MEETING NOTICE

Notice is hereby given that the following meeting of the Board of Trustees of the Greater Cleveland Regional Transit Authority will take place on Tuesday, June 14, 2022 in the Board Room of the Authority, 1240 West Sixth Street, Cleveland, OH 44113 for consideration of the listed items and such other items that may properly come before the Board and be acted upon.

In accordance with the Ohio Open Meetings Act and House Bill 51, signed into law on February 17, 2022 and effective immediately through June 30, 2022, this meeting will be live-streamed on RTA’s Board Page www.RideRTA.com/board via the meeting date for staff and members of the public. House Bill 51 allows Board members to participate by telephone or video and be considered present as if in person. It also allows Board members to vote and be counted for the purpose of determining a quorum while attending by telephone or video.

Members of the public may attend in-person. Based on Centers for Disease Control (“CDC”) guidance to continue to avoid large events and gatherings and Ohio Department of Public Health advice that businesses and other entities may continue to require mitigation measures, as well as RTA’s interest in protecting community and employee health and safety, RTA Board Room and Meeting Room 1 capacity is limited to thirty-six (36) people to allow for social distancing. To accommodate members of the public, RTA will limit the number of staff permitted in the Board Room. All persons entering RTA’s Main Office Building (“MOB”) at 1240 West 6th Street are required to maintain a distance of six feet or more from other individuals who are not members of their family or household.

As a result of a federal court order on April 18, 2022, the CDC’s January 29, 2021 order requiring masks on public transportation conveyances and at transportation hubs is no longer in effect. The CDC continues to recommend that people wear masks in indoor public transportation settings at this time. As a result, GCRTA recommends, but will not require, that members of the public wear a mask/face covering. If a person entering the building does not have a mask, one can be provided to them.

The meeting package will be posted on RTA’s website at (www.riderta.com/board), on RTA’s Facebook page, and RTA’s Twitter page.

9:00 A.M. | Operational Planning & Infrastructure Committee
- RFP Procurement – A presentation of a competitive negotiated procurement for on-call signal engineering services for a period of 24 months.

Committee Of The Whole
- Code Book Updates:
  - A request to amend Section 410.01 Procurement Policies.
  - A request to amend Section 640.04 Employee Responsibility for GCRTA Property, repeal Section 628.06 Service Recognition Program and remove Sections 644.15 Service Recognition Program and 640.01 Disclaimer from the Codified Rules and Regulations.
  - A request to amend Section 640.05 Employee Communications with the Media.

[Signature]
India L. Birdsong
General Manager, Chief Executive Officer

ILB:tab
Attachment
AGENDA

RTA OPERATIONAL PLANNING & INFRASTRUCTURE COMMITTEE

Tuesday, June 14, 2022

Committee Members:  
Ms. Roberta Duarte, Chair  
Ms. Karen Gabriel Moss, Vice Chair  
Mr. Terence P. Joyce  
Ms. Luz N. Pellot

I. Roll Call

II. RFP Procurement – A presentation of a competitive negotiated procurement for on-call signal engineering services for a period of 24 months.

Presenters:
- Kathleen McGervey, Resident Engineer  
- Jenn Martin, Contract Administrator, Construction and Engineering

III. Adjourn
To: Rev. Charles P. Lucas, President and Members, Board of Trustees

From: India L. Birdsong
General Manager, Chief Executive Officer

Date: June 9, 2022

Subject: On Call Signal Engineering – 2022
Project 19.43
RFP 2022-19

At the June 14, 2022 Operational Planning and Infrastructure Committee meeting, staff will provide an overview of the upcoming contract for On Call Signal Engineering Services, 2022. A request for proposals was issued on February 28, 2022. The presentation will include the scope of work and staff recommendation of contract award.

The contract will be used to provide rail signal engineering services for highway-rail grade crossing warning systems, wayside and cab signal systems, as well as roadway traffic controls systems. Also included is assistance with regulatory compliance, training, and specification development. Anticipated tasks include replacement of track circuits at Central Rail Yard, replacement of track circuits at Towor City, and signal issues as they arise. The procurement summary is attached.

Please call me if you have any questions or require additional information prior to Tuesday's meeting.

IB/KAM
AGENDA

RTA COMMITTEE OF THE WHOLE BOARD

Tuesday, June 14, 2022

Committee Members:
President Charles P. Lucas, Chair
Ms. Karen Gabriel Moss, Vice Chair
Mayor Anthony D. Biasiotta
Ms. Roberta Duarte
Mr. Terence P. Joyce
Mayor Paul A. Koomar
Ms. Valarie J. McCall
Ms. Luz N. Pellot
Mayor David E. Weiss
Ms. Lauren R. Welch

I. Roll Call

II. Code Book Updates
   • A request to amend Section 410.01 Procurement Policies.
   • A request to amend Section 640.04 Employee Responsibility for GCRTA Property, repeal Section 628.06 Service Recognition Program and remove Sections 644.15 Service Recognition Program and 640.01 Disclaimer from the Codified Rules and Regulations.
   • A request to amend Section 640.05 Employee Communications with the Media.

Presenter(s):
   • Dawn Tarka, Associate Counsel

III. Adjourn
To: Rev. Charles P. Lucas, President and Members, Board of Trustees

From: India L. Birdsong General Manager, Chief Executive Officer

Date: June 9, 2022

Subject: Update to Finance and Human Resources Codes

At the June 14, 2022, Committee of the Whole meeting, staff will present proposed revisions to the Authority’s Finance and Human Resources Codes.

The proposed revisions to the policies include:

1. A request to amend Section 410.01 Procurement Policies to authorize the General Manager to extend contract terms.

2. A request to amend Section 640.04 (Personnel Policy 100.04) Employee Responsibility for GCRTA Property, repeal Section 628.06 Service Recognition Program and remove Sections 644.15 Service Recognition Program and 640.01 Disclaimer from the Codified Rules and Regulations.

3. A request to amend Section 640.05 (Personnel Policy 100.05) Employee Communications with the Media.

Please call me if you have any questions or require additional information prior to Tuesday’s meeting.

Attachments: Red-lines of Sections 410.01, 640.04, 628.06, 644.15, 640.01 and 640.05

IB/dmt
410.01 PROCUREMENT POLICIES.
(a) The Procurement Policies of the Authority are as follows:

(1) **Purpose.** These Procurement Policies identify the regulations and processes that govern all Authority personnel involved in the procurement and contract administration process. The Policies cover the entire range of procurement activities and their requirements are binding on all Authority personnel.

(2) **Scope of Policy.** Except as otherwise specified herein, all purchases and dispositions of equipment, materials, goods and services to or by the Authority involving either an expenditure of public funds or revenue from Authority assets whether by sale, lease, rental or otherwise shall be governed by these Policies. The general requirements herein shall apply except as altered or excluded for specific types of procurements.

(3) **Exclusions.** The following activities are excluded from this Policy:
   A. Acquisition or disposition of any rights in real property, excepting contracts with professional consultants or brokers in connection therewith;
   B. The sale of debt securities or sale/leaseback or lease/leaseback transactions, except for contracts with professional consultants or brokers in connection therewith;
   C. Payments for items mandated by law, regulation, or agreements other than procurement contracts entered into by the Authority;
   D. Training, professional development and other routine administrative expenses which are specifically identified in the Authority's budget;
   E. Purchases or reimbursement to employees for travel or similar expenses incurred on behalf of the Authority under the Authority's other policies and procedures;
   F. The designation of eligible depositories for the Authority's active, interim and inactive funds pursuant to Ohio R.C. Chapter 135; and
   G. Action regarding employee-related matters under the Personnel Code, excepting contracts with professional consultants in connection therewith.

(4) **Governance.** As a political subdivision of the State of Ohio, the Authority is governed by the applicable portions of the Ohio Revised Code. The primary governance for procurement actions is Ohio R.C. 306.43. As a third-party grantee of the Federal government, the Authority is also governed by applicable Federal laws and regulations. The primary Federal governance for procurement activities is FTA Circular 4220.1, as it may be amended or replaced. The FTA Best Practices Procurement Manual, Federal Acquisition
Regulations and other sections of the Ohio Revised Code, while they may or may not be binding on the Authority, shall be used for guidance to the extent matters covered herein are not addressed by governing laws or regulations.

(5) **Structure of Procurement Department.** The Procurement Department shall have a sufficient degree of autonomy within the Authority to function effectively as part of a check and balance system governing Authority acquisitions and dispositions.

(6) **Procurement ethics.** No Authority employee, officer, agent or board member may participate in the selection, award, or administration of a contract supported with FTA assistance if that individual, his or her immediate family member, partner or an organization that employs or is about to employ any of the foregoing has a financial or other interest in a firm being considered or selected. "Immediate family" shall have the same meaning as defined in the Authority's Code of Ethics.

No Authority employee, officer, agent, or board member shall accept anything of value from a party who is doing or seeking to do business with the Authority that could have a substantial and improper influence upon that employee, officer, agent or board member, in accordance with the Ohio Revised Code and the Authority's Code of Ethics.

(7) **Organizational conflicts of interest.** Procurements shall be conducted with full and open competition to the greatest extent possible. No undue geographical, economic or technical restrictions shall be imposed. A vendor deemed to possess an unfair competitive advantage or to possess a bias preventing it from impartially performing the work or services on behalf of the Authority shall be precluded from award of contracts.

(8) **Delegations of Authority.**

A. The Board hereby delegates to the CEO, General Manager/Secretary-Treasurer, General Manager, Chief Executive Officer of the Authority the following responsibilities:

1. Authorize purchases, sales, dispositions, and other procurement actions which, by Federal or State requirements, do not require formal solicitation or approval by the Board;

2. Approve all funding encumbrances and authorizations to proceed with solicitation for acquisitions and dispositions of goods, equipment, and services for or by the Authority;

3. Upon authorization by the Board, execute contracts exceeding one hundred thousand dollars ($100,000) in value;

4. Terminate any contract if deemed to be in the best interest
of the Authority;

5. Approve change orders that extend the term and/or increase the price of contracts not exceeding one hundred thousand dollars ($100,000), in a net amount that does not cause the total amount of any such contract to exceed one hundred thousand dollars ($100,000), and approve change orders on other contracts in a net amount not to exceed the following limits: one hundred thousand dollars ($100,000) for contracts up to one million dollars ($1,000,000); the lesser of ten percent or two hundred fifty thousand dollars ($250,000) for contracts between one million dollars ($1,000,000) and five million dollars ($5,000,000); and five hundred thousand dollars ($500,000) for contracts over five million dollars ($5,000,000). The Board may, by resolution, vary these limits for particular contracts or projects; and

6. Re-delegate any of the powers granted herein, provided, however, that the CEO, General Manager/Secretary-Treasurer, General Manager, Chief Executive Officer shall retain responsibility for all actions taken as a result of re-delegation of authority hereunder.

B. The Board hereby delegates to the CEO, General Manager/Secretary-Treasurer, General Manager, Chief Executive Officer and the Authority's Director of Procurement the following responsibilities:

1. Authorize all purchases, sales, dispositions and other procurement actions which, by Federal or State requirements or these Procurement Policies, do not require formal solicitation or approval by the Board;

2. Execute contracts not exceeding one hundred thousand dollars ($100,000) in value or otherwise requiring Board approval;

3. Advertise for procurements as required by law or regulation or when otherwise deemed to be in the best interest of the Authority;

4. Cancel procurements;

5. Determine the lowest responsive and responsible bidder;

6. Determine when acceptance of an offer resulting from a negotiated proposal is in the best interest of the Authority;

7. Reject any or all bids or proposals when it is determined to be in the best interest of the Authority;

8. Determine whether an exception to competition is applicable, in accordance with Ohio R.C. 306.43;

9. Review, respond to, negotiate and settle protests, claims
and disputes related to procurement actions or contracts; and

10. Re-delegate any of the powers granted herein, provided, however, that the CEO—General Manager/Secretary-Treasurer-General Manager, Chief Executive Officer shall retain responsibility for all actions taken as a result of re-delegation of authority hereunder.

(9) Procurement planning, specifications, and scopes of services. The initiating department shall be responsible for identifying and justifying its procurement needs, as well as preparing specifications and/or a scope of services for the Procurement Department. Specifications should identify the Authority’s minimum needs and avoid restrictive provisions such as identification of name brands to the greatest extent possible. Specifications must be approved by the head of the initiating department, the Safety Department, when applicable, the Director of Procurement, and any others designated by the Director of Procurement, prior to issuance. The initiating department is also responsible for preparing an estimate of the cost of the item or service.

(10) Disadvantaged Business Enterprises. The Authority shall work to ensure the participation of Disadvantaged Business Enterprises (DBEs) in its procurements, as well as contractor compliance with all applicable laws and regulations. The Authority shall use its best efforts to encourage fair and representative participation of DBEs on procurements, either as prime contractors or as subcontractors. Moreover, the Authority shall determine the opportunity for DBE participation on all procurements in the amount of twenty-five thousand dollars ($25,000) or more and, where qualified DBEs are identified, solicitations for such procurements shall include at least one DBE among the contractors solicited.

(11) Debarment. The Authority shall not award contracts to firms that are debarred by the State or Federal governments. Debarment by other government entities may be considered in determining a contractor’s responsibility but shall not necessarily preclude award to the debarred vendor.

(12) Change orders. Change orders are contract amendments altering the scope, price or schedule of the original contract. Approval of change orders shall be in accordance with the delegations of authority prescribed in this chapter. No work under a change order may be authorized prior to such approval, except upon the written direction of the CEO—General Manager/Secretary-Treasurer-General Manager, Chief Executive Officer. Change orders determined to be cardinal changes to the contract are prohibited. Cardinal changes are
changes which alter the essential nature, quantity or scope beyond the reasonable contemplation of the parties at the time of contract execution, or which result in a final product substantially different than that for which the Authority originally contracted.

(13) **Protests, claims and disputes.** The Authority shall review, process, and adjudicate procurement protests, claims, and disputes in the manner prescribed by applicable Federal and/or State regulations. The Authority's procedure for handling protests, claims, and disputes shall be contained in the Authority's Procurement Manual and made available to vendors upon request.

(14) **Procurement types for formal contracts.** For formal contracts (those for which the Board has not delegated its purchasing authority and any others so designated by the CEO, General Manager/Secretary-Treasurer, General Manager, Chief Executive Officer), the Authority shall procure and dispose of personal property as prescribed by applicable State and Federal laws and regulations. The Authority may use any type of contract that is consistent with applicable laws and regulations.

(15) **Small purchases.** Purchases reasonably estimated not to exceed the small purchase limit of one hundred thousand dollars ($100,000) may be procured informally, provided that a record is maintained consistent with applicable laws and regulations. Price or rate quotations shall be obtained from an adequate number of qualified sources to permit a reasonable comparison consistent with the nature of competitive negotiation within the given circumstances.

(16) **Contract pricing.** The Authority may utilize firm fixed price or fixed unit price not-to-exceed contracts for sealed bid procurements as well as negotiated procurements. Such contracts may allow price escalation based on actual costs or a generally recognized index, provided that the escalator has a defined upper limit. The Authority may also use a cost plus fixed fee contract or any other type of contract permitted by applicable laws or regulations; however, for negotiated procurements, it may not use a cost plus percentage fee type of contract. The Authority may use indefinite quantity or indefinite delivery contracts where appropriate but may not use an indefinite quantity and indefinite delivery contract. The Authority may use a time and materials type of contract only if no other form is suitable and if the contract contains a not-to-exceed ceiling. The Authority may utilize progress payments to the extent consistent with law and regulation, provided that it obtains or secures value consistent with the amount paid. The Authority shall not make advance payments unless specifically authorized by the Director of Procurement or the CEO, General Manager/Secretary-Treasurer, General Manager, Chief Executive Officer.
Sealed bid procurements. The Director of Procurement may direct that sealed bids be invited. If less than two responsive bids are received for a sealed bid solicitation, the Director of Procurement, in this single bid situation, may either (1) negotiate price with the responsive bidder or (2) cancel the solicitation.

Competitive negotiated procurements. The Director of Procurement may direct that competitive negotiated proposals be solicited. Competitive negotiated procurements must be conducted in a manner that preserves the integrity of the procurement process. To the extent permitted by law, regulation or court decision, the evaluation of proposals shall be conducted in a confidential manner, and all confidential or proprietary information shall be held confidential.

Two-step procurements. The Director of Procurement may direct that a two-step procurement process be utilized. This process shall consist of a negotiated technical proposal followed by a sealed bid from those firms whose technical proposals are acceptable.

Non-competitive procurements. The Director of Procurement may prescribe that a non-competitive procurement is justified based on applicable laws and regulations. If any such procurement exceeds the small purchase authority prescribed herein, Board approval is required. Contracts entered into on the basis of a non-competitive procurement must be in the best interest of the Authority, and the price shall be fair and reasonable, as determined by the Director of Procurement.

Design services. Architectural and engineering services, value engineering services, and incidental services related thereto, as defined in 40 U.S.C. Sec. 541 et seq. (Brooks Act), shall be conducted as negotiated procurements, except that selection shall be made of the most technically qualified firm without consideration of price. Price shall be negotiated with the selected firm. If agreement cannot be reached with the most qualified firm, the process is repeated with the second most qualified firm, continuing until agreement is reached, or the pool of technically acceptable firms is exhausted, at which point the procurement must be cancelled.

Design/build services. To the extent permitted by law and regulation, the Authority may solicit the services of a single firm or entity to both design and build a construction project. Such solicitations shall be conducted in the manner prescribed by the Ohio Revised Code. If such procedure violates the provisions of Federal law or regulation, design build services may not be used in projects involving Federal funds.

Construction services. Solicitations for construction, improvement or repair of facilities shall be conducted as sealed bid procurements.
To the extent required by law or regulation, solicitations shall require that the award shall be made to the lowest responsive bid from a responsible bidder. The contractor must conform to the prevailing wage requirements defined in Ohio R.C. Chapter 4115 if no Federal funds are involved or the Davis-Bacon Act (40 U.S.C. 276a et seq.) and the Copeland Act (40 U.S.C. 276c et seq.) if Federal funds are involved.

(24) **Incentive payments and liquidated damages.** The Authority may, under appropriate circumstances, utilize incentives to encourage extraordinary vendor performance or, alternately, provide for liquidated damages to protect the Authority from losses due to vendor nonperformance. It may not impose financial penalties that are punitive in nature. Liquidated damages must be calculated and documented prior to the issuance of the solicitation on the basis of the anticipated actual loss to the Authority resulting from vendor nonperformance.

(25) **Bid guaranty.** A bid guaranty shall be required for all contracts for construction, alteration, or repair of any public building or other public improvement in the manner described by the Ohio Revised Code. The Authority may require a bid, performance and/or payment guaranty when it is determined, by the Director of Procurement, to be in the Authority’s best interest. The bid guaranty shall be required as directed by the Director of Procurement, upon the advice of the Risk Management Department. The Director of Procurement may authorize the reduction of any bond supplied for the rendering of services or the supplying of materials to the extent permitted by the Ohio Revised Code.

(26) **Rolling stock.** The Authority may procure rolling stock by either negotiated procurement or sealed bid. Rolling stock shall be defined to include transit vehicles such as buses, vans, cars, railcars, locomotives, trolley cars and buses, and ferry boats, as well as vehicles used for support services. Solicitations for rolling stock shall require compliance with all applicable standards regarding dimensions, weight, accessibility and safety. Unless specifically authorized by the CEO, General Manager/Secretary-Treasurer/General Manager, Chief Executive Officer, the Authority shall not procure rolling stock that has not been tested in accordance with the Code of Federal Regulations, as applicable. The Authority shall conduct pre-award and post-delivery audits as required by the Code of Federal Regulations.

(27) **Electronic procurements and purchasing cards.** The Authority may utilize electronic means, to the extent consistent with legal and regulatory requirements, to conduct any procurement defined herein. Employees and officers of the Authority designated by the
Board may use purchasing (credit) cards.

(28) Disposition of property. The Authority may sell personal property, including capital equipment and surplus or obsolete parts and supplies, by sealed bid, public auction or online auction. The Authority may otherwise dispose of property in accordance with applicable laws and regulations. Trade-in of used equipment towards the purchase of new equipment shall also be permitted. Sale of capital assets whose fair market value is estimated to exceed the small purchase limit shall be authorized by the Board. Sale of Federally funded capital assets that have not exceeded their useful life as established by the Federal Transit Administration shall be authorized by the Board.

(Res. 2017-102. Passed 11-21-17.)
640.04 EMPLOYEE RESPONSIBILITY FOR GCRTA PROPERTY.

(a) GCRTA property and facilities are public property purchased with public funds and are intended solely for use in furtherance of the Authority's operations. No GCRTA employee is authorized to lend, borrow, take, use, sell, or otherwise dispose of GCRTA property or facilities for personal or private benefit or gain. GCRTA property or facilities include but are not limited to: all equipment both revenue and non-revenue: tools; machinery; materials and supplies, office supplies, furniture; computers; fax machines; copy machines; printers; phones; offices; mail room and mail services; electronic devices such as cell phones, iPads, pagers, etc; and scrapped items.

(b) Any employee found loaning, borrowing, taking, or using, selling or otherwise disposing of GCRTA property, equipment, or facilities for his/her own personal or other private use or benefit or gain; and any employee found misappropriating or misusing GCRTA property, will be subject to disciplinary action, up to and including termination.

(c) Any employee found misappropriating or misusing GCRTA property will be subject to disciplinary action, up to and including termination.

(d) All employees are hereby placed on notice that violation of this policy may also violate criminal statutes of the State of Ohio and that such violations may be reported to the appropriate law enforcement agency(ies).

(Res. 2001·119. Passed 8·21·01; Res. 2013·95. Passed 9·17·13.)
628.06—SERVICE RECOGNITION PROGRAM.

(a) The service recognition program, providing awards as herein stated, is hereby adopted and made a policy of the Authority.

(b) Awards shall be made as follows:
   (1) After ten years of employment, a certificate will be presented to the employee at his or her worksite with the department director and the employee’s immediate supervisor in attendance.
   (2) After fifteen years of employment, a certificate will be framed and it will be presented to the employee at his or her worksite by the division manager and the employee’s department director in attendance.
   (3) After twenty years of employment, a bronze-plated plaque will be presented to the employee in the General Manager/Secretary-Treasurer’s office, with the department director and division manager in attendance.
   (4) After twenty-five years of employment, a silver-plated plaque will be presented by the General Manager/Secretary-Treasurer and the President of the Board of Trustees at a regular Board meeting.
   (5) After thirty years of employment, the procedure is the same as in paragraph (b)(4) hereof, but a gold-plated plaque will be presented. (Res. 1978-92. Passed 4-11-78.)
644.15—SERVICE RECOGNITION PROGRAM.

To commemorate an employee's anniversary date with a token of thanks for their service and commitment to the Authority, the Greater Cleveland Regional Transit Authority presents distinctive graduating lapel pins to its employees for years of service at five year increments (5, 10, 15, 20, 25, 30, 35 and 40).
(Res. 2001-119. Passed 8-21-01; Res. 2013-05. Passed 9-17-13.)
640.01 DISCLAIMER.

(a) The policies set forth and adopted within this Manual supersede previous written and unwritten Greater Cleveland Regional Transit Authority ("GCRTA" or "Authority") personnel policies. In the event of a conflict between the policies and procedures set forth in this Manual and the provisions set forth in the Authority's Collective Bargaining Agreements that exist between the GCRTA and the FOP and ATU respectively, the provisions set forth in the Collective Bargaining Agreements shall prevail for those employees covered under such agreements. In the event of any conflict between the GCRTA Bylaws and the policies set forth in this Manual, the Bylaws shall prevail.

(b) This Manual covers only those policies relating to personnel management. The policies in this Manual are not intended to replace other operating manual policies issued to direct, organize, or implement specific business operations.

(c) The policies and procedures in this Manual are not intended to be and shall not be considered contractual commitments of any kind by the Authority. They are intended to be guidelines to managers. The Authority expressly reserves the right to modify, suspend, revoke, change or supplement these policies at any time and issue new policies that are in the interest of the Authority. No policy is intended as a guarantee of continuity of benefits or rights. All non-bargaining employees at GCRTA are at will, and may be terminated with or without cause.

(d) In the event of any conflicts between applicable Federal, State or local laws, rules and regulations applicable to the GCRTA, the Federal, State and local laws, rules and regulations shall prevail.

(Res. 2001-119, Passed 8-21-01; Res. 2013-95, Passed 9-17-13.)
640.05 EMPLOYEE COMMUNICATIONS WITH THE MEDIA.

Any media request of an employee (e.g., on-camera interview or interview by a newspaper reporter) shall be referred to the Office of Media Relations/Public Information Officer for an official response.

(Res. 2001-119. Passed 8-21-01.)