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August 3, 1999

Mr. Anthony S. Esposito
Chairman
Capital District Transportation Authority
110 Watervliet Avenue
Albany, NY 12206

Re: Report 99-Y-46

Dear Mr. Esposito:

To assist in your oversight of the Capital District Transportation Authority's (Authority) Year 2000 compliance progress, we reviewed selected steps being taken by the Authority, as of June 29, 1999, to make the Automated Payment Information System (Fare Box), the Maintenance Management Information System (MMIS), the Computer-Aided Dispatch System (STAR), and the Radio System (Radio) Year 2000 compliant. These four systems have been designated as "mission critical" by the Authority.

Fare Box gathers information on each fare recorded at fare boxes installed in the buses, such as cash, token, swipe-card, or discounted fares. MMIS maintains an inventory of parts and records maintenance work performed on buses and buildings and grounds. STAR allows the processing of trip requests by integrating mapping and graphics technology. It also interacts with voice response software, counts customers, and generates statistics. Radio is a communications system that maintains a transaction log, keeps track of incidents and allows for the communication and location of buses.

The steps we selected for review pertained to Year 2000 project planning and management, Year 2000 system testing, identification and correction of system data exchanges, and the establishment of contingency plans for continuing important business and service functions in the event of a Year 2000-related failure.

The objective of our review was to assess whether the Authority appears to be taking the necessary steps to address Year 2000 problems related to the Fare Box, MMIS, STAR, and Radio systems. To complete our review, we interviewed Authority personnel and reviewed Authority documents. In addition, we obtained and analyzed the Authority's response to a Year 2000

assessment questionnaire that we designed (see the attached Table). Unlike an audit, a review does not include testing or verification of information and records provided by the Authority and does not include a review of internal controls. Therefore, we cannot conclude whether the Fare Box, MMIS, STAR, and Radio systems will be Year 2000 compliant in a timely manner.

The results of our review show that the Authority is taking many of the steps necessary to address Year 2000 problems related to the four systems reviewed. For example:

- Efforts to correct the systems were covered by a written Year 2000 project plan and Authority management has monitored the efforts.
- There were plans for testing the Radio system in a current-date environment and guidance was available for completing testing. The Authority relied on the vendors' Year 2000 certifications for the Fare Box, MMIS and STAR systems.
- The Authority determined that there are no data exchanges with the systems.
- The Authority is in the process of developing a contingency plan. We encourage the Authority to continue its contingency planning process.

Major contributors to this review were Brian Reilly, Mike Farrar, Deb Spaulding, Jerry Steigman and Jorge R. Vázquez.

Your comments to this review are welcome. We wish to express our appreciation to the management and staff of the Capital District Transportation Authority for the courtesies and cooperation extended to our staff during this review, and hope that it is helpful to your Year 2000 monitoring and oversight responsibilities.

Very truly yours,

Frank J. Houston
Audit Director

cc: Dennis J. Fitzgerald
Jack Reilly
Gary Davis

**CAPITAL DISTRICT TRANSPORTATION AUTHORITY
YEAR 2000 ASSESSMENT QUESTIONNAIRE
AUTOMATED PAYMENT INFORMATION SYSTEM (FARE BOX),
MAINTENANCE MANAGEMENT INFORMATION SYSTEM (MMIS),
COMPUTER-AIDED DISPATCH SYSTEM (STAR), &
RADIO SYSTEM (RADIO)**

TABLE

A colored "traffic light" legend is included in the table below to assist management in focusing an appropriate level of attention on the issues identified in the Status and Comments sections of the Review Findings.

Legend:

	Status/Comments contain matters which may be of immediate concern to management.		Status/Comments contain matters which management may wish to consider.		Status/Comments do not contain issues which require immediate management consideration.
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Review Findings:

	YEAR 2000 STEPS	STATUS	COMMENTS
	A. PROJECT PLANNING & MANAGEMENT		
	A1. Are there written Year 2000 Project Plans (Plans) and do they include/identify steps needed to correct the systems in question?	Yes	The Authority developed a written Year 2000 Project Plan and schedule that includes steps needed to remediate the systems.
	A2. Do the Plans (or any other available records) define what is meant by "compliance" when describing systems at the agency which are Year 2000 ready?	Yes	The Authority has a definition for compliance which includes data exchanges.
	A3. Are there written schedules covering the time frame for achieving compliance for the systems in question?	Yes	There are written schedules for remediating the Fare Box, MMIS, STAR, and Radio systems.
	A4. Is progress toward completion of the schedules for the systems in question being monitored?	Yes	Project completion is monitored through monthly discussions by the project team and quarterly meetings with executive management.

TABLE (Cont'd.)

	YEAR 2000 STEPS	STATUS	COMMENTS
	A5. Are the systems in question meeting the schedules (no significant slippage being reported)?	Yes	The systems appear to be on schedule. The STAR and Radio systems were completed in May and June 1999, respectively. The Fare Box and MMIS systems are expected to be completed in August 1999. No significant slippage has been reported for the systems.
	B. TEST PLANS		
	B1. Are there documented test plans and do they include/identify steps needed to ensure that the systems in question will process as expected after they have been corrected to comply with Year 2000?	Yes	The Authority has a documented test plan for the Radio system. The Fare Box, MMIS and STAR systems were remediated by vendors and the Authority relied on vendor certification. The Authority also performed some testing of dates beyond December 1999 for these systems.
	C. DATA EXCHANGES		
	C1. Have all data exchange partners/interfaces for the systems in question been identified and included on written inventory records?	Yes	There are no external data exchanges. Internal data exchanges have been identified.
	C2. Have data exchange interfaces been considered in the overall Year 2000 Project Plan and the test plan covering the systems in question?	Yes	Data exchanges have been considered in the Authority's overall Year 2000 Plan, as well as the test plans for each of the systems.
	D. CONTINGENCY PLANS		
	D1. Are written business contingency plans in place for the systems in question and do the plans specify steps for completing vital business functions if the systems in question are noncompliant or inoperable for Year 2000 purposes?	Pending	The Authority is in the process of developing contingency plans.