposition.

3.0 Responsibility/Authority:

- 3.1 Public Records Officer: The Public Records Officer is the designated public records officer appointed by resolution by the Authority Board of Mason Transit Authority. The Public Records Officer oversees all records management; advises departments regarding records retention, disposition, public disclosure; and provides records management training.
- 3.2 Acting Public Records Officer: The Acting Public Records Officer, also appointed by resolution by the Authority Board of Mason Transit Authority, shall carry out those duties of the Public Records Officer when absent.
- 3.3 Managers: The Managers will assist and comply with the Public Records Officer’s directions and manage individual department records. Individual departments are responsible for securely maintaining records for the retention period indicated on the retention schedule (as defined in Section 4.0 below). Department responsibilities include ensuring the physical safety of records and ensuring that confidential records are protected from inappropriate release and the day-to-day management of records in all forms and as set forth in RCW 40.14 and 42.56.



Title:	Records Management Policy
Number:	206
Effective:	December 17, 2019
Cancel:	N/A
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-36

- 3.4 Staff: All employees create and use public records as a part of their regular job duties and are responsible for following this policy as well as in-house guidelines and procedures. Staff is expected to be responsible and will be held accountable in meeting Mason Transit Authority’s responsibilities under this policy. Failure to do so could result in disciplinary action.
- 3.5 All: Unless being terminated immediately, Managers and staff that are concluding their employment with Mason Transit Authority shall meet with the Public Records Officer and the Systems Administrator prior to their departure so that all paper and electronic records under that employee’s responsibility are transitioned as appropriate.

4.0 Definitions

4.1 As used in this policy, the following terms shall have the following meanings:

Active Record: An active record is used in an office on a routine basis and accessed at least several times a year. Active records are usually kept on-site.

Archival Record: Public records with the “archival” designation in the Retention Schedule (as defined below) are records which may possess enduring legal and/or historic value and must not be destroyed. Archival Records are to be transferred to the Public Records Officer for proper transference to the Washington State Archives for permanent retention.

Essential Record: Essential records are those records that MTA must have in order to resume core functions and maintain or resume business continuity following a disaster, and support MTA’s legal authority, responsibility, rights and financial status; are necessary to resume and restore operations; and document the rights and obligations of MTA employees and citizens. Essential records require extra care to ensure they are adequately backed up and recoverable in the event of a disaster, such as a fireproof cabinet or backup of electronic records on a remote server. While the retention requirements for essential records may range from very short-term to archival, security backup of these public records shall be created and may be deposited with Washington State Archives.

Inactive Record: A record used or accessed in an office infrequently or no longer used in the conduct of current business, but still required to be kept by the Retention Schedule for legal or historical purposes. Inactive records in other than electronic format shall be stored in the Records Vault until the assigned retention period has been satisfied and shall be transferred to the Washington State



Title:	Records Management Policy
Number:	206
Effective:	December 17, 2019
Cancel:	N/A
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-36

Archives for permanent retention. Inactive records in electronic format shall be transferred electronically to the Washington State Archives.

Public Record: RCW 40.14.010 defines public records as “...any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made or received by any agency of the state of Washington in connection with the transaction of public business...”; or as amended at any time.

Records Disposition: Actions taken with records when they are no longer required to be retained by Mason Transit Authority as set forth in the Retention Schedule. Possible disposition actions include transfer to archives and destruction.


Records Vault: That area of Mason Transit Authority that is secured by key entry and set aside for storage of all Inactive Records, unless custody is transferred to the Washington State Archives for historical preservation.

Retention Schedule: That document setting forth requirements adopted by the Washington State Archivist & Local Records Committee which specifies the length of time each record series will be retained by Mason Transit Authority, whether the record is designated essential, archival or potentially archival, and final disposition of the Public Record.

Transitory Records: Transitory Records are those records identified in the Retention Schedule as such and only document information that is temporary, short-term value, provided that the Public Record is not needed as evidence of a business transaction and is not covered by a more specific record series on the Retention Schedule. Recording the destruction of transitory records is not required.

Record Series: Any group of Public Records that is used as a unit, filed as a unit and can be disposed of as a unit.

Disposition Authority Number: The State Archivist & Local Records Committee assigns a Disposition Authority Number or “DAN” to each Public Record, which is identified in the Retention Schedule. It is up to the person doing the archiving to look up the type of record, locate the DAN and place it on the archive label or work with the Public Records Officer to ensure that the correct DAN is assigned to each record.

	<p>Title: Records Management Policy</p> <p>Number: 206</p> <p>Effective: December 17, 2019</p> <p>Cancel: N/A</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2019-36</p>
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5.0 Record Retention

- 5.1 The Retention Schedules and RCW 40.14 provides Mason Transit Authority with the legal authority to destroy Public Records only after the minimum retention period listed in the Retention Schedules has been met. The retention period is the minimum time that records must be kept.
- 5.2 All destruction of any Public Records, except Transitory Documents, shall be performed and recorded by the Public Records Officer.
- 5.3 Confidential or sensitive records, including non-paper media, must be reduced to an illegible condition when destroyed.

6.0 Electronic Records

- 6.1 Electronic records must be retained in electronic format and remain useable, searchable, retrievable, and authentic for the applicable retention period. Printing and retaining a hard copy is not a substitute for the electronic version. Examples of electronic records include web pages, databases, records “born” in a digital format.
- 6.2 Electronic records must be retained and disposed of based on content rather than format. The Retention Schedule applies to all formats of records, as set forth in RCW 40.14.010
- 6.3 In making decisions about how long to retain electronic records, the Retention Schedule is the *minimum* requirement MTA must hold a record and should be used as a guide as much as possible. The Manager is responsible for determining whether or not it would be better for MTA to retain records for a longer period of time and notify the Public Records Officer for inventory, and if appropriate, storage purposes with a new destruction date to be determined.

7.0 E-mail Employer’s Right to Access

Emails sent or received on MTA accounts, devices or equipment may be accessed and monitored in the normal course of business by system administrators, supervisors and support staff; may be releasable to the public, may require special measures for privacy protection; and are subject to discovery proceedings in legal actions. E-mail either sent from or received on MTA accounts, devices or equipment which relate to or contain information relating to the conduct of MTA business or the performance of any MTA governmental or proprietary function are public records subject to release. E-mails sent or received on personal devices are also public records if the subject of the e-mail is within the scope of employment of the individual. Any e-mails can qualify as public records if they contain any information that refers to or impacts the actions, processes,



Title:	Records Management Policy
Number:	206
Effective:	December 17, 2019
Cancels:	N/A
Prepared by:	Tracy Becht, Public Records Officer
Approved by:	Authority Board Resolution No. 2019-36

and functions of MTA. Employees may be required by MTA to search personal devices for any public records and turn over such records to the Public Records Officer.

8.0 Legal Holds and Public Records Requests

Records involved in litigation or reasonably anticipated or foreseeable litigation will be placed on legal hold and must be preserved until the legal hold is released by the Public Records Officer. If a record(s) covered by a public records request is scheduled for destruction, the record(s) must be retained until the request is fulfilled.

DRAFT

RESOLUTION NO. 2019-36

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A RECORDS MANAGEMENT POLICY (POL-206).**

WHEREAS, Mason Transit Authority wishes to provide a policy that sets forth requirements and guidelines for its Board members, employees and volunteers relating to all MTA records in support of its mission and responsibilities as required by RCW 40.14 and RCW 42.56;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Records Management Policy (POL-206), which is attached hereto and incorporated herein, be established and adopted.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 5 – *Actionable*
Subject: Updated MTA Ridership Incentive Policy (POL-201)
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The MTA Ridership Incentive Policy (POL-201) (previously known as the MTA Bus Passes Policy) was originally created and effective in January, 2014. The policy is now being updated to include new manager and Citizen Adviser titles; new standards by which ridership incentives to designated ridership groups would apply; as well as describe the Transportation Incentive Program System (TIPS) relating to all eligible active duty Navy and Marine Corps personnel, Navy civilians and Non-Appropriated Fund (NAF) employees.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve updated MTA Ridership Incentive Policy (POL-201)

Fiscal Impact:

TBD.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-37 and the attached MTA Ridership Incentive Policy (POL-201).



Title: MTA ~~Bus Passes~~Ridership Incentive Policy
Number: 201
Effective: January 1, 201420
Cancel: ~~Resolution No. 2013-27~~A
Prepared by: LeeAnn McNulty,
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2013-27~~2019-37

POL-201 MTA ~~BUS-PASSES~~Ridership Incentive Policy

~~The purpose of T~~his policy ~~applies is to encourage current~~ employees, their families, retirees, ~~Advisory Board and~~ Authority Board members, ~~Citizen Advisor to the Board, as well as recognized groups who receive travel incentives~~ to use alternate modes of transportation.

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1.0 Eligibility Purpose

The purpose of this policy is to provide the standards by which MTA would provide ridership incentives to designated ridership groups.

~~Employees, their dependents, retirees and Board members are eligible for a bus pass.~~

1.02.0 Employee ID Badge Policy

MTA may provide specific ridership groups travel incentives as an employment benefit, on behalf of serving Mason Transit Authority, or in the transition to utilizing public transportation when receiving travel incentives.

2.1 Transit Employees:

- o MTA employees as well as the transit employees of neighboring agencies will be allowed to utilize Mason Transit services for free as a benefit of service to public transportation.
- ~~employee ID Badge is issued to all eligible MTA employees upon hire.~~
 - ~~The A transit~~ employee ID Badge allows the recipient to ride MTA services for free. Employees not in uniform must show the ID Badge to the Operator each time they board.
 - Under no circumstances may a ~~transit~~ employee use an employee ID Badge other than his/her own. A ~~transit~~ employee will lose bus pass privileges for loaning his/her ID Badge to any other person.
 - If ~~an MTA~~ employee loses his/her employee ID Badge, the loss must be reported immediately to ~~the Human Resource~~Administrative Services Manager, so a replacement can be issued.
 - o Upon termination, the employee must return the ID Badge and will no longer have access to free MTA services.



Title: MTA ~~Bus Passes~~Ridership Incentive Policy
Number: 201
Effective: January 1, 201420
 Cancels: [Resolution No. 2013-27N/A](#)
Prepared by: LeeAnn McNulty,
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2013-27~~2019-37

2.12.2 Retired Employees

- o Employees retiring after 10 or more years of service may receive a bus pass.

2.22.3 Board Members, Citizen Advisor to the Board

- o During Board membership, Board members and the Citizen Advisor to the Board will may receive a bus pass.

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2.32.4 MTA Employee Dependents

An ~~employee's~~MTA employee dependents are eligible to receive a bus pass.

An employee dependent is defined as a spouse as evidenced by a marriage license, a domestic partner, or a dependent child of the employee between the ages of 7 and 19 residing with the employee, and a child older than 19 who resides with the employee but qualifies as a dependent due to a disability. (Children under age seven ride free.)

Proof of relationship must be provided for the issuance of a dependent pass.

- o A spouse must provide a copy of the marriage license or have a signed domestic partner affidavit on file.
- o A dependent child must be listed on a copy of the employee's most recent income tax return or on the employee's medical/dental insurance.
- o A copy of the dependent child's birth certificate or certificate of adoption may substitute for the income tax or insurance documents.

A MTA Spouse/Dependent Bus Pass Request Form must be completed and submitted with proper proof of relationship documentation prior to issuance of the bus pass.

- o Bus passes for dependents of new hires will be issued by appointment with MTA ~~Administrative Services's~~ Office Assistant.
- o Replacement bus passes or passes for existing employees' dependents will be processed the third Friday of each month between the hours of



Title:	MTA Bus Passes <u>Ridership Incentive Policy</u>
Number:	201
Effective:	January 1, 201 4 <u>20</u>
Cancel:	<u>Resolution No. 2013-27N/A</u>
Prepared by:	LeeAnn McNulty, Administrative Services Manager
Approved by:	Authority Board Resolution No. 2013-27 <u>2019-37</u>

1:00 p.m. and 5:00 p.m. by ~~the Office Assistant~~a member of MTA Administrative Services.

Passes will be issued upon the return of the old pass under the following circumstances:

- o Annual renewal with new expiration date.
- o Due to a name change (proof required).

Lost or stolen dependent passes must be reported immediately to ~~the Human Resources Manager~~MTA Administrative Services.

- o Should an employee's spouse or dependent loan or otherwise fraudulently use the bus pass, the bus pass will be retrieved and permanently discontinued.
- o An appeal may be made directly to MTA's General Manager if the employee believes there are reasons for reinstatement.

Upon termination of employment, the employee must return bus passes issued to his/her dependents, unless the termination is due to retirement.

2.5 Transportation Incentive Program System (TIPS)

All active duty Navy and Marine Corps personnel, Navy civilians and Non-Appropriated Fund (NAF) employees are eligible.

During the registration process, TIP passengers who can prove their application to the TIP program, will be allowed to ride for free until they receive their funded program debit card.

2.42.6 Non-Taxable Income

In accordance with IRS rules, the value of a transit pass is excluded from taxable income. Specifically, "A transit pass is any pass, token, fare card, voucher, or similar item entitling a person to ride, free of charge or at a reduced rate on one of the following . . . on mass transit."

RESOLUTION NO. 2019-37

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING AN UPDATED MTA RIDERSHIP INCENTIVE POLICY
(POL-201).**

WHEREAS, Mason Transit Authority wishes to update its existing MTA Ridership Incentive Policy (POL-201) (previously known as the MTA Bus Pass Policy) by including

- Current manager and Citizen Adviser titles;
- New standards by which ridership incentives to designated ridership groups would apply; and
- Describe the Transportation Incentive Program System (TIPS) relating to all eligible active duty Navy and Marine Corps personnel, Navy civilians and Non-Appropriated Fund (NAF) employees.

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the updated MTA Ridership Incentive Policy (POL-201), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this MTA Ridership Incentive Policy (POL-201) shall supersede and replace in full any previously adopted or approved MTA Bus Pass Policy (POL-201) (also the previous policy known as the MTA Bus Pass Policy), including rescinding Resolution No. 2013-17.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member


Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

	<p>Title: MTA Ridership Incentive Policy</p> <p>Number: 201</p> <p>Effective: January 1, 2020</p> <p>Cancels: Resolution No. 2013-27</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-37</p>
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POL-201 MTA Ridership Incentive Policy

This policy applies to current employees, their families, retirees, Authority Board members, Citizen Advisor to the Board, as well as recognized groups who receive travel incentives to use alternate modes of transportation.

1.0 Purpose

The purpose of this policy is to provide the standards by which MTA would provide ridership incentives to designated ridership groups.

2.0 Policy


MTA may provide specific ridership groups travel incentives as an employment benefit, on behalf of serving Mason Transit Authority, or in the transition to utilizing public transportation when receiving travel incentives.

2.1 Transit Employees:

- MTA employees as well as the transit employees of neighboring agencies will be allowed to utilize Mason Transit services for free as a benefit of service to public transportation.
- A transit employee ID Badge allows the recipient to ride MTA services for free. Employees not in uniform must show the ID Badge to the Operator each time they board.
- Under no circumstances may a transit employee use an employee ID Badge other than his/her own. A transit employee will lose bus pass privileges for loaning his/her ID Badge to any other person.
- If an MTA employee loses his/her employee ID Badge, the loss must be reported immediately to Administrative Services, so a replacement can be issued.
- Upon termination, the employee must return the ID Badge and will no longer have access to free MTA services.

2.2 Retired Employees

- Employees retiring after 10 or more years of service may receive a bus pass.

	<p>Title: MTA Ridership Incentive Policy</p> <p>Number: 201</p> <p>Effective: January 1, 2020</p> <p>Cancel: Resolution No. 2013-27</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-37</p>
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2.3 Board Members, Citizen Advisor to the Board

- During Board membership, Board members and the Citizen Advisor to the Board may receive a bus pass.

2.4 MTA Employee Dependents

MTA employee dependents are eligible to receive a bus pass.

An employee dependent is defined as a spouse as evidenced by a marriage license, a domestic partner, or a dependent child of the employee between the ages of 7 and 19 residing with the employee, and a child older than 19 who resides with the employee but qualifies as a dependent due to a disability. (Children under age seven ride free.)

Proof of relationship must be provided for the issuance of a dependent pass.

- A spouse must provide a copy of the marriage license or have a signed domestic partner affidavit on file.
- A dependent child must be listed on a copy of the employee’s most recent income tax return or on the employee’s medical/dental insurance.
- A copy of the dependent child’s birth certificate or certificate of adoption may substitute for the income tax or insurance documents.

A MTA Spouse/Dependent Bus Pass Request Form must be completed and submitted with proper proof of relationship documentation prior to issuance of the bus pass.

- Bus passes for dependents of new hires will be issued by appointment with MTA Administrative Services.
- Replacement bus passes or passes for existing employees’ dependents will be processed the third Friday of each month between the hours of 1:00 p.m. and 5:00 p.m. by a member of MTA Administrative Services.

Passes will be issued upon the return of the old pass under the following circumstances:

- Annual renewal with new expiration date.
- Due to a name change (proof required).

Lost or stolen dependent passes must be reported immediately to MTA Administrative Services.



Title:	MTA Ridership Incentive Policy
Number:	201
Effective:	January 1, 2020
Cancels:	Resolution No. 2013-27
Prepared by:	LeeAnn McNulty, Administrative Services Manager
Approved by:	Authority Board Resolution No. 2019-37

- Should an employee's spouse or dependent loan or otherwise fraudulently use the bus pass, the bus pass will be retrieved and permanently discontinued.
- An appeal may be made directly to MTA's General Manager if the employee believes there are reasons for reinstatement.

Upon termination of employment, the employee must return bus passes issued to his/her dependents, unless the termination is due to retirement.

2.5 Transportation Incentive Program System (TIPS)

All active duty Navy and Marine Corps personnel, Navy civilians and Non-Appropriated Fund (NAF) employees are eligible.

During the registration process, TIP passengers who can prove their application to the TIP program, will be allowed to ride for free until they receive their funded program debit card.

2.6 Non-Taxable Income

In accordance with IRS rules, the value of a transit pass is excluded from taxable income. Specifically, "A transit pass is any pass, token, fare card, voucher, or similar item entitling a person to ride, free of charge or at a reduced rate on one of the following . . . on mass transit."

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 6 – *Actionable*
Subject: Paid Family & Medical Leave Policy (POL-311)
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

This Paid Family & Medical Leave Policy (POL-311) is in conformity with Washington State Paid Family and Medical Leave (PFML) law pursuant to Chapter 50A RCW and other supporting regulations relating to establishing a program administered by the Washington Employment Security Department to provide paid leave benefits and job protection to eligible employees who need leave for certain family and medical reasons.

The policy addresses application of the program and process; eligibility requirements; leave entitlement; payroll deductions; notification; PFML monetary benefits; coordinating with other benefit programs; job restoration and return to work.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve Paid Family & Medical Leave Policy (POL-311)

Fiscal Impact:

None.


Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-38 and the attached Paid Family & Medical Leave Policy (POL-311).



	<p>Title: Washington Paid Family & Medical Leave</p> <p>Number: 311</p> <p>Effective: January 1, 2020</p> <p>Cancels: N/A</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-38</p>
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POL-311 WASHINGTON PAID FAMILY & MEDICAL LEAVE

This policy applies to all non-represented Mason Transit Authority (MTA) employees and those in collective bargaining agreements in existence after October 19, 2017. Employees covered by a collective bargaining agreement in existence prior to October 19, 2017 will be eligible for benefits once the agreement expires, and once the benefits take effect January 1, 2020.

1.0 Purpose

1.1 The Washington State Paid Family and Medical Leave (PFML) law (Chapter 50A RCW) and supporting regulations establish a program administered by the Washington Employment Security Department (ESD) to provide paid leave benefits and job protection to eligible employees who need leave for certain family and medical reasons.

2.0 Policy

2.1 Program Application

This policy provides a summary of the PFML program. Employees may obtain additional information at www.paidleave.wa.gov. To the extent an issue is not addressed in this policy, MTA will administer this benefit program consistent applicable statutes and regulations.

2.2 Eligibility

Under PFML, employees may be eligible for monetary benefits and job protection when taking leave for covered reasons. Eligibility requirements are as follows:

- o Monetary Benefits: In order to be eligible for monetary benefits from ESD, an employee must have worked 820 hours in Washington (for any employer or combination of employers) during the year preceding the claim.
- o Job Protection: In order to be eligible for job protection under PFML, an employee must meet FMLA eligibility requirements (must have worked for MTA for at least 12 months and have worked 1250 hours in the last year).

An employee is ineligible for PFML benefits during any period of suspension from employment or during which the employee works for remuneration or profit (e.g., outside employment or contracting).



Title:	Washington Paid Family & Medical Leave
Number:	311
Effective:	January 1, 2020
Cancels:	N/A
Prepared by:	LeeAnn McNulty, Administrative Services Manager
Approved by:	Authority Board Resolution No. 2019-38

2.3 Leave Entitlement

Eligible employees are entitled to take up to 12 weeks of medical or family leave, or a combined total of 16 weeks of family and medical leave per claim year; an additional two weeks of leave may be available in the event the employee's leave involves incapacity due to her pregnancy. The claim year begins when the employee files a claim for PFML benefits or upon the birth/placement of the employee's child. PMFL leave may be taken for the following reasons:

- Medical Leave: Medical leave may be taken due to the employee's own serious health condition, which is an illness, injury, impairment or physical or mental condition that involves inpatient care or continuing treatment by a health care provider, as those terms are defined under the FMLA and RCW 50A.05.010. However, an employee is not eligible for PFML benefits if the employee is receiving time loss benefits under the workers compensation system.
- Family Leave: Family leave may be taken to care for a covered family member with a serious health condition; for bonding during the first 12 months following the birth of the employee's child or placement of a child under age 18 with the employee (through adoption or foster care); or for qualifying military exigencies as defined under the FMLA. For purposes of family leave, covered family members include the employee's child, grandchild, parent (including in-laws), grandparent (including in-laws), sibling, or spouse.

2.4 Payroll Deductions

The PFML program is funded through premiums collected by ESD via payroll deductions and MTA contributions. The premium rate is established by law; employees are currently responsible for two-thirds of the total premium amount. Should the State in the future modify the PFML premium rate or the percentage of premiums subject to collection through payroll deduction, Mason Transit Authority will modify payroll practices to reflect those statutory changes.

2.5 PFML Application Process

An employee must apply to ESD in order to seek PFML benefits. For guidance on the application process, please refer to the ESD website (www.paidleave.wa.gov). Eligibility determinations will be made by ESD. If approved, the employee will need to file weekly benefit claims with ESD to continue receiving benefits.



Title:	Washington Paid Family & Medical Leave
Number:	311
Effective:	January 1, 2020
Cancels:	N/A
Prepared by:	LeeAnn McNulty, Administrative Services Manager
Approved by:	Authority Board Resolution No. 2019-38

2.6 Notification Requirements

An employee must provide written notice to MTA Administrative Services Manager of the intent to take PFML leave. If the need for leave is foreseeable, notice must be given at least 30 days in advance of the leave. For unforeseeable leave, notice must be given as soon as practicable. The employee's written notice must include the type of leave taken (family or medical), as well as the anticipated timing and duration of the leave. If an employee fails to provide this required notice to the MTA, ESD will temporarily deny PFML benefits. After receiving the employee's notice of the need for leave, MTA will advise the employee whether the employee is eligible for job protection under PFML or FMLA or both.

If leave is being taken for the employee's or family member's planned medical treatment, the employee must make a reasonable effort to schedule the treatment so as not to unduly disrupt Mason Transit Authority operations.


If taking leave intermittently, an employee must notify MTA each time PFML leave is taken so that the MTA may properly track leave use.

2.7 PFML Monetary Benefits

If ESD approves a claim for PFML benefits, partial wage replacement benefit payments will be made by ESD directly to the employee. The amount of the benefit is based on a statutory formula, which generally results in a benefit in the range of 75-90 percent of an employee's average weekly wage, subject to a maximum of \$1,000 per week. ESD's website is expected to include a benefits calculator to assist employees in estimating their weekly benefit amount.

With the exception of leave taken in connection with the birth or placement of a child, monetary PFML benefits are subject to a seven-day waiting period. The waiting period begins on the Sunday of the week in which PFML leave is first taken. The waiting period is counted for purposes of the overall duration of PFML leave, but no monetary benefits will be paid by ESD for that week. MTA will allow the use of paid leave accruals during the seven-day waiting period, this leave is not considered as a supplemental benefit to PFML as the employee will have not received a PFML benefit during this time.

Paid leave accruals (vacation, sick leave, floating holidays, compensatory time, or any other accrued leave) are not supplemental to PFML. An employee may elect

	<p>Title: Washington Paid Family & Medical Leave</p> <p>Number: 311</p> <p>Effective: January 1, 2020</p> <p>Cancel: N/A</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-38</p>
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to use such accrued leave during a PFML-covered absence, although the receipt of accrued leave must be reported to ESD as part of the PFML claims process and will result in a pro-rated weekly PFML benefit. Important note: failure to report the receipt of accrued leave may result in an overpayment by ESD, which ESD may recoup from the employee.

2.8 Coordination with Other Benefit Programs

When an employee is on leave and only receiving PFML benefits, the employee is deemed to be in unpaid status for purposes of MTA policies and benefit programs. Insurance coverage will be handled in the same manner as other unpaid leaves of absence, pursuant to MTA policy and subject to any FMLA or other legal requirements requiring continuation of coverage.

2.9 Job Restoration; Return to Work

An employee who is eligible for job-protected leave will be restored to the same or equivalent position at the conclusion of PFML leave, unless unusual circumstances have arisen (*e.g.*, the employee’s position or shift was eliminated for reasons unrelated to the leave). MTA may require a Job Analysis/Return to Work form from a health care provider before restoring the employee to work following PFML leave where the employee has taken leave for the employee’s own serious health condition. In certain situations, the Employee may be required to provide both a Job Analysis/Return to Work form from both a certified medical examiner, and personal physician achieving concurrence before returning to work. Should a safety sensitive employee be out more than 90 days, they will be subject to a USDOT Pre-Employment drug test.

Under certain conditions, MTA may deny job restoration to a salaried employee who is among the highest paid ten percent of Mason Transit Authority employees. If an employee taking PFML leave chooses not to return to work for any reason, the employee should notify MTA as soon as possible.

RESOLUTION NO. 2019-38

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A PAID FAMILY & MEDICAL LEAVE POLICY (POL-311).**

WHEREAS, Mason Transit Authority wishes to establish guidelines that are in conformity with Washington State Paid Family and Medical Leave (PFML) law pursuant to Chapter 50A RCW and other supporting regulations relating to establishing a program administered by the Washington Employment Security Department to provide paid leave benefits and job protection to eligible employees who need leave for certain family and medical reasons;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Paid Family & Medical Leave Policy (POL-311), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this Paid Family & Medical Leave Policy (POL-311) shall supersede and replace in full any previously adopted or approved Paid Family & Medical Leave policy.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 7 – *Actionable*
Subject: Update to Shared Leave Policy (POL-200)
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The Shared Leave Policy (POL-200) was created in January, 2017 and updated in December, 2018. This latest update relates to the Paid Family & Medical Leave Policy (POL-311) and ensures that this policy is in alignment with that policy and in conformity with Washington State Paid Family and Medical Leave (PFML) law pursuant to Chapter 50A RCW and other supporting regulations related thereto.

This update specifically addresses shared leave and employees in certain collective bargaining units, the expiration or effective dates of certain collective bargaining agreements and non-represented employees.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve updated Shared Leave Policy (POL-200)

Fiscal Impact:

None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-39 and the attached Shared Leave Policy (POL-200).



Title:	Shared Leave
Number:	200
Effective:	December 18, 2018 <u>January 1, 2020</u>
Cancel:	January 17, 2017 <u>December 18, 2018</u>
Prepared by:	Human Resources <u>LeeAnn McNulty,</u> <u>Administrative Services Manager</u>
Approved by:	Authority Board Resolution No. 2018-26 <u>2019-40</u>

POL-200 ~~DONATING AND RECEIVING~~ SHARED LEAVE

This policy applies to all Mason Transit Authority (MTA) employees who have completed probation.

1.0 Policy

This policy permits employees to share their accrued vacation or sick leave with an eligible employee whose leave balances may be depleted by reason of extraordinary, catastrophic severe illness or injury involving the employee or their immediate family.

2.0 Employees Must Meet Criteria Set Forth to Qualify for Shared Leave

MTA has established that employees must meet specific criteria to receive shared leave. Eligibility will be determined by the Human Resources Manager based on these criteria:

- ~~Donee's t~~ Total accrued leave balances must be exhausted, or will be exhausted, according to MTA's policies for the use of leave.
- ~~The Donee m~~ Must submit documentation from a primary healthcare provider verifying the ~~employee~~ ~~Donee~~ suffers from, or has an immediate family member suffering from, an extraordinary, catastrophic severe illness, injury or impairment, or physical or mental condition.
- ~~The Donee's j~~ Job is one in which vacation and sick leave can be accrued and used.
- ~~The Donee is i~~ ineligible for Worker's Compensation, unemployment, state retirement, or long-term disability insurance.
- The condition has caused or is likely to cause the ~~Donee employee~~ to go on leave without pay.
- The ~~Donee employee~~ has not received more than a total of 600 hours of shared leave throughout the term of their employment.

3.0 Employees Must Request Shared Leave through the ~~Human Resources~~ Administrative Services Manager

All shared leave requests will be coordinated through the ~~Human Resources~~ Administrative Services Manager. The request shall include:

- Verbal or written statement requesting shared leave.
- Supporting evidence of need for shared leave, including appropriate medical documentation and/or justification.
- Length of time the ~~Donee~~ employee can reasonably be expected to be absent due to condition.



Title: Shared Leave
Number: 200
Effective: ~~December 18, 2018~~ January 1, 2020
Cancel: ~~January 17, 2017~~ December 18, 2018
Prepared by: ~~Human Resources~~ LeeAnn McNulty,
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2018-26~~ 2019-40

- Amount of shared leave hours requested.
- Confirmation from requesting employee if the request be anonymous.

4.0 Employee Shall Not Receive More Than the Amount Necessary to Cover Time Off

Employee requesting shared leave shall not receive more than the amount necessary to cover the time off from work for the condition for which leave is requested.

5.0 Personal Situation Kept Confidential

Personal situation and reason for needing shared leave will be kept confidential by [Human Resources](#) [Administrative Services](#) and management without specific authorization from the employee receiving the donated leave.

6.0 Donations will be Kept Confidential

The names of those donating vacation or sick leave to an individual is confidential and will not be released to the employee receiving donations.

7.0 Leave Balances Must Stay Above 40 Hours of MTASL Sick Leave and 40 hours of Vacation Leave

Employees wishing to donate Vacation or MTASL Sick Leave must have actual hours accrued and are required to reserve a minimum of 40 hours of vacation and 40 hours of MTASL Sick Leave for their own needs. Sick leave hours earned through POL-309 Washington Paid Sick Leave policy are not eligible for shared leave donation.

8.0 Terminating Employees

Employees who have given notice to separate may not donate or receive donated vacation or sick leave.

9.0 All Donations Shall be Voluntary

No coercion, threats, intimidation or financially induced efforts will be tolerated. Such behavior will be subject to disciplinary action up to and including termination.

10.0 Donation Acknowledged in Writing

All donations will be screened to ensure compliance with #7, then accepted by [Human Administrative Services](#) [Resources](#) and acknowledged in writing.

11.0 Return of Shared Leave to Donor



Title: Shared Leave
Number: 200
Effective: ~~December 18, 2018~~ January 1, 2020
Cancel: ~~January 17, 2017~~ December 18, 2018
Prepared by: ~~Human Resources~~ LeeAnn McNulty,
Administrative Services Manager
Approved by: Authority Board
Resolution No. 2018-262019-40

Unused shared leave may not be returned until the ~~Donee~~ employee is released to work and has obtained a statement indicating the employee's condition has been resolved. To the extent administratively feasible, the unused leave which was transferred by more than one employee shall be returned on a pro rata basis (see RCW 41.04.665).

12.0 Leave will be Donated Hour for Hour

No consideration is given to the dollar value of the leave donated. All donations are on an hour-for-hour basis and in one-hour increments. An employee receiving and using shared leave hours from another employee is paid for such hours based on the receiving employee's work schedule and at the receiving employee's rate of pay.

13.0 Employee Maintains Status

While on shared leave, the requesting employee maintains their regular status and benefits with MTA until exhaustion of FMLA.

14.0 FMLA Will Run Concurrent

Shared leave will run concurrent with FMLA leave as required by MTA policy and law.

15.0 Shared Leave and Paid Family Medical Leave (PFML)

Per Washington State RCW 50A.04.235, PFML is not available to employees in collective bargaining agreements (CBA) dated prior to October 19, 2017 until they expire. MTA employees who remain in a CBA dated prior to October 19, 2017, will be entitled to Shared Leave until the contract expires.

Shared leave is no longer available to non-represented employees and those in the Maintenance bargaining group effective January 1, 2020 when the PFML benefit becomes available.

This Shared Leave policy will be rescinded entirely effective September 1, 2020, at the time that any remaining excluded represented employees become eligible for PFML.

RESOLUTION NO. 2019-39

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING AN UPDATED SHARED LEAVE POLICY (POL-200).**

WHEREAS, Mason Transit Authority wishes to update its Shared Leave Policy to have it in conformity with Washington State Paid Family and Medical Leave (PFML) law pursuant to Chapter 50A RCW and other supporting regulations related thereto and further to bring it into alignment with MTA's Paid Family & Medical Leave Policy (POL-311).

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the updated Shared Leave Policy (POL-200), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this Shared Leave Policy (POL-200) shall supersede and replace in full any previously adopted or approved Shared Leave Policy (POL-200), including rescinding Resolution No. 2018-26.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member


Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

	<p>Title: Shared Leave</p> <p>Number: 200</p> <p>Effective: January 1, 2020</p> <p>Cancels: December 18, 2018</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-40</p>
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POL-200 SHARED LEAVE

This policy applies to all Mason Transit Authority (MTA) employees who have completed probation.

1.0 Policy

This policy permits employees to share their accrued vacation or sick leave with an eligible employee whose leave balances may be depleted by reason of extraordinary, catastrophic severe illness or injury involving the employee or their immediate family.

2.0 Employees Must Meet Criteria Set Forth to Qualify for Shared Leave

MTA has established that employees must meet specific criteria to receive shared leave. Eligibility will be determined by the Human Resources Manager based on these criteria:

- Total accrued leave balances must be exhausted, or will be exhausted, according to MTA’s policies for the use of leave.
- Must submit documentation from a primary healthcare provider verifying the employee suffers from, or has an immediate family member suffering from, an extraordinary, catastrophic severe illness, injury or impairment, or physical or mental condition.
- Job is one in which vacation and sick leave can be accrued and used.
- Ineligible for Worker’s Compensation, unemployment, state retirement, or long-term disability insurance.
- The condition has caused or is likely to cause the employee to go on leave without pay.
- The employee has not received more than a total of 600 hours of shared leave throughout the term of their employment.

3.0 Employees Must Request Shared Leave through the Administrative Services Manager

All shared leave requests will be coordinated through the Administrative Services Manager. The request shall include:

- Verbal or written statement requesting shared leave.
- Supporting evidence of need for shared leave, including appropriate medical documentation and/or justification.
- Length of time the employee can reasonably be expected to be absent due to condition.
- Amount of shared leave hours requested.
- Confirmation from requesting employee if the request be anonymous.

See Also: Employee Handbook, PRO-200, FRM-200A, FRM-200B



Title: Shared Leave
Number: 200
Effective: January 1, 2020
Cancels: December 18, 2018
Prepared by: LeeAnn McNulty,
Administrative Services Manager
Approved by: Authority Board
Resolution No. 2019-40

4.0 Employee Shall Not Receive More Than the Amount Necessary to Cover Time Off

Employee requesting shared leave shall not receive more than the amount necessary to cover the time off from work for the condition for which leave is requested.

5.0 Personal Situation Kept Confidential

Personal situation and reason for needing shared leave will be kept confidential by Administrative Services and management without specific authorization from the employee receiving the donated leave.

6.0 Donations will be Kept Confidential

The names of those donating vacation or sick leave to an individual is confidential and will not be released to the employee receiving donations.

7.0 Leave Balances Must Stay Above 40 Hours of MTASL Sick Leave and 40 hours of Vacation Leave

Employees wishing to donate Vacation or MTASL Sick Leave must have actual hours accrued and are required to reserve a minimum of 40 hours of vacation and 40 hours of MTASL Sick Leave for their own needs. Sick leave hours earned through POL-309 Washington Paid Sick Leave policy are not eligible for shared leave donation.

8.0 Terminating Employees

Employees who have given notice to separate may not donate or receive donated vacation or sick leave.

9.0 All Donations Shall be Voluntary

No coercion, threats, intimidation or financially induced efforts will be tolerated. Such behavior will be subject to disciplinary action up to and including termination.


10.0 Donation Acknowledged in Writing

All donations will be screened to ensure compliance with #7, then accepted by Administrative Services and acknowledged in writing.

11.0 Return of Shared Leave to Donor

Unused shared leave may not be returned until the employee is released to work and has obtained a statement indicating the employee's condition has been resolved. To the extent administratively feasible, the unused leave which was transferred by more than one employee shall be returned on a pro rata basis (see RCW 41.04.665).

See Also: Employee Handbook, PRO-200, FRM-200A, FRM-200B

	<p>Title: Shared Leave</p> <p>Number: 200</p> <p>Effective: January 1, 2020</p> <p>Cancels: December 18, 2018</p> <p>Prepared by: LeeAnn McNulty, Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-40</p>
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12.0 Leave will be Donated Hour for Hour

No consideration is given to the dollar value of the leave donated. All donations are on an hour-for-hour basis and in one-hour increments. An employee receiving and using shared leave hours from another employee is paid for such hours based on the receiving employee’s work schedule and at the receiving employee’s rate of pay.

13.0 Employee Maintains Status

While on shared leave, the requesting employee maintains their regular status and benefits with MTA until exhaustion of FMLA.

14.0 FMLA Will Run Concurrent

Shared leave will run concurrent with FMLA leave as required by MTA policy and law.

15.0 Shared Leave and Paid Family Medical Leave (PFML)

Per Washington State RCW 50A.04.235, PFML is not available to employees in collective bargaining agreements (CBA) dated prior to October 19, 2017 until they expire. MTA employees who remain in a CBA dated prior to October 19, 2017, will be entitled to Shared Leave until the contract expires.

Shared leave is no longer available to non-represented employees and those in the Maintenance bargaining group effective January 1, 2020 when the PFML benefit becomes available.

This Shared Leave policy will be rescinded entirely effective September 1, 2020, at the time that any remaining excluded represented employees become eligible for PFML.

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 8 – *Actionable*
Subject: Employee Recognition Policy (POL-302)
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The Employee Recognition Policy was originally created in 2015 and updated in 2017. The policy is now being updated to provide for an Employee Engagement Committee and its function, as well as recognition events, employee appreciation days and the annual WSDOT Wall of Fame annual recognition program.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve the updated Employee Recognition Policy (POL-302)

Fiscal Impact:

Approximately \$8,500 per year.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-40 and the attached Employee Recognition Policy (POL-302).



Title: Employee Recognition Program
Number: 302
Effective: December 19~~7~~, 2017~~9~~
Cancel: ~~Nov~~December 17~~9~~, 2015~~7~~
Prepared by: LeeAnn McNulty
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2017-41-2019-XX40~~

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POL-302 EMPLOYEE RECOGNITION PROGRAM

This policy applies to all Mason Transit Authority (MTA) employees

1.0 Purpose

- 1.1 Employee recognition means any award, token of appreciation, gift, prize, meal, entertainment, or event that is intended to specifically promote good will; foster a sense of pride in affiliation with MTA, promote safety, productivity, reliability, efficiency, dedication, commitment to the community, and/or cost savings for MTA.

2.0 Policy

- 2.1 MTA or its individual departments, subject to budgetary authority and in accordance with RCW 41.60.150, expend funds for the purpose of employee recognition. ~~Recognition will be of de minimis value. In no event shall the total of all awards/gifts received by an employee exceed the non-taxable limit as set by the Internal Revenue Service.~~ The expenditure of funds for meals related to an employee recognition event must be authorized by the General Manager in ~~advance, and advance and~~ may not exceed for per-employee cost of meals covered under MTA's Travel and Expense Policy governing travel-status meals. The General Manager must approve the expenditures of funds for use of facilities, entertainment, or similar costs for the purposes of employee recognition in advance.
- 2.2 At the direction of the General Manager, Administrative Services department will coordinate employee events and awards. Departments will manage the department level employee recognition events and awards. Recognition events and awards must follow a reasonable standard. MTA encourages recognition activities that provide employees and volunteers a meaningful experience, but not considered extravagant by community standards, and in accordance with standards outlined in RCW 41.60.150, Recognition Awards.

Commented [DB1]: This is not applicable because even if a \$5 gift card is given it must be reported.

- 2.3 An Employee Engagement Committee will be maintained to assist the General Manager and Administrative Services with employee recognition and events.

3.0 Annual Recognition Event

- 3.1 This event will be coordinated by the General Manager and Administrative Services department, ~~based on input from the Leadership Team.~~ Funding for the

See Also: N/A
Page 1 of 4



Title: Employee Recognition Program
Number: 302
Effective: December 19~~7~~, 2017~~9~~
 Cancels: ~~Nov~~December 17~~9~~, 2015~~7~~
Prepared by: LeeAnn McNulty
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2017-41~~2019-~~XX~~40

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program will be maintained centrally within the Administrative Services department.

3.1.1 **Years of Service:** Employees will be recognized annually for years of service. At five-year increments, an award may be given to an official or employee who has completed aggregate Mason Transit Authority years of service. An employee reaching a milestone will be honored with \$25 and a lapel pin for each five-year increment, not to exceed \$100. After 20-years of service a jacket, plaque or other comparable gift will be given in addition to the monetary award.

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3.1.2 **Driver Safety Awards:** ~~Employees-Drivers~~ will be recognized annually for zero preventable accidents. A safety award will be given in the first pay period in December in the amount of \$200 for those who have zero preventable accidents, no safety suspensions, no Category A or B safety violations and less than three (3) valid incidents as determined by the Event Process.

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3.1.3 ~~General Manager Recognition~~**Employee of the Year Award:** ~~This award will be used in extreme areas of exceptional performance or career achievement. For example, inspires and provides opportunities to motivate, lead and/or develop others; develops crucial process, product or technology over a sustained period of time with significant impact; or produces significant cost savings.~~ This award will be given to an individual who best exemplifies the agency's mission, vision and guiding principles in customer service, commitment to enhancing services for quality of life for Mason County citizens, going above and beyond in daily work habits, consistent effort to improve skills and an inspiration to employees and citizens. This award will be selected through a nomination process by employees and selected by the Employee Engagement Committee, which consists of employees from all departments and positions.

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The committee will request nominations from employees. Once received by the committee, nominations will be scored on a scale of 1 -5 in each of the areas of customer service, commitment, going above and beyond, consistency and inspiration. The committee will also include Star Awards, Customer Comments and other such accolades as part of the evaluation.



Title: Employee Recognition Program
Number: 302
Effective: December 197, 20179
Cancel: ~~Nov~~December 179, 20157
Prepared by: LeeAnn McNulty
 Administrative Services Manager
Approved by: Authority Board
 Resolution No. ~~2017-41~~2019-40

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The nominee with the highest score will receive the Employee of the Year award. The recipient will receive a de minus gift, press release, annual parking spot and recognition at the annual All Staff meeting.

4.0 Star Award

4.1 The Star Award is recognition given from one employee to other employees for day-to-day good deeds which could include help on a project, exemplary customer service, an innovative idea, or overall positive attitude and performance.

5.0 Retirement Awards

5.1 Administrative Services department and department heads will work together to honor retirees by providing cake, a small gift, card and beverages.

6.0 MTA Employee Appreciation Day

6.1 During the Spring National Transportation week and the Transit Driver Recognition Day, staff will be honored through an event, small gift or other de minimus recognition. ~~exempt employees will honor all non-exempt employees for their service.~~

7.0 Employee Recognition Awards

7.1 To assist managers in recognizing outstanding performance and excellence through items of de minimis value in a manner that fits the needs of the department.

8.0 Wall of Fame

8.1 The Wall of Fame is a Washington State Department of Transportation recognition program that recognizes exemplary employees, as nominated by their employers, for their dedication, innovation, customer service, and professionalism.

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8.2 Honorees will be selected from nominations to the Employee Engagement Committee. Criteria of selection will be based on demonstration of excellence in MTA's core competencies and/or guiding principles; being conscientious, innovative, providing excellent customer service (internally and/or externally), demonstrating leadership or can-do attitudes, improving communications, cutting costs, reducing customer complaints, managing successful promotional

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Title: Employee Recognition Program
Number: 302
Effective: December 19~~7~~, 2017~~9~~
Cancel: ~~Nov~~December 17~~9~~, 2015~~7~~
Prepared by: LeeAnn McNulty
Administrative Services Manager
Approved by: Authority Board
Resolution No. ~~2017-41~~2019-~~XX~~40

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campaigns, or working together to improve a process. Individuals and/or teams can be recognized.

8.3 Honorees will be eligible to attend the annual Public Transportation Conference and Wall of Fame Award Banquet.

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RESOLUTION NO. 2019-40

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A REVISED EMPLOYEE RECOGNITION POLICY (POL-302)
AND SUPERSEDING AND REPLACING IN FULL ANY PREVIOUSLY
ADOPTED OR APPROVED EMPLOYEE RECOGNITION POLICY.**

WHEREAS, Mason Transit Authority has previously created and revised its Employee Recognition Policy (POL-302) and now the policy needs to be updated to provide for the Employee Engagement Committee and its functions, as well as other recognition events, employee appreciation days and the annual Washington State Department of Transportation Wall of Fame annual recognition program;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Employee Recognition Policy (POL-302), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this Employee Recognition Policy (POL-302) shall supersede and replace in full any previously adopted or approved employee recognition policy, including rescinding Resolution No. 2017-41.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member


Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

	<p>Title: Employee Recognition Program</p> <p>Number: 302</p> <p>Effective: December 17, 2019</p> <p>Cancels: December 19, 2017</p> <p>Prepared by: LeeAnn McNulty Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2019-40</p>
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POL-302 EMPLOYEE RECOGNITION PROGRAM

This policy applies to all Mason Transit Authority (MTA) employees

1.0 Purpose

1.1 Employee recognition means any award, token of appreciation, gift, prize, meal, entertainment, or event that is intended to specifically promote good will; foster a sense of pride in affiliation with MTA, promote safety, productivity, reliability, efficiency, dedication, commitment to the community, and/or cost savings for MTA.

2.0 Policy

2.1 MTA or its individual departments, subject to budgetary authority and in accordance with RCW 41.60.150, expend funds for the purpose of employee recognition. The expenditure of funds for meals related to an employee recognition event must be authorized by the General Manager in advance and may not exceed for per-employee cost of meals covered under MTA’s Travel and Expense Policy governing travel-status meals. The General Manager must approve the expenditures of funds for use of facilities, entertainment, or similar costs for the purposes of employee recognition in advance.

2.2 At the direction of the General Manager, Administrative Services department will coordinate employee events and awards. Departments will manage the department level employee recognition events and awards. Recognition events and awards must follow a reasonable standard. MTA encourages recognition activities that provide employees and volunteers a meaningful experience, but not considered extravagant by community standards, and in accordance with standards outlined in RCW 41.60.150, Recognition Awards.

2.3 An Employee Engagement Committee will be maintained to assist the General Manager and Administrative Services with employee recognition and events.

3.0 Annual Recognition Event

3.1 This event will be coordinated by the General Manager and Administrative Services department. Funding for the program will be maintained centrally within the Administrative Services department.

3.1.1 **Years of Service:** Employees will be recognized annually for years of service. At five-year increments, an award may be given to an official or employee who has completed aggregate Mason Transit Authority years



Title:	Employee Recognition Program
Number:	302
Effective:	December 17, 2019
Cancels:	December 19, 2017
Prepared by:	LeeAnn McNulty Administrative Services Manager
Approved by:	Authority Board Resolution No. 2019-40

of service. An employee reaching a milestone will be honored with \$25 and a lapel pin for each five-year increment, not to exceed \$100. After 20-years of service a jacket, plaque or other comparable gift will be given in addition to the monetary award.

3.1.2 **Driver Safety Awards:** Drivers will be recognized annually for zero preventable accidents. A safety award will be given in the first pay period in December in the amount of \$200 for those who have zero preventable accidents, no safety suspensions, no Category A or B safety violations and less than three (3) valid incidents as determined by the Event Process.

3.1.3 **Employee of the Year Award:** This award will be given to an individual who best exemplifies the agency's mission, vision and guiding principles in customer service, commitment to enhancing services for quality of life for Mason County citizens, going above and beyond in daily work habits, consistent effort to improve skills and an inspiration to employees and citizens. This award will be selected through a nomination process by employees and selected by the Employee Engagement Committee, which consists of employees from all departments and positions.

The committee will request nominations from employees. Once received by the committee, nominations will be scored on a scale of 1 -5 in each of the areas of customer service, commitment, going above and beyond, consistency and inspiration. The committee will also include Star Awards, Customer Comments and other such accolades as part of the evaluation.

The nominee with the highest score will receive the Employee of the Year award. The recipient will receive a de minus gift, press release, annual parking spot and recognition at the annual All Staff meeting.

4.0 Star Award

4.1 The Star Award is recognition given from one employee to other employees for day-to-day good deeds which could include help on a project, exemplary customer service, an innovative idea, or overall positive attitude and performance.

5.0 Retirement Awards

5.1 Administrative Services department and department heads will work together to honor retirees by providing cake, a small gift, card and beverages.



Title:	Employee Recognition Program
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Effective:	December 17, 2019
Cancels:	December 19, 2017
Prepared by:	LeeAnn McNulty Administrative Services Manager
Approved by:	Authority Board Resolution No. 2019-40

6.0 MTA Employee Appreciation Day

6.1 During the Spring National Transportation week and the Transit Driver Recognition Day, staff will be honored through an event, small gift or other de minimis recognition.

7.0 Employee Recognition Awards

7.1 To assist managers in recognizing outstanding performance and excellence through items of de minimis value in a manner that fits the needs of the department.

8.0 Wall of Fame

8.1 The Wall of Fame is a Washington State Department of Transportation recognition program that recognizes exemplary employees, as nominated by their employers, for their dedication, innovation, customer service, and professionalism.

8.2 Honorees will be selected from nominations to the Employee Engagement Committee. Criteria of selection will be based on demonstration of excellence in MTA's core competencies and/or guiding principles; being conscientious, innovative, providing excellent customer service (internally and/or externally), demonstrating leadership or can-do attitudes, improving communications, cutting costs, reducing customer complaints, managing successful promotional campaigns, or working together to improve a process. Individuals and/or teams can be recognized.

8.3 Honorees will be eligible to attend the annual Public Transportation Conference and Wall of Fame Award Banquet.

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 9 – *Actionable*

Subject: Surplus IT Equipment

Prepared by: Danette Brannin, General Manager

Approved by: Danette Brannin, General Manager

Date: December 17, 2019

Background:

Attached is a list of IT items no longer in use or useful. It is recommended to surplus the assets listed.

Summary: Approve surplusing certain identified IT equipment.

Fiscal Impact:

TBD.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-41 regarding the disposal of the assets as set forth in Exhibit A to that resolution.

RESOLUTION NO. 2019-41

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
AUTHORIZING THE DISPOSAL OF SURPLUS EQUIPMENT.**

WHEREAS, Mason Transit Authority has adopted policies to ensure the fair, impartial, responsible and practical disposition of surplus property of MTA and such policies ensure that the public shall receive the greatest possible value for such items; and

WHEREAS, certain equipment as set forth in Exhibit A attached hereto have been deemed no longer useful; and

WHEREAS, there is value to these items and by the disposal of such assets, MTA will be able to use the funds for other current needs of MTA;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the items identified on Exhibit A attached hereto be deemed surplus and that the items be sold pursuant to MTA's disposition of surplus property policy.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shuttly, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board

EXHIBIT A TO RESOLUTION NO. 2019-41
LIST OF ITEMS FOR SURPLUS

Description	Asset Tag	Serial Number
Acer AL1916W	18-2497	ETL800C0377490EEB64026
Dell E1910Hc	18-2498	CN-0D176P-64180-0C8-1UPS
HP Compaq LE2202x	16-1564	3CQ22829Z7
Dell E2210Hc	1273	MX-0P875P-70715-089-06ES
Dell G2410t	11-1272	CN-0U334K-74445-99R-AZMU
Dell P2411Hb	18-2542	CN-0F8NDP-74261-11V-17MU
Dell G2410t	1260	CN-0U334K-74445-99P-244U
Dell E2211Hb	16-1642	MX-019G4H-74262-14F-2CPU
Dell 2009Wt	11-1256	CN-0FH8MW-74445-0AD-C2CL
Dell E2011Hc	16-1637	CN-02H2VM-64180-198-0CUM
Dell ST2320Lf	16-1648	CN-0GRV8V-72872-16B-J04L
Dell 2009Wt	1261	CN-0FH8MW-74445-0AD-C28L
Dell E2211Hc	18-2549	CN-07N012-64180-19T-0STM
Dell E2211Hc	16-1499	CN-07N012-64180-19T-0R7M
HP Compaq LE2202x	16-2381	3CQ22829Y1
Dell 2408WFPb	18-2521	MX-0G283H-74262-94M-16ES
Dell E2209Wf	18-2522	CN-0U853F-72872-8BH-0CNM
Dell P1914Sf	18-2489	CN-0YGP39-72872-46C-ECKL
Dell G2210t	1264	CN-0U165K-74445-99Q-A14L
Dell E2210f	1265	CN-0T776R-72872-996-2T6L
HP Compaq 1825	18-2533	TW241PB695
HP Compaq 1825	18-2536	CNB447000S
Dell 2009Wt	11-1276	CN-0FH8MW-74445-0AD-C2AL
Dell E207WFPc	18-2530	CN-0TW956-64180-7AQ-09HA
Dell E1914Hc	16-1896	cn-04ff47-64180-51J-02EB
Dell E1914Hc	16-1902	cn-04ff47-64180-51J-02JB
Dell E1914Hc	16-1905	cn-04ff47-64180-51J-026B
Dell E1914Hc	16-1885	cn-04ff47-64180-51J-02PB
HP W2082a	N/A	CNC621NSWG
Dell E1914Hc	16-1958	CN-04FF47-64180-51J-02QB
Dell E1910Hc	16-1887	CN-04FF47-64180-51J-02BB
Dell E1910Hc	16-1893	CN-04FF47-64180-51J-023B
Dell E1914Hc	16-1876	CN-04FF47-64180-51J-02VB
HP W2082a	18-2518	CNC621NSVJ
DELL E1914Hc	16-1822	CN-04FF47-64180-51J-02LB
Dell E1914Hc	16-1890	CN-04FF47-64180-51J-028B

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 10 – *Actionable*
Subject: Park & Ride Project – Change Orders *Actionable*
Prepared by: Danette Brannin, General Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

As the park and ride project is underway, we wish to keep Active Construction Inc. (ACI) actively working on various aspects of the project, which in some cases, will require a change order.

The General Manager currently has authority up to \$25,000, however, with respect to the size and scope of this project, change orders may be significantly more. For that reason, I am seeking authority from the Board to make change orders up to \$120,000 so that we can keep the project on track without costly slow downs or wait time.

I will report all change orders to the Board at the following board meeting after approval so as to keep the Board informed of all costs, changes and progression related to the project.

This authority is only good for the current contract with ACI to construct the roundabout and preliminary site preparation or through June 30, 2020, whichever is the earliest date. This authorization does not apply to any other project or procurement.

Summary: Approve the General Manager to approve change orders up to \$120,000.

Fiscal Impact:

TBD.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve the General Manager to approve change orders up to \$120,000 relating to the current contract with ACI, through completion of the roundabout and preliminary site preparation or until June 30, 2020, whichever date is earliest.

Mason Transit Authority Regular Board Meeting

Agenda Item: New Business – Item 11 – *Actionable*
Subject: Updated Procurement Policy (POL-407)
Prepared by: LeeAnn McNulty, Administrative Services Manager
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Background:

The Procurement Policy was most recently updated in 2018 to reflect the FTA's change in the micro-purchase threshold from \$3,000 to \$10,000. MTA continued to recognize the existing \$3,000 micro-purchase threshold, but have found that in keeping with that threshold, it has proven to be more cumbersome than need be when making needed purchases. This is due to having to include federal stipulations for purchases between \$3,000 and \$10,000 when not required by the FTA but by our policy. Purchases above \$3,000 will continue to be reviewed by our newly appointed Procurement Coordinator.

Additionally, a revision has been included to acknowledge an exception that is guided by the Davis-Bacon Act which requires certain clauses for construction projects above \$2,000.

For those reasons, we are recommending that the changes be accepted as reflected.

This policy has been reviewed by the Policy Committee and legal counsel.

Summary: Approve the updated Procurement Policy (POL-407).

Fiscal Impact:


None.

Staff Recommendation:

Approve.

Motion for Consideration:

Move that the Mason Transit Authority Board approve Resolution No. 2019-42 and the attached Procurement Policy (POL-407).

	<p>Title: Procurement Policy Number: 407 Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019 Prepared by: LeeAnn McNulty, Administrative Services Manager Approved by: Authority Board Resolution No. 2018-05; 2018-242019-42</p>
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POL - 407

This policy applies to the MTA Authority Board, the General Manager, all Employees, and any contractor, consultant, or vendor bidding, proposing, or contracting with MTA.

1.0 PURPOSE, OBJECTIVES AND SCOPE

[RCW 36.57.080](#) grants authority to Mason Transit Authority (MTA) to determine and prescribe requirements for purchases of goods and services.

This policy is consistent with federal and state requirements that will ensure that MTA receives the best goods and services at the most reasonable price practicable in an open, fair, and competitive manner.

The purpose of these MTA Procurement Policies is to establish a broad framework of policies and guidelines to ensure that MTA's purchasing and contracting functions promote administrative flexibility and efficiency, while also maintaining prudent internal controls and compliance with applicable statutes and regulations.

Specific objectives include, but are not limited to the following:


1. **Fairness and Objectivity:** Providing a fair, objective, and equitable selection and contracting environment for all individuals and firms seeking to do business or contracting with MTA.
2. **Ensuring Reasonable Costs:** Promoting competition and negotiating (where applicable) to ensure that MTA receives the most favorable prices and terms in its contracts.
3. **Efficiency:** Ensuring that supplies and services are obtained efficiently and effectively.
4. **Accountability:** Promoting accountability of contracting actions by MTA employees and encouraging employees to protect MTA's financial and other interests.
5. **Value-Added Procurement:** Facilitating a procurement process that provides service and value to MTA in obtaining goods and services.
6. **Ethical Standards:** Ensuring that MTA's procurement activities are implemented with the highest regard for integrity, avoidance of conflicts of interest, and consistent with applicable ethical standards.
7. **Legal Considerations:** Complying with all applicable federal, state, and local statutes and regulations.

MTA receives funds from federal and state funding sources. MTA shall develop purchasing procedures designed to ensure compliance with applicable laws and regulations without necessarily imposing a higher standard than is necessary to ensure compliance.

Where a requirement in these Policies is based only on federal requirements, MTA may, on a case-by-case basis for non-federally funded contracts, apply a less stringent standard than outlined in the federal requirements, provided it is otherwise consistent with applicable MTA Policies and that all State or other legal requirements are met.

See also: PRO – 407 Procurement Procedures

Effective 12/17/2019~~8~~

	<p>Title: Procurement Policy</p> <p>Number: 407</p> <p>Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019</p> <p> Cancels: POL 6000 Resolution No. 2018-24</p> <p>Prepared by: LeeAnn McNulty, -Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2018-05; 2018-242019-42</p>
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Nothing in these Procurement Policies will prevent MTA from complying with the terms and conditions of any grant, contract, gift, or bequest that is otherwise consistent with law.

Included in Scope: The following shall be governed by these Procurement Policies when procuring, purchasing, leasing or renting:

- Goods, supplies, equipment, materials
- Construction and maintenance
- Consultant services
- Architectural and engineering (a & e) consultant services
- Other services

Excluded from Scope: The following shall not be governed by these Purchasing Policies:

- Real Estate Purchase and Sale Transactions (Surveys, appraisals, environmental assessments, and financing analyses are considered Consultant services and governed by these Purchasing Policies)
- Business and other Insurance
- Banking services, Loan transactions, and related documents
- Sub-recipient or sub-grantee agreements and related change orders.
- Employment matters and employee benefit plans/programs.


2.0 POLICY ADMINISTRATION

The **Authority Board** is the governing body of MTA. This policy is adopted by the Board for the purposes of establishing the administrative authority of the General Manager (GM).

The **General Manager** is responsible for day-to-day operations of MTA involving personnel, finances, payments of invoices, facilities, real and personal property, and other assets. The GM shall retain professional staff that shall operate and manage according to directives and policy from the GM subject to review by the Board. The GM shall regularly inform and consult with the Chair of the Board, the Finance Committee, and the Board as a whole regarding significant information, business transactions and policies through methods mutually agreeable to the Board and the GM. The GM shall be responsible for the day-to-day direction and conduct of business transactions of MTA subject to the policies, limitations, and directives in this Policy.

See also: PRO – 407 Procurement Procedures

Effective 12/17/2019~~8~~

	<p>Title: Procurement Policy Number: 407 Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019 Prepared by: LeeAnn McNulty, Administrative Services Manager Approved by: Authority Board Resolution No. 2018-05; 2018-242019-42</p>
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3.0 DELEGATION OF AUTHORITY

The following MTA employees are authorized to purchase or issue purchase orders for supplies, materials, and services up to \$3,000:

- General Manager (GM)
- Administrative Services Manager
- Operations Manager/Supervisor
- Vehicle/Maintenance Manager
- Mechanic
- Executive Assistant/Clerk of the Board
- ~~Technical Support Analyst~~ Systems Administrator

The General Manager is delegated additional authority by the MTA Board to execute all procurement documents for goods and/or services and public works contracts up to \$25,000, except that the General Manager may award contracts for general operating supplies, such as diesel fuel, in the amounts exceeding \$25,000.

The Authority Board must approve all purchases over \$25,000 with the exception of general operating supplies.

Purchase documents not executed within the above-delegated authority may result in discipline up to termination or become the responsibility of the person originating the transaction.

4.0 CONTRACT AWARDS


Contract awards may be made only to “responsible” contractors possessing the ability, willingness, and integrity to perform successfully under the terms and conditions of the contract (49 U.S.C. Section 5325). The prospective contractor must meet the following criteria as well as any additional criteria described in the solicitation document:

- a) Is not debarred or suspended from Federal programs per SAM.Gov (the Excluded Parties List System or equivalent).
- b) Is in compliance with applicable licensing, tax laws, and regulations,
- c) Has, or can obtain, sufficient resources to perform the contract,
- d) Is not or has not recently been seriously deficient in contract performance, unless it is determined that the circumstances were beyond the bidder or proposer’s control, or unless the bidder or proposer has taken appropriate corrective action.

Prior to the award of any public works contract, Finance shall ensure and document that the low bidder meets the mandatory bidder responsibility criteria included in [RCW 39.04.350](#). Additionally, MTA may develop supplemental bidder criteria as part of construction bidding documents, which include relevant,

See also: PRO – 407 Procurement Procedures

Effective 12/17/2019

	<p>Title: Procurement Policy Number: 407 Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019 Prepared by: LeeAnn McNulty, Administrative Services Manager Approved by: Authority Board Resolution No. 2018-05; 2018-242019-42</p>
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specific, and objective qualification requirements for the contractor or sub-contractors that may be used in evaluating whether a contractor is a responsible bidder capable of performing the proposed work.

5.0 FEDERAL CONTRACT PROVISIONS

Federally funded contracts shall contain, where applicable, contract language required by 2 CFR 200 and FTA Circular 4220.1.f Section IV, and any revisions thereof.

6.0 CONTRACT DURATION

As a government agency and steward of the public’s money, MTA acknowledges the importance of competition to ensure it receives the best quality of goods and services at the most competitive prices. MTA also acknowledges the importance of providing public contracting opportunities to the larger business community.

MTA acknowledges that longer-term contracts are often beneficial to both the business community and MTA in that they reduce costs necessary to conduct frequent solicitation processes, enable the business community to gain proficiency and knowledge in meeting MTA’s needs, and afford economies of financial return for the business community.

In order to ensure fairness and meet the expectations of the business community, the length of any MTA contract shall be limited to the time specified in the advertised solicitation. MTA shall generally not extend a contract beyond the advertised period, except for good and sufficient reasons as approved by General Manager and/or Board.

Length of Contracts: The following shall govern the length of MTA contracts:

- Generally, a supply or service contract shall be established for one to three years, with options to extend the contract for up to a total of five years. The decision on the length of a contract shall be determined on a case-by-case basis, provided that the Administrative Services Manager approves the contract length.
- Solicitation documents and contracts shall include language about the anticipated length of a particular procurement.


Contract Extensions: Price Negotiations: Contracts shall generally include provisions outlining the process or formula to be followed in negotiating the price for an extension of a contract’s original term.

7.0 ENSURING REASONABLE COSTS

MTA staff shall exercise prudent, conservative and their best professional judgment to evaluate the reasonableness of a proposed expenditure. **An independent cost estimate** shall be made prior to solicitations, or prior to starting contract negotiations after making a selection based on a Request for

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Qualifications. The estimate will be used to evaluate reasonableness or unreasonableness of price and/or the estimated costs to perform the contract. The independent cost estimate will usually be prepared by MTA staff; however, an independent party may assist in evaluation of reasonableness of costs.

All Procurements over \$3,000 require either a Price Analysis or Cost Analysis:

- The purpose of cost or price analysis is to ensure that MTA pays a reasonable price.
- **Small Procurements between \$3,000 and \$7,500** will generally require a Price Analysis (catalog/internet prices or quotes; see 6.2). Occasionally a Cost Analysis will be required.
- **Public Works** contracts and Change Orders must have a Price Analysis or Cost Analysis, per [RCW 39.04.020](#).
- All **federal grant** funded procurements must have a Price Analysis or Cost Analysis, per FTA Circular 4220.1.f VI.6, and any revisions thereof.

Extent of Analysis: The requirements for ensuring reasonable costs in contracting apply to most MTA procurement activities (goods, supplies, construction, consulting, services, and contract changes). The method and degree of analysis depends upon the facts of a particular procurement situation, including the size, nature, and complexity of the contract or change order. The estimate can range from a simple budgetary estimate to a complex estimate based on inspection of the product itself and review of such items as drawings, specifications, and prior data.

Price and Cost Analysis: An independent estimate of costs (Price Analysis or Cost Analysis) is required for procurements exceeding \$7,500 EXCEPT:


- Procurements made through **cooperative purchasing agreements** (e.g., WA State Department of Enterprise Services (DES) contracts) are exempt from this requirement.
- **Direct Payments** (Section 15) are exempt from this requirement.
- All procurements using federal funds **must have** a Price or Cost Analysis performed, even if purchases are made through cooperative agreements.

Price Analysis

The purpose of a Price Analysis is to ensure MTA pays a reasonable price, **based on market prices**. It is a written review and evaluation of competitive prices to determine whether the proposed price is reasonable when compared with prices provided by others in the market.

Accepted forms of Price Analysis techniques are:

- Comparison of catalog or market prices (internet search)
- Comparison to prior purchases
- Comparing vendor quotes
- Adequate price competition (at least 2 offerors respond satisfactorily to solicitation)
- Pricing set by law or regulation (ex: utilities)
- Comparing proposed prices with independently developed cost estimates.
- Value Analysis. This may include consideration of life cycle costs such as productivity gains, services/training provided, or efficiency gains.

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Cost Analysis

The purpose of the Cost Analysis is to ensure that the proposed price is reasonable. It shall include an analysis of a proposal's separate cost elements and profit compared to what the cost of the contract should be, (assuming reasonable economy and efficiency). A written review and evaluation of the proposed cost elements (labor, materials, overhead) and profit of a contract, purchase order, or change order to ensure the price is reasonable. It is usually used for professional consulting and Architectural & Engineering services contracts. A Cost Analysis is necessary whenever a Price Analysis cannot be performed.

The following situations **require** a Cost Analysis:

1. Price Analysis will not provide sufficient information to determine the reasonableness of the contract cost
2. Sole source, including emergency, selections (unless waived by the General Manager)
3. Single response to a solicitation
4. Contracts based on a Request for Qualifications (A&E)
5. Change orders or other modifications that change the contract amount.
6. Contracts based on Formal (ITB, RFP) or Informal Solicitations where price is one of the evaluation criteria.

Level of Specificity: MTA staff (or contractor/consultant) with the relevant experience and knowledge shall conduct the Cost Analysis. The analysis must have a level of specificity and independence appropriate to the contract or Change Order under review that describes what was analyzed. For any contract or Change Order subject to a Cost Analysis, MTA shall require that the Contractor/Consultant submit a cost breakdown of their price for use in evaluating reasonableness of price.


Negotiation of Profit: Profit shall be negotiated separately in all cases where there is no price competition, and in all acquisitions in which the recipient performs or acquires a cost analysis. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

Specific Situations:

1. **Time and Materials Contracts:** A Time and Materials contract may be used only after a determination that no other contract payment type is suitable. This is generally when the extent of work is unknown when the work is solicited.
2. **Prohibited Contracting Methods:** "The 'cost plus a percentage of cost' and 'percentage of construction cost' methods of contracting shall not be used" ([CFR 48.1.C.102c](#)).

8.0 GOODS, SUPPLIES, EQUIPMENT, AND MATERIALS

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This Section deals primarily with the purchase of goods, supplies, equipment, materials, and ancillary services (ex: installation, maintenance packages, etc.), and is frequently referred to as “goods and supplies.”

All Public Works projects are subject to Prevailing Wage on Public Works rules (~~FTA C4220.1F RCW 39.12~~) as well as bidding and contract requirements and may only be purchased under this section if in compliance with Section ~~42.311~~.

Purchases Under \$103,000: Micro purchase procedures are for the purchases of goods and services under \$10,000, as defined by 41 USC 1902(a)(2), and any revisions thereof FTA Circular 4220.1F Section VI. ~~MTA will maintain a \$3,000 micro purchase threshold.~~ Employees are expected to use their best professional judgment when making micro purchases and maximize MTA dollars for value. Although competition is not required, it is expected that the best possible price be obtained, and that no favoritism be shown in selecting suppliers. Micro-purchases:

- 1) Shall be distributed equitably among qualified suppliers, service providers, consultants, and contractors.
- 2) Shall not be divided or reduced merely to comply with the micro-purchase limit.
- 3) Are exempt from FTA’s ~~Buy America requirements~~ third party contract provisions, except Davis Bacon requirements which apply to construction contracts exceeding \$2,000.
- 4) Pricing shall be fair and reasonable.

Informal Solicitations: In accordance to the Exception issued by the Office of Management and Budget (OMB memo M-18-18) which specifies that procurements costing \$250,000 or less qualify as “small purchases” that are not subject to formal advertising as part of the selection process. MTA will maintain a range of ~~\$103,000~~ to \$100,000 as a small purchase threshold. While these procurements may be conducted under less formal selection procedures, obtaining and comparing competitive prices from more than one vendor represents good public policy, and is required for the purchase of all goods, supplies, equipment, and materials costing \$3,000 or more.

Evaluation Criteria:


- a.) Generally, price shall be used as the primary evaluation criterion.
- b.) The geographic location of vendors submitting bids may not be used as an evaluation criterion.

Informal Solicitation Requirements:

- a.) Product descriptions shall not unduly restrict competition.
- b.) For purchases of \$3,000 or more, Department Managers shall have a Price Analysis performed, generally by comparing prices from vendors. If a Price Analysis cannot be performed, an Independent Cost Estimate must be developed for bids or quotations. Department Managers shall ensure that an adequate Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section ~~76~~). A copy of the completed Price Analysis or Cost Analysis will be placed in the procurement file.
- c.) To ensure adequate and sufficient competition in obtaining goods and supplies over \$3,000, at least three vendors must be solicited, or prices compared. Under special circumstances and for

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good and sufficient reasons, Administrative Services Manager may approve solicitation of just two vendors.

- d.) Price quotations may be received orally, by fax, e-mail, internet search, or other means. The decision about whether to request and receive price quotations orally or in writing shall be made by Administrative Services Manager based on the complexity of the solicitation. Simple solicitations may be handled orally or through an internet search, while more complex ones should be handled in writing. Solicitations and responses for goods which must be manufactured or assembled specifically for MTA, or for which installation is a component, should generally be in writing.
- e.) When soliciting goods valued at \$7,500 or more, Department Manager shall allow sufficient time for vendors to prepare and submit their prices.


Informal Solicitation Threshold: An informal solicitation may be used for buying goods and supplies that will cost \$100,000 or less. A contract, single or multi-year, based on an informal solicitation shall not exceed \$100,000 (including change orders, transportation, and sales tax).

If goods and supplies in excess of \$100,000 are required under a contract based on an informal solicitation a competitive selection process should be initiated immediately for those goods and supplies. The General Manager may extend the existing contract if termination would adversely affect MTA business operations and the Board of Directors shall be notified of the extension.

Invitation to Bid: An Invitation to Bid (ITB) is a formally advertised and competitive selection process used for obtaining goods, supplies, equipment and materials that will cost more than \$100,000 (41 USC Section 403(11)), where award is made based on the lowest price submitted by a responsible bidder with a responsive bid.

When to Use ITBs: Generally, vendors providing goods, supplies, equipment, materials, and some services should be selected based on competitive bids. If the following criteria is met, an ITB should be utilized:

- a) The amount of the procurement, including any potential change orders, transportation, and sales tax will cost more than \$100,000.
- b) A complete, adequate, and realistic specification or purchase description is available.
- c) Two or more responsible bidders are willing and able to compete effectively for the work.
- d) **The project lends itself to a firm fixed price contract, and the selection of the successful bidder can be made principally on the basis of price.**
- e) An ITB is NOT appropriate when the project does not lend itself to a firm-fixed price contract approach. An ITB would not be appropriate for fleet vehicles, projects where aesthetics are variable and important, and other projects with subjective criteria.

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ITB Requirements:

- a.) ITBs will be publicly advertised in the *appropriate newspaper; Municipal Research and Service Center (MRSC) rosters*; or other media as appropriate.
- b.) ITBs should be advertised and available for review by vendors for a sufficient length of time to prepare and submit bids.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed or goods provided, and the complexity of the procurement.
 - Generally, it is expected that ITBs will be advertised and available for review by vendors for **21 calendar** days before bids are due. However, dependent upon the particular procurement, Administrative Services Manager may determine that adequate competition and preparation and submission of bids may be accomplished in a shorter period of time, and the 21-calendar day guideline may be adjusted appropriately.
 - Administrative Services Manager, in consultation with the applicable Department Manager, shall make the final decision on the length of time an ITB is advertised.
- c.) The ITB will not unduly restrict competition.
- d.) Department Managers shall ensure that an Independent Cost Estimate is developed for obtaining goods and supplies, provided however, that for standard, commercially available items, the purpose of an Independent Cost Estimate is fulfilled by obtaining and comparing prices from vendors (Price Analysis), and no separate Independent Cost Estimate shall be required.

Evaluation Criteria and Award:

- a) Price shall be the evaluation criterion used, provided the bid is submitted by a responsible bidder with a responsive bid
- b) The geographic location of vendors submitting prices may not be used as an evaluation criterion.
- c) Price shall be used as the evaluation criterion. This shall be identified in the ITB.
- d) Department Managers shall ensure that a Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section ~~7~~**6**).

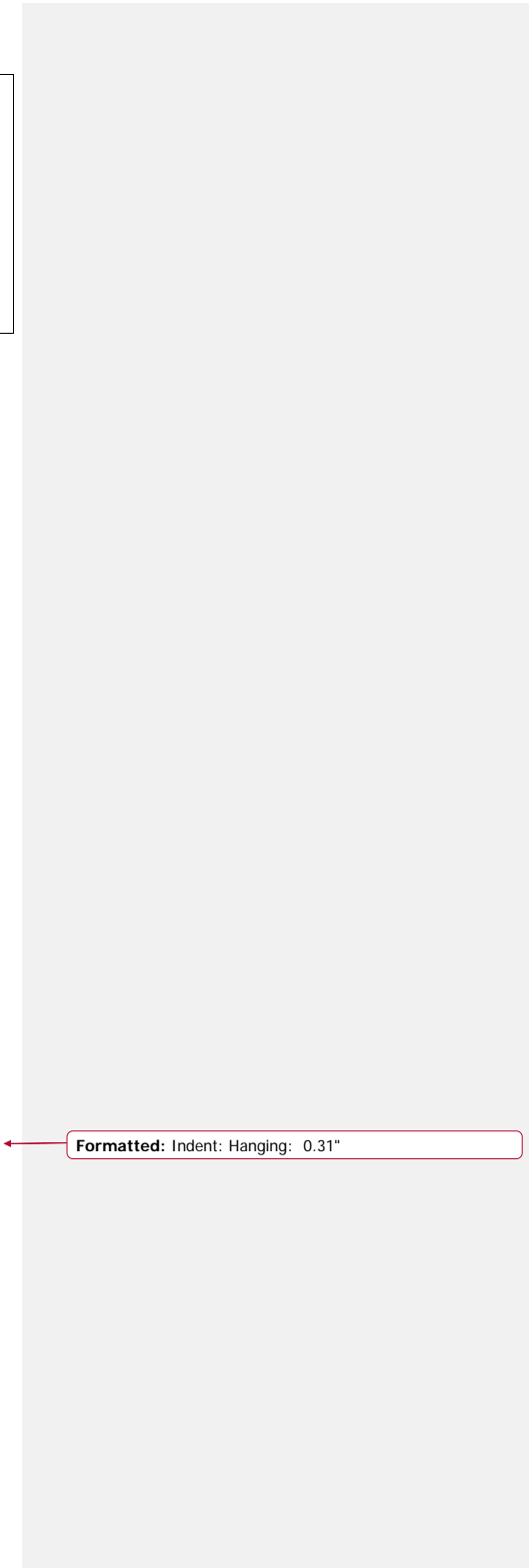
9.0 CONSULTANT, OTHER SERVICES & PROJECTS

Consultants provide advice, creative design, recommendations, reports, analyses, evaluations, audits, surveys or other products of cognitive processes or expert or professional services. *Consultants providing architectural, engineering, landscape architectural, or land surveying services are considered A & E Consultants, addressed in Section 1044.*


Service Providers perform non-consultant work including ongoing management of programs and provision of services. Examples of Service Providers include but are not limited to: armored car service, messengers, services performing routine maintenance, etc. One distinguishing feature of Service

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Providers is that the work they perform is not normally subject to federal or state prevailing wage requirements.

Other Projects: Certain procurements are not appropriate for an ITB, as it is not reasonable to define or have knowledge of all possible specifications. Software, technology, or rolling stock are examples of procurements that are appropriately purchased through an RFP. Purchase criteria involves multiple factors with price as only one criterion.

Terminology: For ease of reading, this Section will refer to Consultants, Service Providers, and other project offerors as Consultants.

A Two Step Procurement procedure, described in Section ~~123~~, may be used for these procurements.

Informal Solicitations (Under \$100,000)

41 USC Section 403(11) specifies that procurements costing \$100,000 or less qualify as “small purchases,” and are not subject to formal advertising as part of the selection process.

Informal Solicitation Threshold: An informal solicitation may be used only for those Consultant services that will cost \$100,000 or less over the life of the contract (including change orders and taxes). Based on selection through an informal solicitation process, no contract may be awarded where the contract amount and/or payments during the life of the contract exceeds \$100,000. A contract based on an informal solicitation shall not exceed \$100,000.


When to Use Informal Solicitation Process: While procurements of \$100,000 or less may be conducted under less formal selection procedures, competition, including the use of price as one of the evaluation criteria, represents good public policy, and is required for all Consultant services costing \$25,000 or more. For small contracts under \$25,000, obtaining a price from only one Consultant is acceptable if the price received is considered reasonable. Additionally, and where possible, solicitation opportunities for small contracts under \$25,000 shall be equitably distributed among the consultants on MTA’s Consultant Roster Program. (MTA participates in the MRSC Consultant Roster.)

Informal Solicitation Requirements:

- a.) In order to ensure adequate and sufficient competition in obtaining consultant services, at least three consultants should be solicited. Under special circumstances and for good and sufficient reasons, the Administrative Services Manager may approve solicitation of just two consultants.
- b.) The requirements and responses relating to most informal solicitations shall be in writing between MTA and the consultants.
- c.) Informal solicitations should be available for review by consultants for a sufficient length of time to provide consultants with adequate time to prepare and submit proposals.
- d.) Procurement Procedures shall outline requirements for receipt of proposals, including, but not limited to, proposal submission, the means of solicitation and proposal submission (electronic or hard copy), and deadlines for submission.

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- e.) Department Managers shall ensure that an Independent Cost Estimate (Section 6) is developed prior to receipt of any proposals.
- f.) Contracts based on an informal solicitation shall normally be based on either a fixed-price, cost-reimbursement, or unit price model.

Evaluation Criteria and Award:

- a.) Offers not meeting minimum qualifications will not be considered.
- b.) Price shall be used as an evaluation criterion.
- c.) Experience of the consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.
- d.) The geographic location of consultants submitting proposals may not be used as an evaluation criterion.
- e.) Evaluation criteria shall be included in the informal solicitation.
- f.) The evaluation panel appointed by the Department Manager shall evaluate proposals received based only on the established criteria. Evaluation panel should consist of at least three qualified members (including a chair) to review and rate proposals received. It is recommended that MTA staff be in the majority on panels that include non-MTA members.
- g.) The Department Manager and General Manager will jointly develop a written negotiation position. MTA shall enter into negotiations with the highest ranked consultant in an effort to execute a Contract. If negotiations are unsuccessful, MTA may proceed to negotiate with the next highest ranked Consultant.
- h.) Department Managers shall ensure that an adequate and sufficient Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (see Section 76 of these Policies for further information). The Price Analysis or Cost Analysis must be in writing for all contracts of \$25,000 or more.

Requests for Proposals (Over \$100,000)


A Request for Proposals (RFP) is a formally advertised and competitive selection process used to obtain consultant services more than \$100,000, and where the evaluation and selection of a Consultant cannot be based on price alone but is based on established criteria that include price and other factors.

Solicitation Requirements:

- a.) RFPs will be publicly advertised in the appropriate newspaper, MRSC Consultant Roster, or other media, as appropriate.
- b.) RFPs should be advertised and available for review by consultants for a sufficient length of time to provide consultants with adequate time to prepare and submit proposals.
 - RFPs will usually be advertised and available for review by consultants for 21 calendar days before proposals are due. For a particular procurement, Department Manager may determine that adequate competition and preparation and submission of proposals may be accomplished in a shorter period of time, and the 21-calendar day guideline adjusted appropriately. The length of time can be based on factors, including but not limited to, the estimated dollar value, the complexity of the work, and the extent of developing a proposal

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or project approach versus merely providing information about qualifications, experience, and availability.

- The Administrative Services Manager, consulting with the applicable Department Manager, shall make the final decision on how long an RFP is advertised.
- c.) Procurement Procedures shall outline requirements for receipt of proposals, including, but not limited to, proposal addressee, means of solicitation and proposal submission, and deadlines for submission.
- d.) Department Managers shall ensure that an Independent Cost Estimate is developed for the work.

Evaluation Criteria and Award:


- a.) Price shall be used as an evaluation criterion.
- b.) Experience of the consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.
- c.) The geographic location of Consultants submitting proposals may not be used as an evaluation criterion.
- d.) Evaluation criteria and the relative weight of each criterion shall be included in the RFP.
- e.) Proposers not meeting minimum qualifications will not be considered.
- f.) The evaluation panel appointed by the Department Manager shall evaluate proposals received based only on the established criteria and upon the proposal submitted.
- g.) MTA shall enter into negotiations with the highest ranked consultant in an effort to execute a Contract. If negotiations are unsuccessful, MTA may proceed to negotiate with the next highest ranked Consultant.
- h.) Department Managers shall ensure that an adequate and sufficient Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section ~~76~~).
- i.) MTA may reject any or all proposals.

10.0 ARCHITECTURAL & ENGINEERING (A & E) CONSULTANT SERVICES

Architectural & Engineering (A & E) Consultant Services are a subset of Consultant Services. The primary distinction between the two is that MTA **may not use cost as an evaluation criterion when selecting a firm for performing A & E work**. Instead, consistent with the requirements of RCW 39.80 and the Brooks Act (40 USC. Sections 1101-1104), the evaluation criteria must be limited to factors that relate to a Consultant’s qualifications and competence to perform the desired work. MTA must select the most highly qualified A & E Consultant to provide the services.

Disciplines: The following are included in A & E Consultant Services:

1. Professional Services: Program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping and related services (CFR 49 Sec 5325(b)). Landscape architectural services (RCW 39.80.020).

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2. Related to Real Property: Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property. The nature of the work to be performed and its relationship to construction, not the nature of the prospective contractor, determine whether qualifications-based procurement procedures may be used. (40 U.S.C. 1102).
3. Typically Performed By: Other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professionals (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual design, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operation and maintenance manuals, and other related services (40 U.S.C. 1102).

Distinguishing Between A & E Work and Non-A & E Work:

Because price may not be used as a criterion for selection of A & E consultants, but price must be used as a one criterion for selecting other consultants, it is important to distinguish what is A & E work and what is non-A & E work. It is to MTA's advantage to use price as one criterion for selection of consultants when permitted, to ensure that MTA obtains the most value for its money.


Making a Determination: Generally, A & E work and non-A & E work is based on the following:

- If State law requires that the work in question be performed by someone licensed or registered in one of the professions cited above, then the work should be considered as A & E work and price may not be used as an evaluation criterion.
- As defined in RCW 39.80.020: "Architectural and engineering services" or "professional services" means professional services rendered by any person, other than as an employee of the agency, contracting to perform activities within the scope of the general definition of professional practice in chapters 18.08, 18.43, or 18.96 RCW."
- The mere fact that the scope of services for a particular contract is likely to be performed by, or may be performed by, someone who is licensed or registered in one of the professions cited above does not mean that the work is A & E work. To be considered A & E work, the type of service must be as defined in RCW 39.80.020.

MTA may not use qualifications-based procurement procedures that are not included in the A & E categories noted above.

***Informal Solicitations
(Under \$100,000)***

Cost Thresholds: The Federal simplified acquisition threshold (41 USC 403(11)) specifies that procurements costing \$100,000 or less qualify as "small purchases" that are not subject to formal

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advertising as part of the selection process. However, Section 39.80 RCW requires **that A & E Consultant services be advertised**, either specifically or generally, regardless of the dollar amount. MTA will use a Roster when appropriate to solicit Request for Qualifications.

Roster: MTA may establish through a Request for Qualifications process a Roster of qualified A & E Consultants who may be selected for specific scopes of work under an expedited proposal submittal process (informal solicitation). In establishing such a Roster, MTA shall ensure that the Roster is maintained with current information and that there are a sufficient number of qualified A & E Consultants on the Roster to “ensure maximum open and free competition.” MTA may also utilize other government rosters, such as MRSC. Projects that are estimated to cost more than \$100,000.00 over the life of the contract, including any potential change orders, must be formally advertised (Section ~~44-310~~).

Informal Solicitation Requirements:


- a.) To ensure adequate and sufficient competition in obtaining A & E consultant services, at least 3 A & E Consultants on the appropriate Roster category must be solicited. The Department Manager and Administrative Services Manager shall determine whether a Request for Proposal should be used in lieu of the roster, dependent on the requirements of the work.
- b.) Informal solicitations should be available for review by A & E Consultants for a sufficient length of time to provide them adequate time to prepare and submit qualifications.
- c.) Informal solicitations and responses should be in writing.
- d.) Procurement Procedures shall outline requirements for receipt of submittals, including, but not limited to, proposal addressee, the means of solicitation and submission, and submission deadlines.
- e.) Department Managers shall ensure that an Independent Cost Estimate is developed for procurements greater than \$25,000.

Evaluation Criteria and Award:

- a.) Price may not be used as an evaluation criterion.
- b.) Experience of the A & E Consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.
- c.) The geographic location of A & E Consultants submitting qualifications may be used as an evaluation criterion provided that its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
- d.) Evaluation criteria and their weight shall be included in the informal solicitation.
- e.) The evaluation panel appointed by the Department Manager shall evaluate submittals only on established criteria.
- f.) MTA shall negotiate a contract with the most qualified firm for A&E services at a price that MTA determines is fair and reasonable. In making its determination, MTA shall take into account the estimated value of the services to be rendered as well as the scope, complexity, and professional nature of the project (RCW 39.80.050 (1)). If those negotiations are unsuccessful, MTA may negotiate with the next highest ranked firm.

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- g.) Department Managers shall ensure that an adequate and sufficient Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 76). The Analysis must be in writing for all contracts of \$25,000 or more.
- h.) Contracts based on an informal solicitation shall normally be either based on a fixed-price or a cost-reimbursement model.

**Request for Qualifications/Request for Proposals
(Over \$100,000)**

A Request for Qualifications (RFQ) or Request for Proposals is a formally advertised and competitive selection process used for obtaining consultant services that will cost more than \$100,000, and where the evaluation and selection of an A & E Consultant is based on the consultants' qualifications, and where price is not used as an evaluation criterion. Part of evaluating an A & E Consultant's qualifications may include an evaluation of their proposed approach for performing the work.

Solicitation Requirements:

- a.) RFQs/RFPs should be advertised and available for review by A & E Consultants for a sufficient length of time to provide A & E Consultants with adequate time to prepare and submit qualifications.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed, the complexity of the work, the degree to which MTA is requesting consultants to develop a proposal or project approach versus merely providing information about qualifications, experience, and availability.
 - Generally, it is expected that RFQs/RFPs will be advertised and available for review for 21 calendar days before submittals are due. However, dependent upon the particular procurement, Administrative Services Manager may determine that adequate competition and preparation and submission of qualifications may be accomplished in a shorter period of time, and the 21-calendar day guideline may be adjusted appropriately.
 - Administrative Services Manager, in consultation with the General Manager, shall make the final decision on the length of time an RFQ is advertised.
- b.) Department Managers shall ensure that an Independent Cost Estimate is developed for the work.
- c.) Procurement Procedures shall outline requirements for receipt of submittals, including, but not limited to, addressing to whom responses should be submitted, the means of solicitation and submission of responses (electronic or hard copy), and deadlines for submission.
- d.) MTA may establish through a Request for Qualifications process a Roster of qualified A & E Consultants who may be selected for specific scopes of work under an expedited proposal submittal process. In establishing such a Roster, MTA shall ensure that the Roster is maintained

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with current information and that there are a sufficient number of qualified A & E Consultants on the Roster to ensure maximum open and free competition.

Evaluation Criteria and Award:

- a) **Price may not be used** as an evaluation criterion.
- b) Experience of the A & E Consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors such as understanding of the work to be performed may also be used as evaluation criteria.
- c) The geographic location of A & E Consultants submitting qualifications may be used as an evaluation criterion provided there are an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
- d) Evaluation criteria shall be included in the RFQ, along with the weighting to be assigned to each criterion.
- e) The evaluation panel appointed by the Department Manager shall evaluate submittals received based only on the established criteria
- f) The Department Manager and Administrative Services Manager shall develop a written negotiation position. MTA shall negotiate a contract with the most qualified firm for A&E services at a price that MTA determines is fair and reasonable. In making its determination, MTA shall take into account the estimated value of the services to be rendered as well as the scope, complexity, and professional nature of the project (RCW 39.80.050 (1)). If those negotiations are unsuccessful, MTA may negotiate with the next highest ranked firm.
- g) Department Managers shall ensure that an adequate and sufficient Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 76).
- h) Contracts based on an RFQ/RFPs shall normally be either based on a fixed-price or a cost-reimbursement model.

11.0 CONSTRUCTION AND MAINTENANCE

Bids versus Proposals


Generally, contractors for construction and maintenance projects should be selected based on competitive bids (evaluated solely upon price) instead of proposals (evaluated on price and other factors). Competitive bidding should be utilized if the following criteria are met:

- 1) A complete, adequate, and realistic specification is available.
- 2) Two or more responsible bidders are willing and able to compete effectively for the work.
- 3) The project lends itself to a firm fixed-price contract, and the selection of the successful bidder can be made principally based on price.

Selection Methodologies

See also: PRO – 407 Procurement Procedures

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1. **Design-Bid-Build** - The design-bid-build procurement method requires separate contracts for design services and for construction. If MTA elects this method, relevant provisions of [RCW 39.04](#) will be used to establish the minimum procedures.
 - a) **Design Services.** Qualifications-based procurement procedures must be used for design services in compliance with [FTA Circular 4220.1.f](#), Section 11 and any revisions thereof; of these Procurement Policies, and applicable Federal, State and local law and regulations.
 - b) **Construction.** Public Works construction in Washington State does not allow competitive negotiations. This work must be solicited and awarded using an Invitation to Bid.


2. **Design-build** ([49 U.S.C. Section 5325\(d\)\(1\)](#)) procedures may be used when MTA contracts for design and construction simultaneously with a contract award to a single contractor, consortium, joint venture, team, or partnership that will be responsible for both the project's design and construction. [RCW 39.10](#) generally restricts the use of design-build procedures to **public works projects of over \$10 million** and the agency must be approved by the WA Project Review Committee to use Design-Build. The various contract activities shall be classified as design OR construction and the estimated total value of each will be calculated. The procurement method is based on the phase of the project with the greatest cost:
 - a) When **construction costs are estimated to be more than A&E costs**, best value or low bid procurement methods shall be used. Since the A&E services are less than half of the total contract amount, qualifications-based procurement procedures may **not** be used for the design-build contract **unless** the FTA determines otherwise in writing or if required by State law. However, a qualifications-based method may be used to determine prospective contractors capable of performing the project and thus qualified to submit detailed technical and price proposals in step two of the design build procurement process (as described in Section 12 of this Procurement Policy).
 - b) When **A&E services are estimated to be more than construction costs**, qualifications-based procurement procedures based on the [Brooks Act](#), and described in Section 10 shall be used.

3. **Value Engineering:** Value Engineering, the systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lowest cost, is one of the tasks that the Contractor may be asked to perform on a Contract.

4. **General Contract/Construction Manager (GCCM):** Subject to the process in [RCW 39.10.270](#) or [39.10.280](#), public bodies may utilize the general contractor/construction manager procedure for public works projects where at least one of the following is met:
 - a) Implementation of the project involves complex scheduling, phasing, or coordination;
 - b) The project involves construction at an occupied facility which must continue to operate during construction;
 - c) The involvement of the general contractor/construction manager during the design stage is critical to the success of the project;

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- d) The project encompasses a complex or technical work environment;
- e) The project requires specialized work on a building that has historic significance; or
- f) The project is, and the public body elects to procure the project as, a heavy civil construction project. However, no provision of this chapter pertaining to a heavy civil construction project applies unless the public body expressly elects to procure the project as a heavy civil construction project.

Small Works Roster (Informal Solicitation)

MTA’s Small Works Roster was established under the authority of RCW 39.04.155. MTA participates in the MRSC Small Works Roster. The Roster permits MTA to select a contractor for certain construction projects without otherwise publicly advertising the work, but by following the process outlined in State law for soliciting bids from contractors on the Roster.


Annual Advertisement: MRSC annually publishes an advertisement identifying MTA as a participating Agency (Consistent with of State law requirements), inviting contractors to apply for the Roster. Contractors may apply to the MRSC Roster anytime during the year.

Construction projects less than \$100,000 may use the informal selection procedures of the Small Works Roster to select a contractor (no advertising required). The federal “simplified acquisition threshold” is currently set at \$100,000 ([41 USC 403\(11\)](#)). For non-federally funded projects estimated to cost less than \$35,000, bids may be solicited from at least three contractors from the Small Works Roster using the limited public works process.

Specifications and Contracts:

- a.) **Bid Guarantee:** Specifications shall indicate whether bidders must submit a bid guarantee of 5% with their bid. Projects of \$35,000 or less, [the General Manager](#) may waive the bid guarantee requirement and omit in bidding documents.
- b.) **Contract Bond:** Specifications shall require the successful contractor submit a Payment and Performance Bond (Contract Bond) or a separate Payment Bond and a separate Performance Bond for 100% of the awarded contract amount. [The General Manager/MTA](#) may waive this requirement, for a project estimated to cost less than \$35,000, in accordance with [RCW 39.04.155](#), provided that the selection is made from the Small Works Roster using the Limited Public Works Process in RCW 39.04.155 section 3.
- c.) **Retainage:** MTA shall withhold retainage of 5% of each payment to the contractor ([RCW 60.28](#)). [The General Manager/MTA](#) may waive the requirement to withhold retainage for a project estimated to cost less than \$35,000 (RCW 39.04.155) provided that the selection is made from the Small Works Roster using the Limited Public Works Process prescribed in RCW 39.04.155 section 3. As an alternative to withholding retainage, State law permits the contractor to submit a bond in lieu of retainage.

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- d.) **Prevailing Wage:** [RCW 39.12](#): Specifications shall require the payment of applicable prevailing wages. Contracts shall identify the wage schedule applicable to the project by including a copy of the wages or by reference. When the applicable schedule is referenced, the contract shall include instructions for accessing the wage schedule.
- e.) **Federal Contract Provisions:** Federally funded contracts shall contain, where applicable, contract language required by 2 CRF 200 as described below in Section ~~42-411~~.

Solicitation Requirements: Unless Administrative Services Manager approves of an alternate solicitation method, the Small Works Roster shall be used for obtaining bids for all informal solicitations.


- a.) Bids will be solicited consistent with the procedures in State law regarding the Small Works Roster, and with the requirements of 41 USC 403(11) for “small purchases,” which requires that “price or rate quotations...be obtained from an adequate number of qualified sources”.
- b.) Informal Solicitations should be available for review by contractors for a sufficient length of time to provide contractors with adequate time to prepare and submit their bids.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed, the complexity of the work, and current general market conditions.
 - Generally, an informal solicitation will be available for review by contractors for a minimum of 5 calendar days before bids are due.
 - Administrative Services Manager, in consultation with the applicable Department Manager, shall make the final decision on the length of time an Informal Solicitation is under review by contractors.
- c.) Notice for a pre-bid conference shall be stated in the solicitation.
- d.) All bids received by the required deadline will be evaluated.
- e.) Procurement Procedures shall outline requirements for receipt of bids, including, but not limited to, addressing where bids should be submitted, and deadlines for submission.
- f.) Department Managers shall ensure that an Independent Cost Estimate is developed for the services sought prior to receipt of any bids.

Evaluation and Award:

- a.) Administrative Services Manager shall evaluate whether the bids submitted are responsive to the specifications.
- b.) The Department Manager and Administrative Services Manager shall evaluate whether the bidder submitting the lowest responsive bid is a responsible bidder. Responsibility analysis includes, but is not limited to, verifying contractor compliance with the mandatory bidder responsibility requirements of [RCW 39.04.350](#) as well as issues related to the capability of the bidder to successfully complete the work (based on any supplemental bidder responsibility criteria that may have been established for the project).
- c.) If a contract is to be awarded, it shall be awarded only to a responsible bidder submitting the lowest responsive bid.
- d.) The geographic location of contractors **may not** be used as an evaluation factor.

See also: PRO – 407 Procurement Procedures

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- e.) MTA shall reserve the right to reject any or all bids if there is a sound documented reason.
- f.) Contracts shall be for a firm fixed-price based on either a lump sum amount or the summation of unit prices. On a unit price contract, MTA shall pay the contractor only for actual quantities installed, and so the awarded contract amount may vary from the actual amount paid to the contractor.

Formal Solicitation – Invitation to Bid (ITB)

An Invitation to Bid (ITB) method is a formally advertised competitive selection process used for obtaining construction and maintenance services that will cost more than \$100,000.

Specifications and Contracts:

- a) Each bidder must provide a **bid guarantee** equivalent to five (5%) percent of the bid price. The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying the bid as assurance that the bidder will honor their bid upon acceptance.
- b) Specifications shall require the successful contractor to submit a Payment and Performance Bond (**Contract Bond**) or a separate Payment Bond and a separate Performance Bond for 100% of the awarded contract amount.
- c) **Prevailing Wages:** Specifications shall require the payment of applicable prevailing wages. Contracts shall include a copy of or reference to wage rates.

Solicitation Requirements:

- a.) ITBs will be publicly advertised in the *appropriate newspaper* and other media, as appropriate.
- b.) ITBs should be advertised and available for review by contractors for enough time to prepare and submit bids or proposals.
- c.) The length of time shall be determined by various factors, including but not limited to, the estimated dollar value of the work, the complexity of the work, and general market conditions.
- d.) While ITBs will usually be advertised and available for review by contractors for 21 calendar days before bids are due, Administrative Services Manager may determine that adequate competition, preparation, and submission of bids may be completed in less time, and the 21-day guideline may be adjusted accordingly. Administrative Services Manager, in consultation with the Department Manager, shall determine how long a solicitation opportunity is advertised.
- e.) Notice for a pre-bid conference shall be stated in the ITB.
- f.) All ITB bids received by the required deadline will be publicly opened at the time and place prescribed in the invitation for bids.
- g.) Procurement Procedures shall outline requirements for receipt of bids or proposals, including, but not limited to, addressing where bids or proposals should be submitted, and deadlines for submission.

Evaluation and Award:

- a.) MTA shall evaluate whether the bids submitted are responsive to the specifications.



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- b.) MTA shall evaluate whether the bidder submitting the lowest responsive bid is a responsible bidder. Responsibility analysis includes, but is not limited to, verifying contractor compliance with the bidder responsibility requirements of RCW 39.04.350, as well as issues related to the capability of the bidder to successfully complete the work, based on supplemental bidder responsibility criteria that may have been established for the project.
- c.) If a contract is to be awarded, it shall be awarded only to a responsible bidder submitting the lowest responsive bid.
- d.) Geographic location of contractors **cannot** be used as evaluation criteria.
- e.) No changes in price or other provisions of bids after opening shall be permitted unless an error is obvious. An obvious error can be clearly determined from math extensions or calculations shown in documents submitted with the bid. An error in a math extension, reported by a bidder but not shown in the bid documents, does not constitute an obvious error. Bidders are presumed to submit correct calculations and specifications.
- f.) Immaterial irregularities in a bid may be waived by MTA as an informality.
- g.) MTA shall reserve the right to reject any or all bids if there is a sound documented reason.
- h.) Contracts shall be for a firm fixed-price based on either a lump sum amount or the summation of unit prices. On a unit-price contract, MTA shall only pay the contractor for actual quantities installed, so the awarded contract amount may vary from the actual amount paid to the contractor.

Prevailing Wages

The **hourly wages** to be paid to laborers, workers, or mechanics, on all construction projects, shall not be less than the local **prevailing wage** (RCW Ch. 39.12). Maintenance, when performed by contract, is also subject to prevailing wage requirements. When federal funds are used, a project is subject to both state prevailing wages and federal prevailing wages, and the contractor must pay the higher of the two wages for a given classification.

Applicability of **Federal** Prevailing Wage Requirements: Prevailing wage requirements shall apply only to construction projects of more than \$2,000 that contain federal funds (40 USC 276a to 276a-7).


Records Disclosure of Contractor Payroll Reports: Payroll reports received by MTA from contractors and subcontractors on construction projects, for the purpose of monitoring prevailing wage requirements, shall not be released to outside parties *unless* the employees’ personal identifiers (e.g., name, address, social security number) are first deleted.

12.0 TWO STEP PROCUREMENT PROCEDURES

Two-Step Procurement Procedures (41 U.S.C. Section 253.m) may be used in **competitively negotiated procurements**, such as rolling stock or technology, provided the opportunity for full and open competition is retained, consistent with RCW and FTA requirements. It may also be used for Construction and Maintenance projects.

See also: PRO – 407 Procurement Procedures

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Step 1: Review of Technical Qualifications and Approach. The first step is a review of the prospective offerors' technical approach to MTA's request and technical qualifications to carry out that approach. The competitive range may be narrowed to prospective offerors that demonstrate a technically satisfactory approach and have satisfactory qualifications.

Step 2: Review of Bids and Proposals Submitted by Qualified Prospective Contractors. The second step consists of soliciting and reviewing complete proposals, including price, submitted by each prospective offeror determined to be qualified. Proposals should be solicited from at least three qualified prospective offerors, absent exceptional circumstances. Unlike qualifications-based procurement procedures required for A&E services (Section 10.1), and other contracts covered by CFR 49 Section 5325(b) discussed in Section 8 (ITBs), proposal prices of all proposers in the competitive range are to be considered along with evaluation factors relating to qualifications and technical factors.

In the interests of efficiency, MTA may elect to obtain submittals of both steps with a single solicitation.

13.0 INTERGOVERNMENTAL AGREEMENTS

To promote efficiency and competition in the procurement of goods and services, the General Manager is authorized to enter into agreements with other governmental agencies and intergovernmental purchasing networks or associations. **The purpose of a cooperative intergovernmental agreement is to take advantage of a competitive selection process already conducted by another agency and save MTA the time and expense of conducting its own selection process.** In evaluating the use of a cooperative intergovernmental agreement, Administrative Services Manager shall review the other agency's standards in the competitive selection process for reasonableness. To facilitate cooperative purchasing, MTA may include the consolidated requirements of other public entities in its procurement actions.

MTA may utilize "existing contract" rights, which are the post award use of contract rights that allows someone who was not contemplated in the original contract to purchase the same supplies and/or equipment through that contract (i.e., "piggybacking"). These purchases shall meet the requirements of [FTA Circular 4220.1.f.V.7](#) and any revisions thereof.

Utilizing Intergovernmental Agreements does not eliminate the requirement for a Price Analysis or Cost Analysis.


MTA may purchase government excess and surplus property in lieu of purchasing new equipment and property, if project costs are significantly reduced and use is practicable and feasible.

Government Competition with Private Sector

MTA may enter into an intergovernmental agreement with other government agencies to procure goods and services when these are not available from the private sector. If the private sector also offers such goods or services, the General Manager or designee shall evaluate on a case-by-case basis what

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would be in the best interests of MTA, and whether to contract directly with the agency or to conduct a competitive selection process.

14.0 NON-COMPETITIVE PROCUREMENTS:

Prohibited Practices


Procurement practices that restrict competition are prohibited (49 USC Section 5325(h)). Examples of such practices include the following:

1. Unreasonable Requirements. Placing unreasonable requirements on firms in order for them to qualify to do business.
2. Improper Prequalification. Using prequalification procedures that conflict with prequalification standards described in the FTA Circular 4220.1.f VI-1c, and any revisions thereof.
3. Retainer Contracts. A noncompetitive award to any person or firm on a retainer contract if that award is not for the property or services specified for delivery under the retainer contract.
4. Excessive Bonding. Experience and Bonding: Requiring unnecessary experience and excessive bonding.
5. Brand Name Specificity: Specifying only a brand name product instead of allowing an equal product to be offered and describing the performance of other relevant requirements of the procurement.
6. Conflict of Interest: An organizational conflict of interest occurs when any of the following circumstances arise:
 - a.) Lack of Impartiality or Impaired Objectivity. When the contractor is unable, or potentially unable, to provide impartial and objective assistance or advice to the recipient due to other activities, relationships, contracts, or circumstances.
 - b.) Unequal Access to Information. The contractor has an unfair competitive advantage through obtaining access to nonpublic information during the performance of an earlier contract.
 - c.) Biased Ground Rules. During the conduct of an earlier procurement, the contractor has established the ground rules for a future procurement by developing specifications, evaluation factors, or similar documents.
 - d.) Restraint of Trade. Supporting or acquiescing in noncompetitive pricing practices between firms or between affiliated companies. Questionable practices would include, but not be limited to submissions of identical bid prices for the same products by the same group of firms, or an unnatural pattern of awards that had the cumulative effect of apportioning work among a fixed group of bidders or proposers.
 - e.) Arbitrary Action. Any arbitrary action in the procurement process.

Permissible Non-Competitive Procurements

In certain instances and situations, the procurement of goods and services without adequate competition is permissible:

1. **Sole Source**: The service or item is available only from a single source, based on a documented good faith review of available sources.

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- Emergency:** An emergency exists that seriously threatens the public health, welfare, or safety concerns, endangers property, or would otherwise cause serious injury to MTA. This may occur through flood, earthquake, epidemic, fire, riot, equipment failure, or other event. Needs arising from this event will not permit a delay resulting from competitive solicitation.
- Inadequate Competition:** After solicitation from a number of sources, only a single response is received, or competition is determined to be inadequate.

Justifications:

- Selection:** Department Managers shall submit in writing to Administrative Services Manager a recommendation justifying the reasons why competitive selection requirements should be waived.
- Price Reasonableness:** Consistent with the requirements of Section 6, Department Managers are responsible for ensuring that a Price or Cost Analysis is prepared for all non-competitive procurements to ensure that the proposed price is reasonable.

15.0 COMPETITIVE EXCEPTIONS (DIRECT PAYMENTS)

Competitive Exceptions, or Direct Payments, are **transactions that, by their nature, are impractical or impossible to competitively bid because of market or other conditions** and are thus exempt from competitive bidding requirements. These transactions do not have to be justified as a Non-Competitive Procurement (Section 15) but may be obtained directly by an employee with adequate Approval Authority (per Section 4). Depending on the item, there may or may not be a contract or Purchase Order outlining the terms and conditions.

Modifications to Direct Payments List


The General Manager may approve modifications to the Competitive Exceptions list without seeking approval of the Board of Directors, provided that the changes are consistent with applicable statutory and regulatory requirements and that the current list is made readily available to MTA employees.

Interpretation of Direct Payments List

In the event of ambiguity or uncertainty as to whether an item is or is not subject to competition and whether it should be included on the Direct Payments List, the Administrative Services Manager shall review the matter and make the final decision.

The following do not require competitive processes: (Direct Payment List) includes the following:

- Utility bills (Water, Sewer, Electricity, Gas, other regulated utilities)
- Postage and other purchases from the U.S. Postal Service
- Licenses, permits, and fees from governmental or regulatory entities
- Purchases from other governmental entities for goods or services not available from the private sector.
- Fees paid to governmental cooperative purchasing organizations.
- Charges for official MTA business on personal credit card while on MTA travel status.

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7. Legal services such as arbitration fees, litigation fees, witness fees, court costs, and related expenses (but not the cost of outside counsel, investigations, or related matters), when endorsed by General Counsel.
8. Legal settlements of disputed matters, and judgment claims against MTA (for use only with endorsement by General Counsel).
9. Payments for existing annual maintenance, service, or support agreements for computer, telecommunication-related services, and existing software license agreements.
10. Travel expenses for MTA employees, program participants, volunteers, or the Board of Directors necessary to conduct MTA business.
11. Training registration fees and tuition for pre-established, non-MTA specific, off-site classes, seminars, workshops, etc. for MTA employees, program participants, volunteers, and the Authority Board.
12. Testing and travel expenses of employment applicants (including moving expenses for eligible personnel). This includes travel expenses of certain out-of-state job applicants. The General Manager must approve travel expenses of job applicants.
13. Conference and convention expenses and fees for MTA employees, program participants, volunteers, or members of the Authority Board conducting MTA business.
14. Advertisements for employment opportunities, purchasing and contracting solicitations, sale of surplus items, public announcements and outreach, etc. (all media). This exception does not include printing, design, or graphics services.
15. Freight bills, express shipping, common carriers, and delivery services.
16. Honoraria and stipends.
17. Insurance deductible and/or retained losses
18. Taxi, public transportation, and toll fares, mileage and incidental parking expenses for employees on agency business.
19. Publications, books, and subscriptions.
20. Mailing lists.
21. Professional association dues, fees, licenses, and certifications.
22. Petty cash purchases and reimbursements less than \$200.
23. Transactions not subject to these Purchasing Policies as noted in Section 2: Scope.


16.0 DISADVANTAGED BUSINESS ENTERPRISE

MTA invites and encourages small and disadvantaged business enterprises (DBE) to participate in the procurement process for all purchases as detailed in MTA's Disadvantaged Business Enterprise Policy/Program. All employees, responsible for making purchases, must make good faith efforts to seek DBE vendors and document those efforts.

For more information, consult MTA's DBE policy.

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17.0 CONTRACT ADMINISTRATION AND RECORDKEEPING

The MTA shall maintain a contract administration system to ensure that it and its ~~third-party~~ ~~third-party~~ contractors comply with the terms, conditions, and specifications of contracts or purchase orders and applicable Federal, State and local requirements. All contracts shall include provisions adequate to form a sound and complete agreement.

All records shall be retained in accordance with the Record Retention Policy.

18.0 PUBLIC RECORDS

All procurement information generated and acquired through any of the procurement processes shall be open to public inspection following the Intent to Award a contract through the MTA Public Records Officer, in accordance with RCW 42.56. Each proposal shall be open to public inspection. MTA shall not be responsible for the protection of information marked “proprietary” submitted by proposers.

19.0 PROTESTS, APPEALS AND DISPUTES

Filing a Protest: An interested party may protest the award of a contract, the proposed award of a contract, or a solicitation for supplies, services, professional services or construction by MTA. A protest must be submitted in writing to MTA Administrative Services Manager, and include the following information:

- a) Name, address, email address, and telephone number of the protester;
- b) Signature of the protester or their representative;
- c) Identification of the solicitation;
- d) Detailed statement of the legal and factual grounds of the protest;
- e) Copies of all relevant documents; and
- f) The form of relief requested.


Issues and facts not stated in the Notice of Protest will not be considered.

All communications with involved parties shall be in writing and open for public inspection.

Public Works Projects:

Within two business days of the bid opening on a public works project that is the subject of competitive bids, MTA will provide, if requested by a bidder, copies of the bids MTA received for the project. MTA will then allow at least two full business days after providing bidders with copies of all bids before executing a contract for the project. Intermediate Saturdays, Sundays, and legal holidays are not counted.

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When MTA receives a written protest from a bidder for a public works project that is the subject of competitive bids, MTA will not execute a contract for the project with anyone other than the protesting bidder without first providing at least two full business days' written notice of MTA's intent to execute a contract for the project; provided that the protesting bidder submits notice in writing of its protest no later than:

(a) Two full business days following bid opening, if no bidder requested copies of the bids received for the project under subsection (1) of this section; or

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(b) Two full business days following when MTA provides copies of the bids to those bidders requesting bids under this section. Intermediate Saturdays, Sundays, and legal holidays are not counted.

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Time for Filing a Protest: A protest based on alleged improprieties or ambiguities in a **solicitation** must be filed at least 7 days before the due date of the bid or proposal. A protest based upon alleged improprieties in an **award** of a contract or a **proposed award** of a contract must be filed within 23 days after notification to an unsuccessful proposer or bidder that they were not selected and before a contract is entered.

Notice of Protest: Administrative Services Manager shall immediately give notice of a protest to the contractor if a contract has been awarded. If no award has been made, notice will be provided to all interested parties.


Stay of Award: If a protest is filed, the award may be made unless the Administrative Services Manager determines in writing that a

- a) Reasonable probability exists that the protest will be sustained; or
- b) Stay of the award is not contrary to the best interests of MTA.

Review of Protests

- a) **Review:** The Administrative Services Manager shall review and investigate properly filed protests and issue a written decision to the protestor.
- b) **Appeal:** A Protestor may appeal the Administrative Services Manager's formal decision to MTA's General Manager. The written appeal must be received by MTA within two business days after receipt of the written decision by the Protestor, or the appeal will not be considered. Properly filed appeals of the decisions of the Administrative Services Manager shall be reviewed and investigated by the General Manager who shall issue MTA's final decision no later than 21 days after receipt.

FTA Funded Projects: In general, FTA will not substitute its judgment for that of MTA unless the matter is primarily a Federal concern. Protests of solicitations, intent to award, or contracts funded with

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any FTA grants will be managed in accordance with FTA Circular 4220.1.f VII guidelines, and any revisions thereof


Federal Assistance in Contract Disputes: If MTA intends to request FTA permission to use Federal assistance to support payments to a third party contractor to settle a dispute, or intends to request increased Federal assistance for that purpose, MTA must comply with the requirements pertaining to notification of FTA, documentation, audit, and other requirements set forth in FTA Circular 4220.1 VII (e), and any revisions thereof.

20.0 ETHICS

The following rules apply to members of the MTA Authority Board (Board Member), Employees, both represented and non-represented, agents and the Immediate Family of Authority and Employees.

Immediate family means a spouse or domestic partner, child, child of a spouse or domestic partner, sibling, sibling of a domestic partner, brother-in-law, sister-in-law, part, parent of a spouse or domestic partner of an Employee or Board Member; a person for whom the Board Member or Employee is a legal guardian; or a person claimed as a dependent on the Board Member's or Employee's most recently filed federal income tax return.

1. **MTA Board Members, Employees and agents may not use their position for personal gain.** This includes seeking or agreeing to outside contracts through the influence of a MTA position, accepting compensation from someone other than MTA for performing duties of the Board Member's or Employee's position, taking action that affects a matter in which a Board Member, Employee, agent or Immediate Family member has a personal or financial interest, or using MTA time or property for personal or financial interests.
2. **MTA Board Members, Employees, agents and their Immediate Family members may not accept improper gifts.** This includes gifts, entertainment, travel, favors, etc. of any dollar value if a reasonable person might think it was intended to influence an individual in the performance of the duties of their job, or if there might be a perception that the gift might influence a Board Member or Employee in the performance of the duties of their job.
3. **Board Members, agents and Employees may not improperly use or disclose information.** This includes information that could result in a benefit to a Board Member, Employee, or Immediate Family unless the information is also available to the public. It also includes confidential information of any kind, unless disclosure is authorized by appropriate personnel or required to be disclosed by law or regulation.
4. **No Board Member, Employee, agent or Immediate Family member may have a personal or financial interest in any MTA contract** in which that Board Member or Employee plays or may play a role in the award or administration of the contract.
5. A Board Member, Employee or agent **may not advise or assist** someone for compensation on any matter pending before MTA.

	<p>Title: Procurement Policy Number: 407 Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019 Cancels: POL 6000 Resolution No. 2018-24 Prepared by: LeeAnn McNulty, Administrative Services Manager Approved by: Authority Board Resolution No. 2018-05; 2018-242019-42</p>
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- 6. **An Employee may not have outside employment if it is incompatible with performing MTA duties.** All outside employment or changes in outside employment must be reported to Human Resources and Administrative Services Manager.
- 7. **Employees may not publicly endorse** a product or service without written approval by the General Manager while representing MTA or if the endorsement would be considered a conflict of interest.
- 8. Employees **violating** this Ethics Section may be subject to disciplinary action, up to and including termination. Board Members violating this Ethics Section will be subject to Board action to the extent permitted by State or local law or regulations.

21.0 FTA SELF-CERTIFICATION OF PROCUREMENT SYSTEM

The Administrative Services Manager is authorized to file a self-certification with the FTA Regional Office that MTA's procurement system and procedures comply with the federal requirements and standards set forth in FTA Circular 4220.1.f, and any revisions thereof. Self-certification limits mandatory FTA review of the procurements listed in Section III of FTA Circular 4220, and any revisions thereof. The Administrative Services Manager shall self-certify MTA's procurement system in the FTA Annual Certification/ Assurance Process or as otherwise required by FTA.

22.0 WAIVER, REPEAL & EFFECTIVE DATE

The Authority Board may waive these requirements by motion or resolution except when prohibited by federal or state law or regulation.

All former Purchasing policies and procedures are repealed upon adoption of this document. These Rules and Policies are effective when adopted by the MTA Authority Board.


23.0 APPLICABLE LAWS, REGULATIONS, REFERENCES

Applicable Laws and Regulations:

- 1. 2 CRF 200 – US Dept. of Transportation, Procurement
- 2. FTA Circular C 4220.1 (current version)
- 3. FTA Best Practices Procurement Manual
- 4. RCW 36.57A.080 Grants Authority to Procure
- 5. RCW 39 Public Contracts and Indebtedness
- 6. RCW 42.56 Public Disclosure
- 7. RCW 60.28 RCW Liens for Labor, Materials, Taxes on Public Works
- 8. WAC 296-127 Prevailing Wages
- 9. MTA Resolution 2009-04 - Identification & Disposal of Surplus Property
- 10. Other laws and regulations as appropriate

See also: PRO – 407 Procurement Procedures

Effective 12/17/2019~~8~~

	<p>Title: Procurement Policy</p> <p>Number: 407</p> <p>Effective: April 17, 2018; Updated December 18, 2018 December 17, 2019</p> <p> Cancels: POL 6000 Resolution No. 2018-24</p> <p>Prepared by: LeeAnn McNulty, -Administrative Services Manager</p> <p>Approved by: Authority Board Resolution No. 2018-05; 2018-24 2019-42</p>
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Procurement procedures and contract language adopted by the General Manager or designee must also comply with all applicable laws and regulations. MTA recognizes FTA Handbooks and Guidelines as non-regulatory, non-binding advice, except to the extent that Handbooks or Guidelines articulate statutory or regulatory requirements.

Conflicts between Policies and Other Laws or Regulations: In the event of a conflict between these Purchasing Policies and any applicable law or regulation, the law or regulation will prevail.

Changes in Laws and Regulations: In the event an applicable law or regulation is modified or eliminated, or a new law or regulation is adopted, the revised law or regulation shall, to the extent inconsistent with these Purchasing Policies, automatically supersede these Purchasing Policies, and Administrative Services Manager shall make appropriate modifications to the Policies.

RESOLUTION NO. 2019-42

**A RESOLUTION OF THE MASON TRANSIT AUTHORITY BOARD
ADOPTING A REVISED PROCUREMENT POLICY (POL-407) AND
SUPERSEDING AND REPLACING IN FULL ANY PREVIOUSLY ADOPTED
OR APPROVED PROCUREMENT POLICY, INCLUDING RESCINDING
RESOLUTION NO. 2018-24.**

WHEREAS, Mason Transit Authority has previously created and revised its Procurement Policy (POL-407) and the policy needs to be updated as its previously keeping with the \$3,000 micro-purchase threshold has proven to be more cumbersome when making needed purchases of \$3,000 to \$10,000; and

WHEREAS, by increasing the micro-purchase threshold from \$3,000 to \$10,000, MTA will continue to comply with federal stipulations for purchases when not required by the FTA but by our policy; and

WHEREAS, a revision has also been made to include an exception guided by the Davis-Bacon Act which requires certain clauses for construction projects above \$2,000;

NOW THEREFORE, BE IT RESOLVED BY THE MASON TRANSIT AUTHORITY BOARD that the Procurement Policy (POL-407), which is attached hereto and incorporated herein, be established and adopted; and

BE IT FURTHER RESOLVED that this Procurement Policy (POL-407) shall supersede and replace in full any previously adopted or approved procurement policy, including rescinding Resolution No. 2018-24.

Adopted this 17th day of December, 2019.

Randy Neatherlin, Chair

Wes Martin, Vice-Chair

John Campbell, Authority Member

Kevin Dorcy, Authority Member

Deborah Petersen, Authority Member

Don Pogreba, Authority Member

Kevin Shutty, Authority Member

Sandy Tarzwell, Authority Member

Sharon Trask, Authority Member

APPROVED AS TO CONTENT: _____
Danette Brannin, General Manager

APPROVED AS TO FORM: _____
Robert W. Johnson, Legal Counsel

ATTEST: _____ DATE: _____
Tracy Becht, Clerk of the Board



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Approved by: Authority Board
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POL - 407

This policy applies to the MTA Authority Board, the General Manager, all Employees, and any contractor, consultant, or vendor bidding, proposing, or contracting with MTA.

1.0 PURPOSE, OBJECTIVES AND SCOPE

RCW 36.57.080 grants authority to Mason Transit Authority (MTA) to determine and prescribe requirements for purchases of goods and services.

This policy is consistent with federal and state requirements that will ensure that MTA receives the best goods and services at the most reasonable price practicable in an open, fair, and competitive manner.


The purpose of these MTA Procurement Policies is to establish a broad framework of policies and guidelines to ensure that MTA’s purchasing and contracting functions promote administrative flexibility and efficiency, while also maintaining prudent internal controls and compliance with applicable statutes and regulations.

Specific objectives include, but are not limited to the following:

1. **Fairness and Objectivity:** Providing a fair, objective, and equitable selection and contracting environment for all individuals and firms seeking to do business or contracting with MTA.
2. **Ensuring Reasonable Costs:** Promoting competition and negotiating (where applicable) to ensure that MTA receives the most favorable prices and terms in its contracts.
3. **Efficiency:** Ensuring that supplies and services are obtained efficiently and effectively.
4. **Accountability:** Promoting accountability of contracting actions by MTA employees and encouraging employees to protect MTA’s financial and other interests.
5. **Value-Added Procurement:** Facilitating a procurement process that provides service and value to MTA in obtaining goods and services.
6. **Ethical Standards:** Ensuring that MTA’s procurement activities are implemented with the highest regard for integrity, avoidance of conflicts of interest, and consistent with applicable ethical standards.
7. **Legal Considerations:** Complying with all applicable federal, state, and local statutes and regulations.

MTA receives funds from federal and state funding sources. MTA shall develop purchasing procedures designed to ensure compliance with applicable laws and regulations without necessarily imposing a higher standard than is necessary to ensure compliance.

Where a requirement in these Policies is based only on federal requirements, MTA may, on a case-by-case basis for non-federally funded contracts, apply a less stringent standard than outlined in the federal requirements, provided it is otherwise consistent with applicable MTA Policies and that all State or other legal requirements are met.

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Nothing in these Procurement Policies will prevent MTA from complying with the terms and conditions of any grant, contract, gift, or bequest that is otherwise consistent with law.

Included in Scope: The following shall be governed by these Procurement Policies when procuring, purchasing, leasing or renting:

- Goods, supplies, equipment, materials
- Construction and maintenance
- Consultant services
- Architectural and engineering (a & e) consultant services
- Other services

Excluded from Scope: The following shall not be governed by these Purchasing Policies:

- Real Estate Purchase and Sale Transactions (Surveys, appraisals, environmental assessments, and financing analyses are considered Consultant services and governed by these Purchasing Policies)
- Business and other Insurance
- Banking services, Loan transactions, and related documents
- Sub-recipient or sub-grantee agreements and related change orders.
- Employment matters and employee benefit plans/programs.

2.0 POLICY ADMINISTRATION

The **Authority Board** is the governing body of MTA. This policy is adopted by the Board for the purposes of establishing the administrative authority of the General Manager (GM).

The **General Manager** is responsible for day-to-day operations of MTA involving personnel, finances, payments of invoices, facilities, real and personal property, and other assets. The GM shall retain professional staff that shall operate and manage according to directives and policy from the GM subject to review by the Board. The GM shall regularly inform and consult with the Chair of the Board, the Finance Committee, and the Board as a whole regarding significant information, business transactions and policies through methods mutually agreeable to the Board and the GM. The GM shall be responsible for the day-to-day direction and conduct of business transactions of MTA subject to the policies, limitations, and directives in this Policy.

3.0 DELEGATION OF AUTHORITY



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The following MTA employees are authorized to purchase or issue purchase orders for supplies, materials, and services up to \$3,000:

- General Manager (GM)
- Administrative Services Manager
- Operations Manager/Supervisor
- Vehicle/Maintenance Manager
- Mechanic
- Executive Assistant/Clerk of the Board
Systems Administrator

The General Manager is delegated additional authority by the MTA Board to execute all procurement documents for goods and/or services and public works contracts up to \$25,000, except that the General Manager may award contracts for general operating supplies, such as diesel fuel, in the amounts exceeding \$25,000.

The Authority Board must approve all purchases over \$25,000 with the exception of general operating supplies.

Purchase documents not executed within the above-delegated authority may result in discipline up to termination or become the responsibility of the person originating the transaction.


4.0 CONTRACT AWARDS

Contract awards may be made only to “responsible” contractors possessing the ability, willingness, and integrity to perform successfully under the terms and conditions of the contract (49 U.S.C. Section 5325). The prospective contractor must meet the following criteria as well as any additional criteria described in the solicitation document:

- a) Is not debarred or suspended from Federal programs per SAM.Gov (the Excluded Parties List System or equivalent).
- b) Is in compliance with applicable licensing, tax laws, and regulations,
- c) Has, or can obtain, sufficient resources to perform the contract,
- d) Is not or has not recently been seriously deficient in contract performance, unless it is determined that the circumstances were beyond the bidder or proposer’s control, or unless the bidder or proposer has taken appropriate corrective action.

Prior to the award of any public works contract, Finance shall ensure and document that the low bidder meets the mandatory bidder responsibility criteria included in [RCW 39.04.350](#). Additionally, MTA may develop supplemental bidder criteria as part of construction bidding documents, which include relevant, specific, and objective qualification requirements for the contractor or sub-contractors that may be used in evaluating whether a contractor is a responsible bidder capable of performing the proposed work.

5.0 FEDERAL CONTRACT PROVISIONS

 <p>MASON TRANSIT AUTHORITY</p>	<p>Title: Procurement Policy Number: 407 Effective: December 17, 2019 Cancels: Resolution No. 2018-24 Prepared by: LeeAnn McNulty, Administrative Services Manager Approved by: Authority Board Resolution No. 2019-42</p>
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Federally funded contracts shall contain, where applicable, contract language required by 2 CFR 200 and FTA Circular 4220.1.f Section IV, and any revisions thereof.

6.0 CONTRACT DURATION

As a government agency and steward of the public’s money, MTA acknowledges the importance of competition to ensure it receives the best quality of goods and services at the most competitive prices. MTA also acknowledges the importance of providing public contracting opportunities to the larger business community.

MTA acknowledges that longer-term contracts are often beneficial to both the business community and MTA in that they reduce costs necessary to conduct frequent solicitation processes, enable the business community to gain proficiency and knowledge in meeting MTA’s needs, and afford economies of financial return for the business community.

In order to ensure fairness and meet the expectations of the business community, the length of any MTA contract shall be limited to the time specified in the advertised solicitation. MTA shall generally not extend a contract beyond the advertised period, except for good and sufficient reasons as approved by General Manager and/or Board.

Length of Contracts: The following shall govern the length of MTA contracts:

- Generally, a supply or service contract shall be established for one to three years, with options to extend the contract for up to a total of five years. The decision on the length of a contract shall be determined on a case-by-case basis, provided that the Administrative Services Manager approves the contract length.
- Solicitation documents and contracts shall include language about the anticipated length of a particular procurement.

Contract Extensions: Price Negotiations: Contracts shall generally include provisions outlining the process or formula to be followed in negotiating the price for an extension of a contract’s original term.

7.0 ENSURING REASONABLE COSTS

MTA staff shall exercise prudent, conservative and their best professional judgment to evaluate the reasonableness of a proposed expenditure. **An independent cost estimate** shall be made prior to solicitations, or prior to starting contract negotiations after making a selection based on a Request for Qualifications. The estimate will be used to evaluate reasonableness or unreasonableness of price and/or the estimated costs to perform the contract. The independent cost estimate will usually be prepared by MTA staff; however, an independent party may assist in evaluation of reasonableness of costs.

All Procurements over \$3,000 require either a Price Analysis or Cost Analysis:

- The purpose of cost or price analysis is to ensure that MTA pays a reasonable price.



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- **Small Procurements between \$3,000 and \$7,500** will generally require a Price Analysis (catalog/internet prices or quotes; see 6.2). Occasionally a Cost Analysis will be required.
- **Public Works** contracts and Change Orders must have a Price Analysis or Cost Analysis, per [RCW 39.04.020](#).
- All **federal grant** funded procurements must have a Price Analysis or Cost Analysis, per FTA Circular 4220.1.f VI.6, and any revisions thereof.

Extent of Analysis: The requirements for ensuring reasonable costs in contracting apply to most MTA procurement activities (goods, supplies, construction, consulting, services, and contract changes). The method and degree of analysis depends upon the facts of a particular procurement situation, including the size, nature, and complexity of the contract or change order. The estimate can range from a simple budgetary estimate to a complex estimate based on inspection of the product itself and review of such items as drawings, specifications, and prior data.

Price and Cost Analysis: An independent estimate of costs (Price Analysis or Cost Analysis) is required for procurements exceeding \$7,500 EXCEPT:

- Procurements made through **cooperative purchasing agreements** (e.g., WA State Department of Enterprise Services (DES) contracts) are exempt from this requirement.
- **Direct Payments** (Section 15) are exempt from this requirement.
- All procurements using federal funds **must have** a Price or Cost Analysis performed, even if purchases are made through cooperative agreements.

Price Analysis

The purpose of a Price Analysis is to ensure MTA pays a reasonable price, **based on market prices**. It is a written review and evaluation of competitive prices to determine whether the proposed price is reasonable when compared with prices provided by others in the market.

Accepted forms of Price Analysis techniques are:

- Comparison of catalog or market prices (internet search)
- Comparison to prior purchases
- Comparing vendor quotes
- Adequate price competition (at least 2 offerors respond satisfactorily to solicitation)
- Pricing set by law or regulation (ex: utilities)
- Comparing proposed prices with independently developed cost estimates.
- Value Analysis. This may include consideration of life cycle costs such as productivity gains, services/training provided, or efficiency gains.

Cost Analysis

The purpose of the Cost Analysis is to ensure that the proposed price is reasonable. It shall include an analysis of a proposal's separate cost elements and profit compared to what the cost of the contract should be, (assuming reasonable economy and efficiency). A written review and evaluation of the proposed cost elements (labor, materials, overhead) and profit of a contract, purchase order, or change order to ensure the price is reasonable. It is usually used for professional consulting and Architectural



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& Engineering services contracts. A Cost Analysis is necessary whenever a Price Analysis cannot be performed.

The following situations **require** a Cost Analysis:

1. Price Analysis will not provide sufficient information to determine the reasonableness of the contract cost
2. Sole source, including emergency, selections (unless waived by the General Manager)
3. Single response to a solicitation
4. Contracts based on a Request for Qualifications (A&E)
5. Change orders or other modifications that change the contract amount.
6. Contracts based on Formal (ITB, RFP) or Informal Solicitations where price is one of the evaluation criteria.

Level of Specificity: MTA staff (or contractor/consultant) with the relevant experience and knowledge shall conduct the Cost Analysis. The analysis must have a level of specificity and independence appropriate to the contract or Change Order under review that describes what was analyzed. For any contract or Change Order subject to a Cost Analysis, MTA shall require that the Contractor/Consultant submit a cost breakdown of their price for use in evaluating reasonableness of price.

Negotiation of Profit: Profit shall be negotiated separately in all cases where there is no price competition, and in all acquisitions in which the recipient performs or acquires a cost analysis. To establish a fair and reasonable profit, consideration will be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.

Specific Situations:

1. **Time and Materials Contracts:** A Time and Materials contract may be used only after a determination that no other contract payment type is suitable. This is generally when the extent of work is unknown when the work is solicited.
2. **Prohibited Contracting Methods:** "The 'cost plus a percentage of cost' and 'percentage of construction cost' methods of contracting shall not be used" ([CFR 48.1.C.102c](#)).

8.0 GOODS, SUPPLIES, EQUIPMENT, AND MATERIALS

This Section deals primarily with the purchase of goods, supplies, equipment, materials, and ancillary services (ex: installation, maintenance packages, etc.), and is frequently referred to as "goods and supplies."

All Public Works projects are subject to Prevailing Wage on Public Works rules (RCW 39.12) as well as bidding and contract requirements and may only be purchased under this section if in compliance with Section 11.



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Purchases Under \$10,000: Micro purchase procedures are for the purchases of goods and services under \$10,000, as defined by 41 USC 1902(a)(2), and any revisions thereof FTA Circular 4220.1F Section VI.. Employees are expected to use their best professional judgment when making micro purchases and maximize MTA dollars for value. Although competition is not required, it is expected that the best possible price be obtained, and that no favoritism be shown in selecting suppliers. Micro-purchases:

- 1) Shall be distributed equitably among qualified suppliers, service providers, consultants, and contractors.
- 2) Shall not be divided or reduced merely to comply with the micro-purchase limit.
- 3) Are exempt from FTA's third party contract provisions, except Davis Bacon requirements which apply to construction contracts exceeding \$2,000.
- 4) Pricing shall be fair and reasonable.

Informal Solicitations: In accordance to the Exception issued by the Office of Management and Budget (OMB memo M-18-18) which specifies that procurements costing \$250,000 or less qualify as "small purchases" that are not subject to formal advertising as part of the selection process. MTA will maintain a range of \$10,000 to \$100,000 as a small purchase threshold. While these procurements may be conducted under less formal selection procedures, obtaining and comparing competitive prices from more than one vendor represents good public policy, and is required for the purchase of all goods, supplies, equipment, and materials costing \$3,000 or more.

Evaluation Criteria:

- a.) Generally, price shall be used as the primary evaluation criterion.
- b.) The geographic location of vendors submitting bids may not be used as an evaluation criterion.

Informal Solicitation Requirements:

- a.) Product descriptions shall not unduly restrict competition.
- b.) For purchases of \$3,000 or more, Department Managers shall have a Price Analysis performed, generally by comparing prices from vendors. If a Price Analysis cannot be performed, an Independent Cost Estimate must be developed for bids or quotations. Department Managers shall ensure that an adequate Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 7). A copy of the completed Price Analysis or Cost Analysis will be placed in the procurement file.
- c.) To ensure adequate and sufficient competition in obtaining goods and supplies over \$3,000, at least three vendors must be solicited, or prices compared. Under special circumstances and for good and sufficient reasons, Administrative Services Manager may approve solicitation of just two vendors.
- d.) Price quotations may be received orally, by fax, e-mail, internet search, or other means. The decision about whether to request and receive price quotations orally or in writing shall be made by Administrative Services Manager based on the complexity of the solicitation. Simple solicitations may be handled orally or through an internet search, while more complex ones should be handled in writing. Solicitations and responses for goods which must be



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manufactured or assembled specifically for MTA, or for which installation is a component, should generally be in writing.

- e.) When soliciting goods valued at \$7,500 or more, Department Manager shall allow sufficient time for vendors to prepare and submit their prices.

Informal Solicitation Threshold: An informal solicitation may be used for buying goods and supplies that will cost \$100,000 or less. A contract, single or multi-year, based on an informal solicitation shall not exceed \$100,000 (including change orders, transportation, and sales tax).

If goods and supplies in excess of \$100,000 are required under a contract based on an informal solicitation a competitive selection process should be initiated immediately for those goods and supplies. The General Manager may extend the existing contract if termination would adversely affect MTA business operations and the Board of Directors shall be notified of the extension.

Invitation to Bid: An Invitation to Bid (ITB) is a formally advertised and competitive selection process used for obtaining goods, supplies, equipment and materials that will cost more than \$100,000 (41 USC Section 403(11)), where award is made based on the lowest price submitted by a responsible bidder with a responsive bid.

When to Use ITBs: Generally, vendors providing goods, supplies, equipment, materials, and some services should be selected based on competitive bids. If the following criteria is met, an ITB should be utilized:

- a) The amount of the procurement, including any potential change orders, transportation, and sales tax will cost more than \$100,000.
- b) A complete, adequate, and realistic specification or purchase description is available.
- c) Two or more responsible bidders are willing and able to compete effectively for the work.
- d) **The project lends itself to a firm fixed price contract, and the selection of the successful bidder can be made principally on the basis of price.**
- e) An ITB is NOT appropriate when the project does not lend itself to a firm-fixed price contract approach. An ITB would not be appropriate for fleet vehicles, projects where aesthetics are variable and important, and other projects with subjective criteria.

ITB Requirements:

- a.) ITBs will be publicly advertised in the *appropriate newspaper; Municipal Research and Service Center (MRSC) rosters; or other media as appropriate.*
- b.) ITBs should be advertised and available for review by vendors for a sufficient length of time to prepare and submit bids.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed or goods provided, and the complexity of the procurement.



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- Generally, it is expected that ITBs will be advertised and available for review by vendors for **21 calendar** days before bids are due. However, dependent upon the particular procurement, Administrative Services Manager may determine that adequate competition and preparation and submission of bids may be accomplished in a shorter period of time, and the 21-calendar day guideline may be adjusted appropriately.
 - Administrative Services Manager, in consultation with the applicable Department Manager, shall make the final decision on the length of time an ITB is advertised.
- c.) The ITB will not unduly restrict competition.
- d.) Department Managers shall ensure that an Independent Cost Estimate is developed for obtaining goods and supplies, provided however, that for standard, commercially available items, the purpose of an Independent Cost Estimate is fulfilled by obtaining and comparing prices from vendors (Price Analysis), and no separate Independent Cost Estimate shall be required.

Evaluation Criteria and Award:

- a) Price shall be the evaluation criterion used, provided the bid is submitted by a responsible bidder with a responsive bid
- b) The geographic location of vendors submitting prices may not be used as an evaluation criterion.
- c) Price shall be used as the evaluation criterion. This shall be identified in the ITB.
- d) Department Managers shall ensure that a Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 7).

9.0 CONSULTANT, OTHER SERVICES & PROJECTS

Consultants provide advice, creative design, recommendations, reports, analyses, evaluations, audits, surveys or other products of cognitive processes or expert or professional services. *Consultants providing architectural, engineering, landscape architectural, or land surveying services are considered A & E Consultants, addressed in Section 10.*

Service Providers perform non-consultant work including ongoing management of programs and provision of services. Examples of Service Providers include but are not limited to: armored car service, messengers, services performing routine maintenance, etc. One distinguishing feature of Service Providers is that the work they perform is not normally subject to federal or state prevailing wage requirements.

Other Projects: Certain procurements are not appropriate for an ITB, as it is not reasonable to define or have knowledge of all possible specifications. Software, technology, or rolling stock are examples of procurements that are appropriately purchased through an RFP. Purchase criteria involves multiple factors with price as only one criterion.



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Terminology: For ease of reading, this Section will refer to Consultants, Service Providers, and other project offerors as Consultants.

A Two Step Procurement procedure, described in Section 12, may be used for these procurements.

Informal Solicitations (Under \$100,000)

41 USC Section 403(11) specifies that procurements costing \$100,000 or less qualify as “small purchases,” and are not subject to formal advertising as part of the selection process.

Informal Solicitation Threshold: An informal solicitation may be used only for those Consultant services that will cost \$100,000 or less over the life of the contract (including change orders and taxes). Based on selection through an informal solicitation process, no contract may be awarded where the contract amount and/or payments during the life of the contract exceeds \$100,000. A contract based on an informal solicitation shall not exceed \$100,000.

When to Use Informal Solicitation Process: While procurements of \$100,000 or less may be conducted under less formal selection procedures, competition, including the use of price as one of the evaluation criteria, represents good public policy, and is required for all Consultant services costing \$25,000 or more. For small contracts under \$25,000, obtaining a price from only one Consultant is acceptable if the price received is considered reasonable. Additionally, and where possible, solicitation opportunities for small contracts under \$25,000 shall be equitably distributed among the consultants on MTA’s Consultant Roster Program. (MTA participates in the MRSC Consultant Roster.)

Informal Solicitation Requirements:

- a.) In order to ensure adequate and sufficient competition in obtaining consultant services, at least three consultants should be solicited. Under special circumstances and for good and sufficient reasons, the Administrative Services Manager may approve solicitation of just two consultants.
- b.) The requirements and responses relating to most informal solicitations shall be in writing between MTA and the consultants.
- c.) Informal solicitations should be available for review by consultants for a sufficient length of time to provide consultants with adequate time to prepare and submit proposals.
- d.) Procurement Procedures shall outline requirements for receipt of proposals, including, but not limited to, proposal submission, the means of solicitation and proposal submission (electronic or hard copy), and deadlines for submission.
- e.) Department Managers shall ensure that an Independent Cost Estimate (Section 6) is developed prior to receipt of any proposals.
- f.) Contracts based on an informal solicitation shall normally be based on either a fixed-price, cost-reimbursement, or unit price model.

Evaluation Criteria and Award:

- a.) Offers not meeting minimum qualifications will not be considered.
- b.) Price shall be used as an evaluation criterion.
- c.) Experience of the consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.



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- d.) The geographic location of consultants submitting proposals may not be used as an evaluation criterion.
- e.) Evaluation criteria shall be included in the informal solicitation.
- f.) The evaluation panel appointed by the Department Manager shall evaluate proposals received based only on the established criteria. Evaluation panel should consist of at least three qualified members (including a chair) to review and rate proposals received. It is recommended that MTA staff be in the majority on panels that include non-MTA members.
- g.) The Department Manager and General Manager will jointly develop a written negotiation position. MTA shall enter into negotiations with the highest ranked consultant in an effort to execute a Contract. If negotiations are unsuccessful, MTA may proceed to negotiate with the next highest ranked Consultant.
- h.) Department Managers shall ensure that an adequate and sufficient Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (see Section 7 of these Policies for further information). The Price Analysis or Cost Analysis must be in writing for all contracts of \$25,000 or more.

***Requests for Proposals
(Over \$100,000)***

A Request for Proposals (RFP) is a formally advertised and competitive selection process used to obtain consultant services more than \$100,000, and where the evaluation and selection of a Consultant cannot be based on price alone but is based on established criteria that include price and other factors.

Solicitation Requirements:

- a.) RFPs will be publicly advertised in the appropriate newspaper, MRSC Consultant Roster, or other media, as appropriate.
- b.) RFPs should be advertised and available for review by consultants for a sufficient length of time to provide consultants with adequate time to prepare and submit proposals.
 - RFPs will usually be advertised and available for review by consultants for 21 calendar days before proposals are due. For a particular procurement, Department Manager may determine that adequate competition and preparation and submission of proposals may be accomplished in a shorter period of time, and the 21-calendar day guideline adjusted appropriately. The length of time can be based on factors, including but not limited to, the estimated dollar value, the complexity of the work, and the extent of developing a proposal or project approach versus merely providing information about qualifications, experience, and availability.
 - The Administrative Services Manager, consulting with the applicable Department Manager, shall make the final decision on how long an RFP is advertised.
- c.) Procurement Procedures shall outline requirements for receipt of proposals, including, but not limited to, proposal addressee, means of solicitation and proposal submission, and deadlines for submission.
- d.) Department Managers shall ensure that an Independent Cost Estimate is developed for the work.



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Evaluation Criteria and Award:

- a.) Price shall be used as an evaluation criterion.
- b.) Experience of the consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.
- c.) The geographic location of Consultants submitting proposals may not be used as an evaluation criterion.
- d.) Evaluation criteria and the relative weight of each criterion shall be included in the RFP.
- e.) Proposers not meeting minimum qualifications will not be considered.
- f.) The evaluation panel appointed by the Department Manager shall evaluate proposals received based only on the established criteria and upon the proposal submitted.
- g.) MTA shall enter into negotiations with the highest ranked consultant in an effort to execute a Contract. If negotiations are unsuccessful, MTA may proceed to negotiate with the next highest ranked Consultant.
- h.) Department Managers shall ensure that an adequate and sufficient Cost Analysis or Price Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 7).
- i.) MTA may reject any or all proposals.

10.0 ARCHITECTURAL & ENGINEERING (A & E) CONSULTANT SERVICES

Architectural & Engineering (A & E) Consultant Services are a subset of Consultant Services. The primary distinction between the two is that MTA **may not use cost as an evaluation criterion when selecting a firm for performing A & E work**. Instead, consistent with the requirements of RCW 39.80 and the Brooks Act (40 USC. Sections 1101-1104), the evaluation criteria must be limited to factors that relate to a Consultant’s qualifications and competence to perform the desired work. MTA must select the most highly qualified A & E Consultant to provide the services.

Disciplines: The following are included in A & E Consultant Services:

- 1. Professional Services: Program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping and related services ([CFR 49 Sec 5325\(b\)](#)). Landscape architectural services ([RCW 39.80.020](#)).
- 2. Related to Real Property: Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property. The nature of the work to be performed and its relationship to construction, not the nature of the prospective contractor, determine whether qualifications-based procurement procedures may be used. ([40 U.S.C. 1102](#)).
- 3. Typically Performed By: Other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professionals (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual design, plans and specifications, value engineering, construction phase services, soils engineering, drawing



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reviews, preparation of operation and maintenance manuals, and other related services ([40 U.S.C. 1102](#)).

Distinguishing Between A & E Work and Non-A & E Work:

Because price may not be used as a criterion for selection of A & E consultants, but price must be used as a one criterion for selecting other consultants, it is important to distinguish what is A & E work and what is non-A & E work. It is to MTA's advantage to use price as one criterion for selection of consultants when permitted, to ensure that MTA obtains the most value for its money.

Making a Determination: Generally, A & E work and non-A & E work is based on the following:

- If State law requires that the work in question be performed by someone licensed or registered in one of the professions cited above, then the work should be considered as A & E work and price may not be used as an evaluation criterion.
- As defined in RCW 39.80.020: "Architectural and engineering services" or "professional services" means professional services rendered by any person, other than as an employee of the agency, contracting to perform activities within the scope of the general definition of professional practice in chapters [18.08](#), [18.43](#), or [18.96](#) RCW."
- The mere fact that the scope of services for a particular contract is likely to be performed by, or may be performed by, someone who is licensed or registered in one of the professions cited above does not mean that the work is A & E work. To be considered A & E work, the type of service must be as defined in RCW 39.80.020.

MTA may not use qualifications-based procurement procedures that are not included in the A & E categories noted above.

***Informal Solicitations
(Under \$100,000)***

Cost Thresholds: The Federal simplified acquisition threshold (41 USC 403(11)) specifies that procurements costing \$100,000 or less qualify as "small purchases" that are not subject to formal advertising as part of the selection process. However, Section 39.80 RCW requires **that A & E Consultant services be advertised**, either specifically or generally, regardless of the dollar amount. MTA will use a Roster when appropriate to solicit Request for Qualifications.

Roster: MTA may establish through a Request for Qualifications process a Roster of qualified A & E Consultants who may be selected for specific scopes of work under an expedited proposal submittal process (informal solicitation). In establishing such a Roster, MTA shall ensure that the Roster is maintained with current information and that there are a sufficient number of qualified A & E Consultants on the Roster to "ensure maximum open and free competition." MTA may also utilize other government rosters, such as MRSC. Projects that are estimated to cost more than \$100,000.00 over the life of the contract, including any potential change orders, must be formally advertised (Section 10).



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Informal Solicitation Requirements:


- a.) To ensure adequate and sufficient competition in obtaining A & E consultant services, at least 3 A & E Consultants on the appropriate Roster category must be solicited. The Department Manager and Administrative Services Manager shall determine whether a Request for Proposal should be used in lieu of the roster, dependent on the requirements of the work.
- b.) Informal solicitations should be available for review by A & E Consultants for a sufficient length of time to provide them adequate time to prepare and submit qualifications.
- c.) Informal solicitations and responses should be in writing.
- d.) Procurement Procedures shall outline requirements for receipt of submittals, including, but not limited to, proposal addressee, the means of solicitation and submission, and submission deadlines.
- e.) Department Managers shall ensure that an Independent Cost Estimate is developed for procurements greater than \$25,000.

Evaluation Criteria and Award:

- a.) Price may not be used as an evaluation criterion.
- b.) Experience of the A & E Consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors may also be used as evaluation criteria.
- c.) The geographic location of A & E Consultants submitting qualifications may be used as an evaluation criterion provided that its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
- d.) Evaluation criteria and their weight shall be included in the informal solicitation.
- e.) The evaluation panel appointed by the Department Manager shall evaluate submittals only on established criteria.
- f.) MTA shall negotiate a contract with the most qualified firm for A&E services at a price that MTA determines is fair and reasonable. In making its determination, MTA shall take into account the estimated value of the services to be rendered as well as the scope, complexity, and professional nature of the project ([RCW 39.80.050 \(1\)](#)). If those negotiations are unsuccessful, MTA may negotiate with the next highest ranked firm.
- g.) Department Managers shall ensure that an adequate and sufficient Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 7). The Analysis must be in writing for all contracts of \$25,000 or more.
- h.) Contracts based on an informal solicitation shall normally be either based on a fixed-price or a cost-reimbursement model.

***Request for Qualifications/Request for Proposals
(Over \$100,000)***

A Request for Qualifications (RFQ) or Request for Proposals is a formally advertised and competitive selection process used for obtaining consultant services that will cost more than \$100,000, and where the evaluation and selection of an A & E Consultant is based on the consultants' qualifications, and

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where price is not used as an evaluation criterion. Part of evaluating an A & E Consultant's qualifications may include an evaluation of their proposed approach for performing the work.

Solicitation Requirements:

- a.) RFQs/RFPs should be advertised and available for review by A & E Consultants for a sufficient length of time to provide A & E Consultants with adequate time to prepare and submit qualifications.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed, the complexity of the work, the degree to which MTA is requesting consultants to develop a proposal or project approach versus merely providing information about qualifications, experience, and availability.
 - Generally, it is expected that RFQs/RFPs will be advertised and available for review for 21 calendar days before submittals are due. However, dependent upon the particular procurement, Administrative Services Manager may determine that adequate competition and preparation and submission of qualifications may be accomplished in a shorter period of time, and the 21-calendar day guideline may be adjusted appropriately.
 - Administrative Services Manager, in consultation with the General Manager, shall make the final decision on the length of time an RFQ is advertised.
- b.) Department Managers shall ensure that an Independent Cost Estimate is developed for the work.
- c.) Procurement Procedures shall outline requirements for receipt of submittals, including, but not limited to, addressing to whom responses should be submitted, the means of solicitation and submission of responses (electronic or hard copy), and deadlines for submission.
- d.) MTA may establish through a Request for Qualifications process a Roster of qualified A & E Consultants who may be selected for specific scopes of work under an expedited proposal submittal process. In establishing such a Roster, MTA shall ensure that the Roster is maintained with current information and that there are a sufficient number of qualified A & E Consultants on the Roster to ensure maximum open and free competition.

Evaluation Criteria and Award:

- a) **Price may not be used** as an evaluation criterion.
- b) Experience of the A & E Consultant, expertise and qualifications of staff to be used, along with availability to perform the services and other factors such as understanding of the work to be performed may also be used as evaluation criteria.
- c) The geographic location of A & E Consultants submitting qualifications may be used as an evaluation criterion provided there are an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
- d) Evaluation criteria shall be included in the RFQ, along with the weighting to be assigned to each criterion.
- e) The evaluation panel appointed by the Department Manager shall evaluate submittals received based only on the established criteria



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- f) The Department Manager and Administrative Services Manager shall develop a written negotiation position. MTA shall negotiate a contract with the most qualified firm for A&E services at a price that MTA determines is fair and reasonable. In making its determination, MTA shall take into account the estimated value of the services to be rendered as well as the scope, complexity, and professional nature of the project ([RCW 39.80.050 \(1\)](#)). If those negotiations are unsuccessful, MTA may negotiate with the next highest ranked firm.
- g) Department Managers shall ensure that an adequate and sufficient Price Analysis or Cost Analysis is conducted that demonstrates the reasonableness of the proposed contract amount (Section 7).
- h) Contracts based on an RFQ/RFPs shall normally be either based on a fixed-price or a cost-reimbursement model.

11.0 CONSTRUCTION AND MAINTENANCE

Bids versus Proposals

Generally, contractors for construction and maintenance projects should be selected based on competitive bids (evaluated solely upon price) instead of proposals (evaluated on price and other factors). Competitive bidding should be utilized if the following criteria are met:

- 1) A complete, adequate, and realistic specification is available.
- 2) Two or more responsible bidders are willing and able to compete effectively for the work.
- 3) The project lends itself to a firm fixed-price contract, and the selection of the successful bidder can be made principally based on price.

Selection Methodologies

- 1. **Design-Bid-Build** - The design-bid-build procurement method requires separate contracts for design services and for construction. If MTA elects this method, relevant provisions of [RCW 39.04](#) will be used to establish the minimum procedures.
 - a) **Design Services.** Qualifications-based procurement procedures must be used for design services in compliance with [FTA Circular 4220.1.f](#), Section 11 and any revisions thereof; of these Procurement Policies, and applicable Federal, State and local law and regulations.
 - b) **Construction.** Public Works construction in Washington State does not allow competitive negotiations. This work must be solicited and awarded using an Invitation to Bid.
- 2. **Design-build** ([49 U.S.C. Section 5325\(d\)\(1\)](#)) procedures may be used when MTA contracts for design and construction simultaneously with a contract award to a single contractor, consortium, joint venture, team, or partnership that will be responsible for both the project's design and construction. [RCW 39.10](#) generally restricts the use of design-build procedures to **public works projects of over \$10 million** and the agency must be approved by the WA Project Review Committee to use Design-Build. The various contract activities shall be classified as design OR construction and the estimated total value of each will be calculated. The procurement method is based on the phase of the project with the greatest cost:



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- a) When **construction costs are estimated to be more than A&E costs**, best value or low bid procurement methods shall be used. Since the A&E services are less than half of the total contract amount, qualifications-based procurement procedures may **not** be used for the design-build contract **unless** the FTA determines otherwise in writing or if required by State law. However, a qualifications-based method may be used to determine prospective contractors capable of performing the project and thus qualified to submit detailed technical and price proposals in step two of the design build procurement process (as described in Section 12 of this Procurement Policy).
 - b) When **A&E services are estimated to be more than construction costs**, qualifications-based procurement procedures based on the [Brooks Act](#), and described in Section 10 shall be used.
3. **Value Engineering:** Value Engineering, the systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lowest cost, is one of the tasks that the Contractor may be asked to perform on a Contract.
4. **General Contract/Construction Manager (GCCM):** Subject to the process in RCW [39.10.270](#) or [39.10.280](#), public bodies may utilize the general contractor/construction manager procedure for public works projects where at least one of the following is met:
- a) Implementation of the project involves complex scheduling, phasing, or coordination;
 - b) The project involves construction at an occupied facility which must continue to operate during construction;
 - c) The involvement of the general contractor/construction manager during the design stage is critical to the success of the project;
 - d) The project encompasses a complex or technical work environment;
 - e) The project requires specialized work on a building that has historic significance; or
 - f) The project is, and the public body elects to procure the project as, a heavy civil construction project. However, no provision of this chapter pertaining to a heavy civil construction project applies unless the public body expressly elects to procure the project as a heavy civil construction project.

Small Works Roster (Informal Solicitation)

MTA's Small Works Roster was established under the authority of RCW 39.04.155. MTA participates in the MRSC Small Works Roster. The Roster permits MTA to select a contractor for certain construction projects without otherwise publicly advertising the work, but by following the process outlined in State law for soliciting bids from contractors on the Roster.

Annual Advertisement: MRSC annually publishes an advertisement identifying MTA as a participating Agency (Consistent with of State law requirements), inviting contractors to apply for the Roster. Contractors may apply to the MRSC Roster anytime during the year.



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Construction projects less than \$100,000 may use the informal selection procedures of the Small Works Roster to select a contractor (no advertising required). The federal “simplified acquisition threshold” is currently set at \$100,000 ([41 USC 403\(11\)](#)). For non-federally funded projects estimated to cost less than \$35,000, bids may be solicited from at least three contractors from the Small Works Roster using the limited public works process.

Specifications and Contracts:

- a.) **Bid Guarantee:** Specifications shall indicate whether bidders must submit a bid guarantee of 5% with their bid. Projects of \$35,000 or less, the General Manager may waive the bid guarantee requirement and omit in bidding documents.
- b.) **Contract Bond:** Specifications shall require the successful contractor submit a Payment and Performance Bond (Contract Bond) or a separate Payment Bond and a separate Performance Bond for 100% of the awarded contract amount. The General Manager may waive this requirement, for a project estimated to cost less than \$35,000, in accordance with [RCW 39.04.155](#), provided that the selection is made from the Small Works Roster using the Limited Public Works Process in RCW 39.04.155 section 3.
- c.) **Retainage:** MTA shall withhold retainage of 5% of each payment to the contractor ([RCW 60.28](#)). The General Manager may waive the requirement to withhold retainage for a project estimated to cost less than \$35,000 (RCW 39.04.155) provided that the selection is made from the Small Works Roster using the Limited Public Works Process prescribed in RCW 39.04.155 section 3. As an alternative to withholding retainage, State law permits the contractor to submit a bond in lieu of retainage.
- d.) **Prevailing Wage:** [RCW 39.12](#): Specifications shall require the payment of applicable prevailing wages. Contracts shall identify the wage schedule applicable to the project by including a copy of the wages or by reference. When the applicable schedule is referenced, the contract shall include instructions for accessing the wage schedule.
- e.) **Federal Contract Provisions:** Federally funded contracts shall contain, where applicable, contract language required by 2 CRF 200 as described below in Section 11.

Solicitation Requirements: Unless Administrative Services Manager approves of an alternate solicitation method, the Small Works Roster shall be used for obtaining bids for all informal solicitations.

- a.) Bids will be solicited consistent with the procedures in State law regarding the Small Works Roster, and with the requirements of 41 USC 403(11) for “small purchases,” which requires that “price or rate quotations...be obtained from an adequate number of qualified sources”.
- b.) Informal Solicitations should be available for review by contractors for a sufficient length of time to provide contractors with adequate time to prepare and submit their bids.
 - The length of time shall be determined based on a number of factors, including but not limited to, the estimated dollar value of the work to be performed, the complexity of the work, and current general market conditions.
 - Generally, an informal solicitation will be available for review by contractors for a minimum of 5 calendar days before bids are due.



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- Administrative Services Manager, in consultation with the applicable Department Manager, shall make the final decision on the length of time an Informal Solicitation is under review by contractors.
- c.) Notice for a pre-bid conference shall be stated in the solicitation.
- d.) All bids received by the required deadline will be evaluated.
- e.) Procurement Procedures shall outline requirements for receipt of bids, including, but not limited to, addressing where bids should be submitted, and deadlines for submission.
- f.) Department Managers shall ensure that an Independent Cost Estimate is developed for the services sought prior to receipt of any bids.

Evaluation and Award:

- a.) Administrative Services Manager shall evaluate whether the bids submitted are responsive to the specifications.
- b.) The Department Manager and Administrative Services Manager shall evaluate whether the bidder submitting the lowest responsive bid is a responsible bidder. Responsibility analysis includes, but is not limited to, verifying contractor compliance with the mandatory bidder responsibility requirements of [RCW 39.04.350](#) as well as issues related to the capability of the bidder to successfully complete the work (based on any supplemental bidder responsibility criteria that may have been established for the project).
- c.) If a contract is to be awarded, it shall be awarded only to a responsible bidder submitting the lowest responsive bid.
- d.) The geographic location of contractors **may not** be used as an evaluation factor.
- e.) MTA shall reserve the right to reject any or all bids if there is a sound documented reason.
- f.) Contracts shall be for a firm fixed-price based on either a lump sum amount or the summation of unit prices. On a unit price contract, MTA shall pay the contractor only for actual quantities installed, and so the awarded contract amount may vary from the actual amount paid to the contractor.

Formal Solicitation – Invitation to Bid (ITB)

An Invitation to Bid (ITB) method is a formally advertised competitive selection process used for obtaining construction and maintenance services that will cost more than \$100,000.

Specifications and Contracts:

- a) Each bidder must provide a **bid guarantee** equivalent to five (5%) percent of the bid price. The "bid guarantee" shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying the bid as assurance that the bidder will honor their bid upon acceptance.
- b) Specifications shall require the successful contractor to submit a Payment and Performance Bond (**Contract Bond**) or a separate Payment Bond and a separate Performance Bond for 100% of the awarded contract amount.
- c) **Prevailing Wages:** Specifications shall require the payment of applicable prevailing wages. Contracts shall include a copy of or reference to wage rates.



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Solicitation Requirements:


- a.) ITBs will be publicly advertised in the *appropriate newspaper* and other media, as appropriate.
- b.) ITBs should be advertised and available for review by contractors for enough time to prepare and submit bids or proposals.
- c.) The length of time shall be determined by various factors, including but not limited to, the estimated dollar value of the work, the complexity of the work, and general market conditions.
- d.) While ITBs will usually be advertised and available for review by contractors for 21 calendar days before bids are due, Administrative Services Manager may determine that adequate competition, preparation, and submission of bids may be completed in less time, and the 21-day guideline may be adjusted accordingly. Administrative Services Manager, in consultation with the Department Manager, shall determine how long a solicitation opportunity is advertised.
- e.) Notice for a pre-bid conference shall be stated in the ITB.
- f.) All ITB bids received by the required deadline will be publicly opened at the time and place prescribed in the invitation for bids.
- g.) Procurement Procedures shall outline requirements for receipt of bids or proposals, including, but not limited to, addressing where bids or proposals should be submitted, and deadlines for submission.

Evaluation and Award:

- a.) MTA shall evaluate whether the bids submitted are responsive to the specifications.
- b.) MTA shall evaluate whether the bidder submitting the lowest responsive bid is a responsible bidder. Responsibility analysis includes, but is not limited to, verifying contractor compliance with the bidder responsibility requirements of RCW 39.04.350, as well as issues related to the capability of the bidder to successfully complete the work, based on supplemental bidder responsibility criteria that may have been established for the project.
- c.) If a contract is to be awarded, it shall be awarded only to a responsible bidder submitting the lowest responsive bid.
- d.) Geographic location of contractors **cannot** be used as evaluation criteria.
- e.) No changes in price or other provisions of bids after opening shall be permitted unless an error is obvious. An obvious error can be clearly determined from math extensions or calculations shown in documents submitted with the bid. An error in a math extension, reported by a bidder but not shown in the bid documents, does not constitute an obvious error. Bidders are presumed to submit correct calculations and specifications.
- f.) Immaterial irregularities in a bid may be waived by MTA as an informality.
- g.) MTA shall reserve the right to reject any or all bids if there is a sound documented reason.
- h.) Contracts shall be for a firm fixed-price based on either a lump sum amount or the summation of unit prices. On a unit-price contract, MTA shall only pay the contractor for actual quantities installed, so the awarded contract amount may vary from the actual amount paid to the contractor.

Prevailing Wages

The **hourly wages** to be paid to laborers, workers, or mechanics, on all construction projects, shall not be less than the local **prevailing wage** (RCW Ch. 39.12). Maintenance, when performed by contract,

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is also subject to prevailing wage requirements. When federal funds are used, a project is subject to both state prevailing wages and federal prevailing wages, and the contractor must pay the higher of the two wages for a given classification.

Applicability of **Federal** Prevailing Wage Requirements: Prevailing wage requirements shall apply only to construction projects of more than \$2,000 that contain federal funds (40 USC 276a to 276a-7).

Records Disclosure of Contractor Payroll Reports: Payroll reports received by MTA from contractors and subcontractors on construction projects, for the purpose of monitoring prevailing wage requirements, shall not be released to outside parties *unless* the employees' personal identifiers (e.g., name, address, social security number) are first deleted.

12.0 TWO STEP PROCUREMENT PROCEDURES

Two-Step Procurement Procedures (41 U.S.C. Section 253.m) may be used in **competitively negotiated procurements**, such as rolling stock or technology, provided the opportunity for full and open competition is retained, consistent with RCW and FTA requirements. It may also be used for Construction and Maintenance projects.


Step 1: Review of Technical Qualifications and Approach. The first step is a review of the prospective offerors' technical approach to MTA's request and technical qualifications to carry out that approach. The competitive range may be narrowed to prospective offerors that demonstrate a technically satisfactory approach and have satisfactory qualifications.

Step 2: Review of Bids and Proposals Submitted by Qualified Prospective Contractors. The second step consists of soliciting and reviewing complete proposals, including price, submitted by each prospective offeror determined to be qualified. Proposals should be solicited from at least three qualified prospective offerors, absent exceptional circumstances. Unlike qualifications-based procurement procedures required for A&E services (Section 10.1), and other contracts covered by CFR 49 Section 5325(b) discussed in Section 8 (ITBs), proposal prices of all proposers in the competitive range are to be considered along with evaluation factors relating to qualifications and technical factors.

In the interests of efficiency, MTA may elect to obtain submittals of both steps with a single solicitation.

13.0 INTERGOVERNMENTAL AGREEMENTS

To promote efficiency and competition in the procurement of goods and services, the General Manager is authorized to enter into agreements with other governmental agencies and intergovernmental purchasing networks or associations. **The purpose of a cooperative intergovernmental agreement is to take advantage of a competitive selection process already conducted by another agency and save MTA the time and expense of conducting its own selection process.** In evaluating the use of a cooperative intergovernmental agreement, Administrative Services Manager shall review the

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other agency’s standards in the competitive selection process for reasonableness. To facilitate cooperative purchasing, MTA may include the consolidated requirements of other public entities in its procurement actions.

MTA may utilize “existing contract” rights, which are the post award use of contract rights that allows someone who was not contemplated in the original contract to purchase the same supplies and/or equipment through that contract (i.e., “piggybacking”). These purchases shall meet the requirements of [FTA Circular 4220.1.f V.7](#) and any revisions thereof.

Utilizing Intergovernmental Agreements does not eliminate the requirement for a Price Analysis or Cost Analysis.

MTA may purchase government excess and surplus property in lieu of purchasing new equipment and property, if project costs are significantly reduced and use is practicable and feasible.

Government Competition with Private Sector

MTA may enter into an intergovernmental agreement with other government agencies to procure goods and services when these are not available from the private sector. If the private sector also offers such goods or services, the General Manager or designee shall evaluate on a case-by-case basis what would be in the best interests of MTA, and whether to contract directly with the agency or to conduct a competitive selection process.

14.0 NON-COMPETITIVE PROCUREMENTS:

Prohibited Practices

Procurement practices that restrict competition are prohibited (49 USC Section 5325(h)). Examples of such practices include the following:

1. Unreasonable Requirements. Placing unreasonable requirements on firms in order for them to qualify to do business.
2. Improper Prequalification. Using prequalification procedures that conflict with prequalification standards described in the FTA Circular 4220.1.f VI-1c, and any revisions thereof.
3. Retainer Contracts. A noncompetitive award to any person or firm on a retainer contract if that award is not for the property or services specified for delivery under the retainer contract.
4. Excessive Bonding. Experience and Bonding: Requiring unnecessary experience and excessive bonding.
5. Brand Name Specificity: Specifying only a brand name product instead of allowing an equal product to be offered and describing the performance of other relevant requirements of the procurement.
6. Conflict of Interest: An organizational conflict of interest occurs when any of the following circumstances arise:
 - a.) Lack of Impartiality or Impaired Objectivity. When the contractor is unable, or potentially unable, to provide impartial and objective assistance or advice to the recipient due to other activities, relationships, contracts, or circumstances.



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- b.) Unequal Access to Information. The contractor has an unfair competitive advantage through obtaining access to nonpublic information during the performance of an earlier contract.
- c.) Biased Ground Rules. During the conduct of an earlier procurement, the contractor has established the ground rules for a future procurement by developing specifications, evaluation factors, or similar documents.
- d.) Restraint of Trade. Supporting or acquiescing in noncompetitive pricing practices between firms or between affiliated companies. Questionable practices would include, but not be limited to submissions of identical bid prices for the same products by the same group of firms, or an unnatural pattern of awards that had the cumulative effect of apportioning work among a fixed group of bidders or proposers.
- e.) Arbitrary Action. Any arbitrary action in the procurement process.

Permissible Non-Competitive Procurements

In certain instances and situations, the procurement of goods and services without adequate competition is permissible:

- 1. **Sole Source:** The service or item is available only from a single source, based on a documented good faith review of available sources.
- 2. **Emergency:** An emergency exists that seriously threatens the public health, welfare, or safety concerns, endangers property, or would otherwise cause serious injury to MTA. This may occur through flood, earthquake, epidemic, fire, riot, equipment failure, or other event. Needs arising from this event will not permit a delay resulting from competitive solicitation.
- 3. **Inadequate Competition:** After solicitation from a number of sources, only a single response is received, or competition is determined to be inadequate.

Justifications:

- 1. Selection: Department Managers shall submit in writing to Administrative Services Manager a recommendation justifying the reasons why competitive selection requirements should be waived.
- 2. Price Reasonableness: Consistent with the requirements of Section 6, Department Managers are responsible for ensuring that a Price or Cost Analysis is prepared for all non-competitive procurements to ensure that the proposed price is reasonable.

15.0 COMPETITIVE EXCEPTIONS (DIRECT PAYMENTS)

Competitive Exceptions, or Direct Payments, are **transactions that, by their nature, are impractical or impossible to competitively bid because of market or other conditions** and are thus exempt from competitive bidding requirements. These transactions do not have to be justified as a Non-Competitive Procurement (Section 15) but may be obtained directly by an employee with adequate Approval Authority (per Section 4). Depending on the item, there may or may not be a contract or Purchase Order outlining the terms and conditions.



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Modifications to Direct Payments List

The General Manager may approve modifications to the Competitive Exceptions list without seeking approval of the Board of Directors, provided that the changes are consistent with applicable statutory and regulatory requirements and that the current list is made readily available to MTA employees.

Interpretation of Direct Payments List

In the event of ambiguity or uncertainty as to whether an item is or is not subject to competition and whether it should be included on the Direct Payments List, the Administrative Services Manager shall review the matter and make the final decision.

The following do not require competitive processes: (Direct Payment List) includes the following:

1. Utility bills (Water, Sewer, Electricity, Gas, other regulated utilities)
2. Postage and other purchases from the U.S. Postal Service
3. Licenses, permits, and fees from governmental or regulatory entities
4. Purchases from other governmental entities for goods or services not available from the private sector.
5. Fees paid to governmental cooperative purchasing organizations.
6. Charges for official MTA business on personal credit card while on MTA travel status.
7. Legal services such as arbitration fees, litigation fees, witness fees, court costs, and related expenses (but not the cost of outside counsel, investigations, or related matters), when endorsed by General Counsel.
8. Legal settlements of disputed matters, and judgment claims against MTA (for use only with endorsement by General Counsel).
9. Payments for existing annual maintenance, service, or support agreements for computer, telecommunication-related services, and existing software license agreements.
10. Travel expenses for MTA employees, program participants, volunteers, or the Board of Directors necessary to conduct MTA business.
11. Training registration fees and tuition for pre-established, non-MTA specific, off-site classes, seminars, workshops, etc. for MTA employees, program participants, volunteers, and the Authority Board.
12. Testing and travel expenses of employment applicants (including moving expenses for eligible personnel). This includes travel expenses of certain out-of-state job applicants. The General Manager must approve travel expenses of job applicants.
13. Conference and convention expenses and fees for MTA employees, program participants, volunteers, or members of the Authority Board conducting MTA business.
14. Advertisements for employment opportunities, purchasing and contracting solicitations, sale of surplus items, public announcements and outreach, etc. (all media). This exception does not include printing, design, or graphics services.
15. Freight bills, express shipping, common carriers, and delivery services.
16. Honoraria and stipends.
17. Insurance deductible and/or retained losses
18. Taxi, public transportation, and toll fares, mileage and incidental parking expenses for employees on agency business.



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19. Publications, books, and subscriptions.
20. Mailing lists.
21. Professional association dues, fees, licenses, and certifications.
22. Petty cash purchases and reimbursements less than \$200.
23. Transactions not subject to these Purchasing Policies as noted in Section 2: Scope.

16.0 DISADVANTAGED BUSINESS ENTERPRISE

MTA invites and encourages small and disadvantaged business enterprises (DBE) to participate in the procurement process for all purchases as detailed in MTA's Disadvantaged Business Enterprise Policy/Program. All employees, responsible for making purchases, must make good faith efforts to seek DBE vendors and document those efforts.

For more information, consult MTA's DBE policy.

17.0 CONTRACT ADMINISTRATION AND RECORDKEEPING

The MTA shall maintain a contract administration system to ensure that it and its third-party contractors comply with the terms, conditions, and specifications of contracts or purchase orders and applicable Federal, State and local requirements. All contracts shall include provisions adequate to form a sound and complete agreement.

All records shall be retained in accordance with the Record Retention Policy.


18.0 PUBLIC RECORDS

All procurement information generated and acquired through any of the procurement processes shall be open to public inspection following the Intent to Award a contract through the MTA Public Records Officer, in accordance with RCW 42.56. Each proposal shall be open to public inspection. MTA shall not be responsible for the protection of information marked "proprietary" submitted by proposers.

19.0 PROTESTS, APPEALS AND DISPUTES

Filing a Protest: An interested party may protest the award of a contract, the proposed award of a contract, or a solicitation for supplies, services, professional services or construction by MTA. A protest must be submitted in writing to MTA Administrative Services Manager, and include the following information:

- a) Name, address, email address, and telephone number of the protester;
- b) Signature of the protester or their representative;
- c) Identification of the solicitation;
- d) Detailed statement of the legal and factual grounds of the protest;
- e) Copies of all relevant documents; and

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f) The form of relief requested.

Issues and facts not stated in the Notice of Protest will not be considered.

All communications with involved parties shall be in writing and open for public inspection.

Public Works Projects:

Within two business days of the bid opening on a public works project that is the subject of competitive bids, MTA will provide, if requested by a bidder, copies of the bids MTA received for the project. MTA will then allow at least two full business days after providing bidders with copies of all bids before executing a contract for the project. Intermediate Saturdays, Sundays, and legal holidays are not counted.

When MTA receives a written protest from a bidder for a public works project that is the subject of competitive bids, MTA will not execute a contract for the project with anyone other than the protesting bidder without first providing at least two full business days' written notice of MTA's intent to execute a contract for the project; provided that the protesting bidder submits notice in writing of its protest no later than:

(a) Two full business days following bid opening, if no bidder requested copies of the bids received for the project under subsection (1) of this section; or

(b) Two full business days following when MTA provides copies of the bids to those bidders requesting bids under this section. Intermediate Saturdays, Sundays, and legal holidays are not counted.

Time for Filing a Protest: A protest based on alleged improprieties or ambiguities in a **solicitation** must be filed at least 7 days before the due date of the bid or proposal. A protest based upon alleged improprieties in an **award** of a contract or a **proposed award** of a contract must be filed within 2 days after notification to an unsuccessful proposer or bidder that they were not selected and before a contract is entered.

Notice of Protest: Administrative Services Manager shall immediately give notice of a protest to the contractor if a contract has been awarded. If no award has been made, notice will be provided to all interested parties.

Stay of Award: If a protest is filed, the award may be made unless the Administrative Services Manager determines in writing that a

- a) Reasonable probability exists that the protest will be sustained; or
- b) Stay of the award is not contrary to the best interests of MTA.



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Review of Protests

- a) **Review:** The Administrative Services Manager shall review and investigate properly filed protests and issue a written decision to the protestor.
- b) **Appeal:** A Protestor may appeal the Administrative Services Manager's formal decision to MTA's General Manager. The written appeal must be received by MTA within two business days after receipt of the written decision by the Protestor, or the appeal will not be considered. Properly filed appeals of the decisions of the Administrative Services Manager shall be reviewed and investigated by the General Manager who shall issue MTA's final decision no later than 21 days after receipt.

FTA Funded Projects: In general, FTA will not substitute its judgment for that of MTA unless the matter is primarily a Federal concern. Protests of solicitations, intent to award, or contracts funded with any FTA grants will be managed in accordance with FTA Circular 4220.1.f VII guidelines, and any revisions thereof

Federal Assistance in Contract Disputes: If MTA intends to request FTA permission to use Federal assistance to support payments to a third party contractor to settle a dispute, or intends to request increased Federal assistance for that purpose, MTA must comply with the requirements pertaining to notification of FTA, documentation, audit, and other requirements set forth in FTA Circular 4220.1 VII (e), and any revisions thereof.

20.0 ETHICS

The following rules apply to members of the MTA Authority Board (Board Member), Employees, both represented and non-represented, agents and the Immediate Family of Authority and Employees.

Immediate family means a spouse or domestic partner, child, child of a spouse or domestic partner, sibling, sibling of a domestic partner, brother-in-law, sister-in-law, part, parent of a spouse or domestic partner of an Employee or Board Member; a person for whom the Board Member or Employee is a legal guardian; or a person claimed as a dependent on the Board Member's or Employee's most recently filed federal income tax return.

- 1. **MTA Board Members, Employees and agents may not use their position for personal gain.** This includes seeking or agreeing to outside contracts through the influence of a MTA position, accepting compensation from someone other than MTA for performing duties of the Board Member's or Employee's position, taking action that affects a matter in which a Board Member, Employee, agent or Immediate Family member has a personal or financial interest, or using MTA time or property for personal or financial interests.
- 2. **MTA Board Members, Employees, agents and their Immediate Family members may not accept improper gifts.** This includes gifts, entertainment, travel, favors, etc. of any dollar value if a reasonable person might think it was intended to influence an individual in the performance of the duties of their job, or if there might be a perception that the gift might influence a Board Member or Employee in the performance of the duties of their job.



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3. **Board Members, agents and Employees may not improperly use or disclose information.** This includes information that could result in a benefit to a Board Member, Employee, or Immediate Family unless the information is also available to the public. It also includes confidential information of any kind, unless disclosure is authorized by appropriate personnel or required to be disclosed by law or regulation.
4. **No Board Member, Employee, agent or Immediate Family member may have a personal or financial interest in any MTA contract** in which that Board Member or Employee plays or may play a role in the award or administration of the contract.
5. A Board Member, Employee or agent **may not advise or assist** someone for compensation on any matter pending before MTA.
6. **An Employee may not have outside employment if it is incompatible with performing MTA duties.** All outside employment or changes in outside employment must be reported to Human Resources and Administrative Services Manager.
7. **Employees may not publicly endorse** a product or service without written approval by the General Manager while representing MTA or if the endorsement would be considered a conflict of interest.
8. Employees **violating** this Ethics Section may be subject to disciplinary action, up to and including termination. Board Members violating this Ethics Section will be subject to Board action to the extent permitted by State or local law or regulations.

21.0 FTA SELF-CERTIFICATION OF PROCUREMENT SYSTEM

The Administrative Services Manager is authorized to file a self-certification with the FTA Regional Office that MTA's procurement system and procedures comply with the federal requirements and standards set forth in FTA Circular 4220.1.f, and any revisions thereof. Self-certification limits mandatory FTA review of the procurements listed in Section III of FTA Circular 4220, and any revisions thereof. The Administrative Services Manager shall self-certify MTA's procurement system in the FTA Annual Certification/ Assurance Process or as otherwise required by FTA.

22.0 WAIVER, REPEAL & EFFECTIVE DATE

The Authority Board may waive these requirements by motion or resolution except when prohibited by federal or state law or regulation.

All former Purchasing policies and procedures are repealed upon adoption of this document. These Rules and Policies are effective when adopted by the MTA Authority Board.

23.0 APPLICABLE LAWS, REGULATIONS, REFERENCES

Applicable Laws and Regulations:

1. 2 CRF 200 – US Dept. of Transportation, Procurement
2. FTA Circular C 4220.1 (current version)
3. FTA Best Practices Procurement Manual



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4. RCW 36.57A.080 Grants Authority to Procure
5. RCW 39 Public Contracts and Indebtedness
6. RCW 42.56 Public Disclosure
7. RCW 60.28 RCW Liens for Labor, Materials, Taxes on Public Works
8. WAC 296-127 Prevailing Wages
9. MTA Resolution 2009-04 - Identification & Disposal of Surplus Property
10. Other laws and regulations as appropriate

Procurement procedures and contract language adopted by the General Manager or designee must also comply with all applicable laws and regulations. MTA recognizes FTA Handbooks and Guidelines as non-regulatory, non-binding advice, except to the extent that Handbooks or Guidelines articulate statutory or regulatory requirements.

Conflicts between Policies and Other Laws or Regulations: In the event of a conflict between these Purchasing Policies and any applicable law or regulation, the law or regulation will prevail.

Changes in Laws and Regulations: In the event an applicable law or regulation is modified or eliminated, or a new law or regulation is adopted, the revised law or regulation shall, to the extent inconsistent with these Purchasing Policies, automatically supersede these Purchasing Policies, and Administrative Services Manager shall make appropriate modifications to the Policies.

Mason Transit Authority Regular Board Meeting

Agenda Item: Informational Report Item 1 - *Informational*
Subject: Mason Transit Authority Regional Mobility Park and Ride Progress Update
Prepared by: Patrick Holm, SCJ Alliance
Approved by: Danette Brannin, General Manager
Date: December 17, 2019

Summary for Discussion Purposes:

Project Management: SCJ is continually managing the design team and subconsultant team. SCJ is tracking on-going project progress.

Permitting: Building permit plans are in progress for the Belfair park and ride. Plans will be submitted 12/18/19 based on appointment with Mason County.

Site permits are all approved for current construction. The SEPA determination was made on 4/12/19.

WSDOT Submittal Timeline

- 10/18/18 – SCJ submitted the Roundabout Plan for Approval (PFA) to WSDOT.*
- 11/08/18 – WSDOT provided first round comments on the PFA package.
- 11/27/18 – SCJ re-submitted the PFA package with comments addressed.
- 11/30/18 – WSDOT provided additional comments on the PFA package.
- 12/14/18 – SCJ re-submitted the PFA package with comments addressed.
- 01/14/19 – WSDOT indicated there were no further comments on the PFA was ready for signature.
- 01/24/19 – WSDOT came back with additional design comments.
- 01/28/19 – SCJ met with WSDOT to address design comments in person.
- 01/31/19 – SCJ re-submitted PFA package based on WSDOT's direction.
- 02/04/19 – WSDOT provided different design direction than the meeting consensus.
- 02/06/19 – SCJ re-submitted to WSDOT with revised design changes.
- 04/03/19 – WSDOT officially approves PFA package.
- 04/08/19 – SCJ submits Full Package Submittal (FPS) to WSDOT.**
- 05/07/19 – WSDOT provides partial comments on FPS package.
- 06/12/19 – WSDOT provides remaining comments on FPS package.
- 07/26/19 – SCJ submits FPS 2 to WSDOT with revised design changes.
- 08/13/19 – WSDOT provides comments on FPS 2 package.
- 09/06/19 – SCJ submits FPS 3 to WSDOT with revised design changes.
- 09/20/19 – Received comments from WSDOT
- 10/3/19 – Met with WSDOT regarding ROW acquisition and Utility Relocation
- 11/7/19 – WSDOT package resubmitted. (Anticipated final review)
- 11/18/19 – WSDOT approved plans. Waiting on release of Construction Agreement until land is transitioned to MTA.
- 12/11/19 – MTA recorded transition of land from Overton to MTA. WSDOT required a title report to complete the transaction on their end.

- 12/18/19 – *Anticipated date of title report delivery/Construction Agreement Approval.*

*WSDOT Plan for Approval – The Plan for Approval package is the process where WSDOT evaluates the design of the roundabout and how it will perform (car speeds through the roundabout, pedestrian access, truck turning movements, sight distance).

**WSDOT Full Package Submittal – The Full Package Submittal includes the full plan set (roadway design, stormwater, pavement markings, illumination, etc), the project specifications, and the Hydraulics report. The Full Package Submittal is submitted after PFA approval.

Log Yard Road/SR 3 Roundabout Project: This project was advertised on 8/29/19. Bids will be opened on 9/20/19. The final items that need to be completed before construction can start are:

- WSDOT Construction Agreement – With transition of land to MTA this should be streamlined. Target 11/18/19
- Mason County Grading Permit – Approved 10/7/19
- Right of Way Dedication – Changed based on transition to MTA from Overton.
- NPDES – Construction Stormwater Permit – Approved 10/24/19
- **Construction**
 - ACI started clearing on 11/11/19.
 - ACI is in a holding pattern based on the delayed Construction Agreement with WSDOT.
 - ACI can progress out of contract site work to keep momentum moving forward on site.

ACI is under contract. SCJ is facilitating procurement of the county permit documents to allow ACI to get started on the county portion of the project while the WSDOT portion wraps up.

Pear Orchard Construction: The NPDES Construction Stormwater Permit has been transferred to the City of Shelton. This project is pending further contamination investigation by the city.

Construction Documents: Construction Document/Bid Packages are ready for Pickering Road and Cole Road.

Other progress: SCJ targets sending a full plan package of the Shelton Matlock park and ride to Parsons the week of 1/6/19 for including into the Coffee Creek construction project.

Mason Transit Authority Regular Board Meeting

Agenda Item: Informational Report Item 2 – *Informational*

Subject: Management Reports

Prepared by: Tracy Becht, Executive Assistant

Approved by: Danette Brannin, General Manager

Date: December 17, 2019

Summary for Informational Purposes:

The monthly MTA Management Reports are attached for your information.

MTA MANAGEMENT REPORTS

Submitted to MTA Authority Board December 17, 2019

MTA MANAGEMENT REPORTS

Submitted to MTA Authority Board December 17, 2019

GENERAL MANAGER'S REPORT

Below is a list of major activities for the month:

Park & Ride Development:

- Please see enclosed Park and Ride Update for information.
- Work continues on the roundabout. ACI is also working on some of the site work while waiting for the Construction Agreement final signature from WSDOT.

T-CC Parking Lot: Bids were due December 4 and will follow up with the Public Works Director to find out the results.

WSTIP: Attended Monthly Executive Committee Meeting and Quarterly Board Meeting. For 2020, I will be serving as the Vice President of the Pool. This will be year two of my four-year commitment to serve as an officer on the Executive Committee.

EDC: Attended annual retreat for EDC. I will be the chair of the EDC Board of Directors for 2020.

External:

- Attended Chamber luncheon on Economic Forecast.
- Attended grand opening of Kitsap Transit's Wheaton Way Transit Center.
- Participated in Public Hearings for service changes and Community Conversations.
- Quarterly meeting with CEOs from Kitsap, Jefferson and Clallam Transits.

Internal Activities:

- Usual meetings with the Executive Team and Leadership Team. Miscellaneous meetings with staff.
- Met with Operations Staff for updates and upcoming employee evaluation process.
- Prepared for and met with Employee Engagement Committee.
- Met with Driver Shop Stewards.
- Met with staff to discuss and formulate a plan for MTA's electronic files. This is a very large task that we will undertake in 2020.
- Met with Creative Office for space planning of Operations area at the T-CC.
- Prepared for and attended Policy Review Committee meeting.
- Met with Ecolane while they were on-site.
- Completed Strategic Plan.

Board Assistance, Awareness and Support:

I will be seeking a lobbyist to assist during the 2020 State Legislative Session with MTA priorities.

TEAM UPDATES

ADMINISTRATIVE SERVICES MANAGER – LeeAnn McNulty

HR Support

- Assisted several employees with FMLA needs.
- Followed up with staff for open enrollment changes.
- Solicited interest for Wellness Committee members. I received a great response from staff who wish to help develop a robust wellness program.
- Participated in Employee Engagement Committee meeting.
- Responded to WSDOT request for Drug and Alcohol records.
- Provided support to enhance wellness opportunities for new Ops area at the TCC.
- Provided input to the Inclement Weather Plan for how the Admin Team are to respond in a weather emergency.

- Reviewed the use of employee imaging in MTA advertising.

Recruiting

- Recruiting for a back-up Worker Driver. Currently working through the onboarding process.

Administrative Functions

- Continue review of budget assumptions in a post I-976 environment.
- Hosted 2nd Public Hearing for 2020 Budget. Thank you to John Piety for attending.
- Review budget narrative for board presentation.
- Made update to the Shared Leave Policy to acknowledge Paid Family Medical Leave (PFML) and how that relates to collective bargaining unit employees.
- Reviewed policies and attended Policy Review committee meeting.
- Attended WSTIP Q4 Board Meeting.
- Provided input from L & I safety visit in to the Health and Safety Manual for review by the Safety Committee at the next meeting.
- Now submitting operating and capital grants monthly rather than quarterly.
- Worked with new WSDOT Community Liaison regarding Quarterly Progress Reporting (QPR) reporting.
- Completed Volunteer Driver program 2020 budget.
- Working on revising the Operations Statistics report aligning with the way WSDOT wants revenue and hours to be reported.

Training.

- Attended AWC Paid Family and Medical Leave webinar.
- Reviewed with Marshall and Christina what they learned from MRSC prevailing wage training resulting in refined internal processes for prevailing wage procurement.

MAINTENANCE/FACILITIES – Marshall Krier

T-CC Facility:

- Fall programs and events at the T-CC leveled out with the holidays fast approaching. CHOICE PE attendance was at 598 students for November. 290 Pickle ball players participated in the Shelton Parks and Recreations program in November. We hosted two medium events this month: (1) welcoming the Island Johnny employees for their 2019 Christmas party; and (2) the Nicklaus Celebration of Life. These two events brought in about 100 guests. Special Olympics Basketball is now in full swing and had 114 athletes participating in their program. We are looking forward to starting a new archery program in January sponsored by 4-H of Mason County! Total Gym numbers for November were around 1,082 users.
- **Conference Room:** 222 people utilized the conference room for various functions in November. We hosted several MTA sponsored events (training, monthly board meeting, and our MTA benefits fair) as well as our monthly F.E.S.S. sponsored “Consider the Children” classes (21 students). NW Life Centers service attracted 33 participants this month and the A.R.C. of the Peninsula’s program “Healthy Relationships” welcomed 33 participants for their bi-weekly get togethers. S.S.D. conducted a small staff meeting with 15 educators showing up, as well as a small private birthday party.
- **Kitchen:** Our new kitchen user “Tamales Dona Mary” is in full swing now at the T-CC and makes delicious tamales, empanadas, mole, various other Spanish favorites, as well as several traditional beverages which she caters to Hiawatha employees on Wednesday through Fridays. Our two private events also generated around 80 people using the kitchen during their events and MTA conducted a training seminar in the dining room. Total numbers for the kitchen/dining room in November was 100 people.
- **Operations:** Supported Matt C., Trina G., Joseph H., and John M., with OP’s issues. Coordinated with Operations ticket office employees for lunch and shift coverages. Working on schedules/coverage with Operations staff for upcoming holiday season and Christmas Parade. Continuing discussions with LeeAnn McNulty and Marshall Krier regarding “Pre-ailing wage.” Waiting on a prevailing wage “check-list” for determination of when to request contractors to utilize a prevailing wage.

Projects/Purchases

- Helped coordinate the install of our new information kiosk at the T-CC (Huge thanks to Josh Jacobs, Steve Kellam, Brenton Schnitzer, Marshall Krier, Mike Morrison, Kathy Geist, and anyone else involved in the planning, construction, transport, and installation of the kiosk.) It looks fabulous!
- Held preliminary discussions with operations supervisors regarding the operations office at the T-CC.
- Working with Raul Soto on the planning for this year's Toys for Tots in Mason County program.

Maintenance

Outreach:

- Assisted outreach decorating the bus for the Holiday Magic Parade.

Johns Prairie and Belfair Building Projects/Purchases/Maintenance:

- Installed new man door for building one.
- Completed backflow valve repairs with Flo Hawks.
- Assisted with the Belfair office project.

Vehicle Projects/Purchases/Maintenance:

- Cummins NW will begin the engine replacement for bus 302 soon.
- Continuing with the procurement for the nine cutaways.
- Scheduled the pre-delivery hybrid bus inspection with Gillig for the week of Jan 20th.
- Approved seat and dash layouts for the 2 diesel busses.
- Performed fuel tank sampling and analysis at Johns Prairie. No unusual deficiencies noted.

OPERATIONS – Mike Ringgenberg

- **Belfair Office:** The Belfair office now has new furniture, carpet, a microwave and a toaster oven. It looks much better “Thank You” to everyone who helped improve the quality of life for our Belfair drivers!
- **Holiday Magic Parade:** Operation Supervisors created a plan to move the T-CC passengers boarding/deboarding location to Cedar Street during the setup and parade on December 7.
- **2019-2020 Inclement Weather Plan:** The plan is completed and distributed to everyone on Paylocity. We added a few items and used lessons learned from the Snowmagedden of 2019
- **Service Review Committee:** SRC finished creating the changes to our system that will into effect on February 3, 2020. The shift bid will be conducted on January 5 at the Operations meeting.
- **Missing juvenile:** Matt assisted in finding a missing male juvenile rider and then scheduled a DAR to get him to his home at Twanoh State Park. The parents were very thankful that we helped to find him and grateful that Priscilla got him home safely.
- **Operations Supervisors:** Conducted 11 ride recovers and performed 24 driver assists.
- **Operations Office at the T-CC:** Operations has been helping to create a plan for a new operations office at the T-CC and a larger driver break area.
- **Outreach Presentations:** During the month of November, Kathy conducted outreach events at: Shelton High School Career Fair, Olympic College Resources Fair, Veterans Stand-Down and a Mason Chamber Luncheon. Kathy attended the following meetings: Moving Mason Forward, Opiate Stakeholders meeting, monthly TIP CAP meeting and a marketing meeting with the General Manager.
- **Public Hearings:** Service changes are scheduled to be conducted on February 3, 2020. We are holding two public hearings followed by a Community Conversations meeting to discuss the proposed changes:
 - December 11 at the T-CC starting at 6 pm.
 - December 12 at the Library in Belfair at 6 pm.
- **Training:** Trina trained 5 individuals in CPR/AED/FA and trained 1 individual in defensive driving for vanpool drivers. We have scheduled NAMI (National Alliance on Mental Illness), to conduct a 90-minute training session at our January 5, 2020 Operations training & meeting.
- **Vanpool:** Usage rate for November 2019 was 80%; 8 of 10 vans were in use.

2019 WORK ITEMS UPDATE

SEE ATTACHED SPREADSHEETS

2019 Work Items	Completed as of 11/19/19	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Progress
Strategic Plan Approved	X	Δ				Done!
Employee Handbook Approved		Δ				This will be moved into 2020. It is almost ready for GM review .
Create Financial Management Policy Manual			Δ	Δ		This is going to move to 2020 or be changed to just creating financial policies needed. LeeAnn is going to do some research.
KPI reporting - dashboard to board beginning 1st quarter	X	Δ	Δ			This will be part of the Strategic Plan reporting in addition to reports already included in board packet.
Develop route deviation, stroller, service animal, no-show policies for Operations	X	Δ	Δ	Δ		All the policies are complete. Route Deviation is not going to be a policy - only instructions and procedures to the drivers. Add Lost and Found to the policy list and it has been completed.
Develop a light duty and position transition policies for HR	X	Δ				Light Duty Policy was already completed. The policy for transitioning to a new position will be included in the employee handbook revision.
Develop an Employee Engagement Plan	X	Δ	Δ	Δ		Employee Recognition Policy has been updated and the committee will continue to work on employee engagement.
Wage analysis	X	Δ	Δ			This has been completed and has been brought to the Board Finance Committee for discussion. The Comm Center wage analysis will be completed in 2020
Union Negotiations	X		Δ	Δ		The contract has been tentatively agreed upon.
Quarterly driver training		Δ	Δ	Δ	Δ	4th Quarter training is in process.
Prepare a Welcome package for new DAR riders		Δ	Δ			Will be completed by graphic designer/PR firm
Quarterly ridership analysis and outreach initiative		Δ	Δ	Δ	Δ	The Service Review Committee continues to look at the recommendations by Nelson/Nygaard as well as new pilot routes. We are looking at February 2020 for a big rollout of changes. The Zipper Route is performing well.
Community Conversations	X		Δ		Δ	Community Conversations are scheduled for Dec 10 and 11
Public Outreach for service changes	X	Δ	Δ	Δ	Δ	Completing outreach on changes for Feb 2020
Service change implementation plan	X	Δ	Δ			Service Review Committee is reviewing Nelson/Nygaard suggestions. A timeline has been prepared. Service changes will be incorporated through Feb 2020.
Bus builds for coaches and cutaways	X			Δ	Δ	Completed.
Roof replacement on Building 3 and 4	X	Δ	Δ			Roof and additional projects have been completed.
Records Management - Network reorganization		Δ	Δ	Δ	Δ	IT is working on a process for moving old electronic records as the first step.
IT infrastructure improvements and computer replacement	X	Δ	Δ			Completed.
Park & Ride project (through 2023)		Δ	Δ	Δ	Δ	See Park & Ride informational page for update.
T-CC parking lot construction		Δ	Δ	Δ		See General Manager's report for unupdate.

Mason Transit Authority Regular Board Meeting

Agenda Item: Informational Report Item 3 – *Informational*

Subject: MTA 2019 Accomplishments Report

Prepared by: Danette Brannin, General Manager

Approved by: Danette Brannin, General Manager

Date: December 17, 2019

Summary for Informational Purposes:

Attached is MTA's 2019 Accomplishments Report which highlights many of the projects and major tasks accomplished in 2019.

MAJOR PROJECTS

Bus Technology

During the past year and a half, we have been working on installing technology on all MTA buses and updating scheduling software. There have been several set backs due to poor reception in outlying areas, vendor merges and vendor implementation difficulties. We are ending the year on a positive note after changing products for both the bus technology and scheduling software. We anticipate CAD/AVL, passenger counting, voice announcement, estimated arrival sign and scheduling software to be completed and working by April.

Park & Ride Development

Pear Orchard and North Mason are ready for construction. Pear Orchard went out to bid and a contract was awarded to Scarsella Bros. in March. Work promptly began in April but then unfortunately environmental issues were present, shutting the job down. MTA is waiting on the city of Shelton to conduct testing and work through the Voluntary Clean Up process before work can assume.

The roundabout as part of the North Mason site development is currently under construction.

The North Mason Park & Ride is ready for the bid to be released, hopefully at the first of the year.

Shelton-Matlock is under design as part of the Coffee Creek Fish Passage project. MTA will be exploring ways to partner with the current contractor to construct the park & ride.

Cole Rd and Pickering are ready for improvements to be constructed. These projects will be released at a later date based on funding availability.

2019 OVERVIEW

Administration

- Updated server, installed new desktops and other IT upgrades
- Reorganized records vault and began records management organization of electronic files
- Staff attended 7 Conferences; WSTA Committee meetings; WSTA and WSTIP Board meetings.
- Completed wage analysis on non-represented employees, maintenance positions and drivers.
- Restructured finance department for more efficiency.
- Improved on-boarding process of new employees; created "Day in the Life of a Bus Driver."
- Lowered turnover rate; retaining staff – 2019 had no voluntary termination other than retirements; hired 14 termed 6 (including retirements).
- Updated 18 policies; created 6 new policies.
- Created Employee Engagement committee.
- Re-established Wellness committee; improved exercise area.

Outreach

- Staff served on outside committees (WSTIP, WSTA, EDC, TIP-CAP, BHO, Emergency Management, Centralia College Diesel Program).
- Participated in events (festivals, parades, business expo, career expos, Shelton High School Finance event and Business Plan judging).
- Presentations to community organizations.
- Community Conversations (2).
- Public meetings for service changes, roundabout and North Mason Park & Ride.
- Outreach to major employers for coordination of work and bus schedules.

T-CC

- Continued long-term lease relationships.
- Passenger information kiosk installed with monitor and charging station; electronic sign installed for passenger information and one for estimated arrival times.

MAJOR PROJECTS

T-CC Parking Lot

Round two or three more accurately of soil testing has been completed. There are no major issues with the soil, and it is expected that once the project is done, a No Further Action opinion letter will be issued. This has been the goal, along with a completed parking lot. The City released the RFP for the project and bids were due December 4. We anticipate the project to begin in February or March, weather depending.

CONFERENCES/TRAINING ATTENDED BY STAFF

- FTA – Drug and Alcohol Training
- IPMA – HR Conference
- PRIMA (Risk Management) Conference
- Public Transportation Conference
- Workplace Fatigue
- Labor Relations Institute
- AWC Membership Expo
- Operations Supervisor Training
- Verbal Swat Training

BUS SHELTERS ADDED

- Paved Pine Garden stop
- Shelton Library
- Added shelter at Fairmont
- Added shelter at McDonalds
- Added shelter at WA Corrections Center

- 65 Events were held at the T-CC; Users: 15,284 Gym, 1,658 Conference Room, 1,164 kitchen and 40 in the Atrium.
- Soil testing completed.

Operations

- Reviewed recommendations from the Comprehensive Service Review (CSR).
- Eliminated non-productive routes.
- Created the Zipper route.
- Addressed frequency of fixed route as requested in the survey done during the CSR.
- Lined up fixed route times to Olympia and Bremerton to better serve large employers.
- Begin pilot route planning.
- Added another Operations Supervisor to make sure coverage is available during service hours.
- Outlined supervisor training to ensure success of the Operations team.
- Consistent driver training that has lowered our accident per 100,000 miles rate.
- Semi-annual driver evaluations as recommended by WSTIP Best Practices.
- Upgraded to HD cameras on coaches for safety and to expand storage for 30-days of footage available.
- Continued with bus technology installation.
- Participated in dispatch course creation.

Maintenance

- Installed LED lighting in shop.
- New roofs on Buildings 3 and 4.
- Installed new door hoods at JP.
- Landscaped front lawn at JP.
- Created separate work/break area in Building 2 and installed rubber flooring.
- Installed solar lighting in additional shelters.
- Purchased coolers for the shop.
- Replaced gate to bus lot for safety.
- Chip sealed bus parking lot and drive way.
- L & I training and tech training.
- Re-instated Lead Mechanic position.
- Negotiated new contract.
- Bus builds – 9 cutaways, 4 coaches, mini cutaway.