

**Casco Bay Island Transit District
Board of Directors Meeting Agenda*
Thursday, February 24, 2022 at 8:00 AM**

Due to the COVID-19 Pandemic this will be a *Video Conference* meeting.

The public is invited to participate.

Video Conference Link and Call-in number are available at:

<https://www.cascobaylines.com/about-us/board/>

1. Call to Order
2. Approval of the January 27, 2022, meeting minutes
3. Business
 - a. Consideration and action regarding the Delegation of Authority to the Board President and General Manager
 - b. Consideration and action to adopt the resolution authorizing the District's President and General Manager to apply, prepare, file, execute and approve draw down for grants
 - c. Adoption of Federal Transit Administration's (FTA) FFY2022 Certifications and Assurances
 - d. Executive Session - *EXECUTIVE SESSION 3d HAS BEEN POSTPONED TO MARCH*
 - i. Discussion with Labor Consultant on collective bargaining pursuant to 1 M.R.S.A Section 405(6) (D)
 - e. Executive Session
 - i. Discussion of General Manager's evaluation pursuant to 1 M.R.S.A. Section 405(6) (A)
4. Workshops
5. General Information Reports
 - a. Financial Report
 - b. Committee Reports
 - c. Staff Reports
 - d. Wharf and MDOT Reports
6. General Announcements
 - a. Establish next meeting dates (all meetings at 8:00AM unless indicated otherwise):

i. Executive Committee:	Thursday, March 3
ii. Operations Committee:	Thursday, March 17
iii. Finance Committee:	Wednesday, March 23
iv. Board of Directors:	Thursday, March 24
v. Sales & Marketing Committee:	No meeting planned
vi. Personnel Committee:	No meeting planned
vii. Government Relations Committee:	No meeting planned
viii. Pension Committee:	No meeting planned
7. Public Comment
8. Adjournment

Notes: *Agenda items may be taken out of order

*Public comment is limited to 3 minutes per person

Agenda Item 2

Approval of the minutes of the previous Board of Directors' meeting

**CASCO BAY ISLAND TRANSIT DISTRICT
MINUTES OF THE BOARD OF DIRECTORS MEETING OF
January 27, 2022
Video/Phone in only due to COVID-19**

Directors on Conference: Anderson, Braden, Cohen, Crowley, Donovan, Higgins (late), Hoffman, Luedke, Murray, Pizey, Radis (late), Wentworth

Directors absent:

Staff on Conference: Greven, Berg, Pottle, Mavodones, C. Gildart

Public on Conference: F. Somers, L. Heineman, J. James

Guest: M. Hewey

1. Call to Order:

- A. *The Board meeting was called to order at 8:00 AM by President Braden*
- B. *It was noted that the meeting was being recorded*
- C. *President Braden asked Berg to do a roll call of who was attending the meeting, which he did.*

2. Approve the minutes of December 16, 2021 and January 13, 2022 Board of Directors meeting

- A. *President Braden asked if there was a motion to approve the December 16, 2021 minutes.*
- B. *Wentworth moved to approve the minutes; Luedke seconded.*
- C. *President Braden opened the floor for Board comments and there were none.*
- D. *President Braden called for a roll call vote.*
- E. *Berg did a roll call vote. The motion passed unanimously (10-0 Radis and Higgins had not joined yet)*
- F. *President Braden asked if there was a motion to approve the January 13, 2022 minutes.*
- G. *Wentworth moved to approve the minutes; Crowley seconded.*
- H. *President Braden opened the floor for Board comments and there were none.*
- I. *President Braden called for a roll call vote.*
- J. *Berg did a roll call vote. The motion passed unanimously (10-0; Radis and Higgins had not joined yet)*

3. Business

- A. Consideration and action regarding the Delegation of Authority to the Board President and General Manager
 - 1. *Berg gave an overview*
 - 2. *President Braden shared his thoughts and asked if there was a motion*
 - 3. *Wentworth made a motion to delegate authority as presented in Board packet; Anderson seconded*
 - 4. *President Braden opened the floor for Public comments*
 - *There were no public comments*
 - 5. *President Braden opened the floor for Board comments*
 - *Hoffman asked clarifying questions*
 - *Anderson spoke in favor*
 - *Donovan spoke in favor*
 - *Cohen asked clarifying questions*
 - 6. *President Braden called for a roll call vote.*
 - 7. *Berg did a roll call vote. The motion passed (10-1; Radis had not joined the meeting yet; Luedke voted against)*
- B. Consideration and action to adopt the resolution authorizing the District's President, Treasurer and General Manager to open bank accounts, sign checks and perform other necessary banking and financial functions
 - 1. *Berg gave an overview*
 - 2. *President Braden asked if there was a motion*
 - 3. *Crowley made a motion as presented in Board packet; Wentworth seconded*
 - 4. *President Braden opened the floor for Public comments*
 - *There were no public comments*
 - 5. *President Braden opened the floor for Board comments*
 - *Luedke asked clarifying questions*
 - 6. *President Braden called for a roll call vote.*

7. *Berg did a roll call vote. The motion passed (11-0; Radis had not joined the meeting yet)*
- C. Consideration and action to adopt the resolution authorizing the District's President and General Manager to apply, prepare, file, execute and approve draw down for grants
1. *Berg gave an overview*
 2. *President Braden asked if there was a motion*
 3. *Wentworth made a motion as presented in Board packet; Crowley seconded*
 4. *President Braden opened the floor for Public comments*
 - *There were no public comments*
 5. *President Braden opened the floor for Board comments*
 - *Cohen sked clarifying questions*
 - *Anderson asked clarifying questions*
 - *Hoffman made a motion for an amendment to add the following to the motion: "in accordance with CBITD's Board of Director's approved operating and capital plan"; Cohen seconded*
 - i. *President Braden opened the floor for Public comments on the amendment*
 1. *There were no public comments*
 - ii. *President Braden opened the floor for Board comments on the amendment*
 1. *Cohen spoke in favor*
 2. *Luedke spoke against*
 3. *Crowley spoke in favor*
 4. *Donovan shared his concern about the amendment but spoke in favor*
 5. *Greven asked about materiality; Hoffman suggested 5% over budget*
 6. *Berg spoke about the loss of agility and quick decision making*
 7. *Wentworth was concerned about the amendment*
 8. *Greven brought up the example of dry docks and how they often have expensive change orders that need to be resolved quickly*
 9. *Discussion followed about the concern of losing the agility that has in the past been successful in getting funding and solving problems*
 10. *Hoffman shared that she believes this forces staff to budget better with a better contingency built into the budget*
 11. *Hoffman offered to withdraw her amendment and replace it with "in accordance with CBITD's Board of Director's approved capital plan. Any material deviation will require Board approval."*
 12. *Luedke stated that he doesn't want to stand in the way of people who are getting the job done and he continues to be against the motion. He could support another amendment with different wording but not sure what that would be yet.*
 13. *After discussion Hoffman withdrew her motion to amend; Cohen agreed*
 6. *It was agreed to table to postpone action on the original motion until the February Board meeting*
- D. Adoption of Federal Transit Administration's (FTA) FFY2022 Certifications and Assurances (TBD)
1. *The FTA Certifications and Assurances had not been released yet so this item was not taken up*
- E. Executive Session
1. Discussion of General Manager's evaluation pursuant to 1 M.R.S.A. Section 405(6) (A)
 - *The Executive session was moved out of order to the end of the meeting but later moved to the February Board meeting due to time constraints*

4. Workshops

A. FOAA (Freedom of Access Act) and Board Orientation training with Melissa Hewey

1. *Melissa Hewey, attorney with Drummond Woodsum, was introduced and gave training on the Freedom of Access Act and CBITD's Board of Directors Code of Conduct*
2. *Crowley asked a clarifying question*
3. *Hoffman asked clarifying questions*
4. *Discussion followed about CBITD Board communications*

5. General Information Reports *(There were no reports due to time constraint)*

A. Financial Report

B. Committee Reports

C. Staff Reports

6. General Announcements

A. Establish next meeting dates: (all meetings at 8:00 AM unless indicated otherwise)

- | | |
|------------------------------------|-----------------------|
| 1. Executive Committee: | Thursday, February 3 |
| 2. Operations Committee: | Thursday, February 17 |
| 3. Finance Committee: | Tuesday, February 22 |
| 4. Board of Directors: | Thursday, February 24 |
| 5. Sales & Marketing Committee: | No meeting planned |
| 6. Personnel Committee: | No meeting planned |
| 7. Government Relations Committee: | No meeting planned |
| 8. Pension Committee: | No meeting planned |

7. Public Comment

A. *There were no public comments due to time constraints*

8. Adjournment

A. *Wentworth moved to adjourn the meeting; Crowley seconded.*

B. *The motion passed unanimously (12-0) and the meeting was adjourned*

Respectfully submitted by: _____
James Luedke, Clerk

Agenda Item 3a

Delegation of Authority

MOTION FOR DELEGATION OF AUTHORITY

February 24, 2022

MOTION: To delegate temporary authority to the General Manager and the President of the Board to manage operations during the coronavirus pandemic to protect the health and safety of the District's employees, riders, and islanders, and to continue to maintain service to and from the islands as much as possible. Staff to provide prompt written notice to the Board with an explanation of any change.

RESOLVED: To protect the health and safety of Casco Bay Island Transit District employees, riders, and islanders, and to continue to provide as much service to and from the islands as possible, the General Manager of the District and the President of the Board jointly are authorized to make any such temporary changes to the sailing schedule, hours of operation of the terminal, staffing levels, and the collection of fares, including but not limited to, temporary reduction, restructuring, or suspension of service and temporary reduction in terminal hours (including closing) as they deem reasonable and appropriate in response to the coronavirus pandemic; provided that temporary suspension of service shall occur only in the event there is insufficient crew available to meet required Coast Guard regulations and provided further that the public shall be provided as much notice as possible of any change in service. This delegation authority shall continue until the next Board meeting.

Agenda Item 3b

Authorization for Grants

Agenda #3b
Authorization of Grant Applications, Execution, and Approval of Draw Downs

Action: Act on resolution(s) authorizing the District's President and General Manager to apply, prepare, file, execute and approve draw down for Grants.

Motion: I move that the Board adopt the resolution(s) authorizing the District's President and General Manager to apply, prepare, file, execute and approve draw down for Grants.

Resolved: That from time to time the District apply for such grants, awards, and similar revenue sources (collectively "Grants") as the District's President and General Manager think appropriate, including but not limited to (a) grants for Capital Preventive Maintenance and other capital projects from the Federal Transit Administration or the Maine Department of Transportation, and (b) grants that require a match from the District or other sources.

Resolved: That the District's President and General Manger, acting singly, are authorized to prepare, execute, and file all applications for such Grants, to negotiate and deliver any and all documents that either of them may find necessary or convenient in connection with such Grants, to obtain all necessary regulatory and any other approvals, if any, for such Grants, to approve the draw down of funds from said Grants, and to provide any required match from District funds if no other source available (provided that such match from District funds does not require an amendment to the District's budget).

Agenda Item 3c

FTA Certifications and Assurances

***Adoption of Federal Transit Administration's (FTA)
Certifications and Assurances***

Action Act on the resolution to adopt all necessary policies and provisions to comply with the Federal Fiscal Year 2022 Certifications and Assurances for FTA assistance in compliance with Federal Transit Administration rules and regulations.

Motion: I move that the Board (i) comply with all requirements of, and (ii) adopt all necessary policies and provisions to comply with, the Federal Fiscal Year 2022 Certifications and Assurances for FTA assistance in compliance with Federal Transit Administration rules and regulations as listed in Appendix A attached hereto and described in the relevant provisions of Appendix B attached hereto and to authorize the General Manager as the company's Authorized Representative to sign and submit the Certifications and Assurances to the FTA immediately, without waiting for preparation or approval of the Minutes of this meeting.

Resolved: To (i) comply with all requirements of, and (ii) adopt all necessary policies and provisions required to satisfy, all applicable Federal Transit Administration rules and regulations necessary to enable the District to sign and submit the *Federal FY 2022 Certifications and Assurances* for FTA assistance, including but not limited to those listed in Appendices A and B that were included in the Board package distributed prior to this meeting, and to authorize the General Manager as the company's Authorized Representative to sign and submit the Certifications and Assurances to the FTA immediately, without waiting for preparation or approval of the Minutes of this meeting.

ATTACHMENTS:

Appendix A – Summary of Required Certifications and Assurances

Appendix B – Specific Requirements for Each Required Certification and Assurance

Agenda Item 3c

FTA Certifications and Assurances

Appendix A

FEDERAL FISCAL YEAR 2022 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS

(Signature pages alternate to providing Certifications and Assurances in TrAMS.)

Name of Applicant: CASCO Bay Islands Transit District

The Applicant certifies to the applicable provisions of all categories: (check here) _____.

Or,

The Applicant certifies to the applicable provisions of the categories it has selected:

Category	Certification
01 Certifications and Assurances Required of Every Applicant	<u>✓</u>
02 Public Transportation Agency Safety Plans	<u>NA</u>
03 Tax Liability and Felony Convictions	<u>✓</u>
04 Lobbying	<u>✓</u>
05 Private Sector Protections	<u>NA</u>
06 Transit Asset Management Plan	<u>✓</u>
07 Rolling Stock Buy America Reviews and Bus Testing	<u>NA</u>
08 Urbanized Area Formula Grants Program	<u>✓</u>
09 Formula Grants for Rural Areas	<u>✓</u>
10 Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program	<u>NA</u>
11 Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs	<u>NA</u>

Certifications and Assurances

Fiscal Year 2022

12	Enhanced Mobility of Seniors and Individuals with Disabilities Programs	<u>NA</u>
13	State of Good Repair Grants	<u>✓</u>
14	Infrastructure Finance Programs	<u>NA</u>
15	Alcohol and Controlled Substances Testing	<u>✓</u>
16	Rail Safety Training and Oversight	<u>NA</u>
17	Demand Responsive Service	<u>NA</u>
18	Interest and Financing Costs	<u>NA</u>
19	Cybersecurity Certification for Rail Rolling Stock and Operations	<u>NA</u>
20	Tribal Transit Programs	<u>NA</u>
21	Emergency Relief Program	<u>NA</u>

CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

AFFIRMATION OF APPLICANT

Name of the Applicant: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in the federal fiscal year, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

The Certifications and Assurances the Applicant selects apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during the federal fiscal year.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute

Certifications and Assurances

Fiscal Year 2022

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature _____ Date: _____

Name _____ Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): _____

As the undersigned Attorney for the above-named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature _____ Date: _____

Name _____ Attorney for Applicant

Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.

Agenda Item 3c

FTA Certifications and Assurances

Appendix B

Not every provision of every certification will apply to every applicant or award. If a provision of a certification does not apply to the applicant or its award, FTA will not enforce that provision. Refer to FTA's accompanying Instructions document for more information.

Text in italics is guidance to the public. It does not have the force and effect of law, and is not meant to bind the public in any way. It is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.

All applicants must make the certifications in this category.

1.1. Standard Assurances.

The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

- (f) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:
- (1) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin, as effectuated by U.S. DOT regulation 49 CFR Part 21;
 - (2) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex, as effectuated by U.S. DOT regulation 49 CFR Part 25;
 - (3) Section 5332 of the Federal Transit Law (49 U.S.C. § 5332), which prohibits any person being excluded from participating in, denied a benefit of, or discriminated against under, a project, program, or activity receiving financial assistance from FTA because of race, color, religion, national origin, sex, disability, or age.
 - (4) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, as effectuated by U.S. DOT regulation 49 CFR Part 27;
 - (5) The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;
 - (6) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
 - (7) The comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - (8) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - (9) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing;
 - (10) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
 - (11) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (g) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (“Uniform Act”) (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. The requirements of the Uniform Act are effectuated by U.S. DOT regulation 49 CFR Part 24.

- (h) Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- (i) Will comply, as applicable, with the provisions of the Davis–Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.
- (j) Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (k) Will comply with environmental standards which may be prescribed pursuant to the following:
 - (1) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - (2) Notification of violating facilities pursuant to EO 11738;
 - (3) Protection of wetlands pursuant to EO 11990;
 - (4) Evaluation of flood hazards in floodplains in accordance with EO 11988;
 - (5) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - (6) Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
 - (7) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and
 - (8) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).
- (l) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- (m) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
- (n) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (o) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded

animals held for research, teaching, or other activities supported by this award of assistance.

- (p) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- (q) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Subpart F, “Audit Requirements”, as adopted and implemented by U.S. DOT at 2 CFR Part 1201.
- (r) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program under which it is applying for assistance.
- (s) Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a subrecipient from:
 - (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (2) Procuring a commercial sex act during the period of time that the award is in effect; or
 - (3) Using forced labor in the performance of the award or subawards under the award.

1.2. Standard Assurances: Additional Assurances for Construction Projects.

This certification appears on the Office of Management and Budget’s standard form 424D “Assurances—Construction Programs” and applies specifically to federally assisted projects for construction. This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency; will record the Federal awarding agency directives; and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
- (b) Will comply with the requirements of the assistance awarding agency with regard to the drafting, review, and approval of construction plans and specifications.
- (c) Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications, and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

1.3. Procurement.

The Uniform Administrative Requirements, 2 CFR § 200.324, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews.

The applicant certifies that its procurement system complies with:

- (a) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, particularly 2 CFR §§ 200.317–200.326 “Procurement Standards;
- (b) Federal laws, regulations, and requirements applicable to FTA procurements; and
- (c) The latest edition of FTA Circular 4220.1 and other applicable Federal guidance.

1.4. Suspension and Debarment.

Pursuant to Executive Order 12549, as implemented at 2 CFR Parts 180 and 1200, prior to entering into a covered transaction with an applicant, FTA must determine whether the applicant is excluded from participating in covered non-procurement transactions. For this purpose, FTA is authorized to collect a certification from each applicant regarding the applicant’s exclusion status. 2 CFR § 180.300. Additionally, each applicant must disclose any information required by 2 CFR § 180.335 about the applicant and the applicant’s principals prior to entering into an award agreement with FTA. This certification serves both purposes.

The applicant certifies, to the best of its knowledge and belief, that the applicant and each of its principals:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or involuntarily excluded from covered transactions by any Federal department or agency;
- (b) Has not, within the preceding three years, been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty;

- (c) Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense described in paragraph (b) of this certification;
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

1.5. Coronavirus Response and Relief Supplemental Appropriations Act, 2021, and CARES Act Funding.

The applicant certifies:

- (a) To the maximum extent possible, funds made available under title IV of division M of the Consolidated Appropriations Act, 2021 (Public Law 116–260), and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation); or
- (a) The applicant certifies that the applicant has not furloughed any employees.

1.6. American Rescue Plan Act Funding.

The applicant certifies:

- (a) Funds made available by Section 3401(a)(2)(A) of the American Rescue Plan Act of 2021 (Public Law 117-2) shall be directed to payroll and operations of public transportation (including payroll and expenses of private providers of public transportation); or
- (b) The applicant certifies that the applicant has not furloughed any employees.

CATEGORY 2. PUBLIC TRANSPORTATION AGENCY SAFETY PLANS

This certification is required of each applicant under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), each rail operator that is subject to FTA’s state safety oversight programs, and each State that is required to draft and certify a public transportation agency safety plan on behalf of a small public transportation provider pursuant to 49 CFR § 673.11(d). This certification is required by 49 U.S.C. § 5329(d)(1) and 49 CFR § 673.13.

This certification does not apply to any applicant that receives financial assistance from FTA exclusively under the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or combination of these two programs.

If the applicant is an operator, the applicant certifies that it has established a public transportation agency safety plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673.

If the applicant is a State, the applicant certifies that:

- (a) It has drafted a public transportation agency safety plan for each small public transportation provider within the State, unless the small public transportation provider provided notification to the State that it was opting out of the State-drafted plan and drafting its own public transportation agency safety plan; and
- (b) Each small public transportation provider within the State has a public transportation agency safety plan that has been approved by the provider's Accountable Executive (as that term is defined at 49 CFR § 673.5) and Board of Directors or Equivalent Authority (as that term is defined at 49 CFR § 673.5).

CATEGORY 3. TAX LIABILITY AND FELONY CONVICTIONS.

If the applicant is a business association (regardless of for-profit, not for-profit, or tax exempt status), it must make this certification. Federal appropriations acts since at least 2014 have prohibited FTA from using funds to enter into an agreement with any corporation that has unpaid Federal tax liabilities or recent felony convictions without first considering the corporation for debarment. E.g., Consolidated Appropriations Act, 2021, Pub. L. 116-260, div. E, title VII, §§ 744–745. U.S. DOT Order 4200.6 defines a “corporation” as “any private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association”, and applies the restriction to all tiers of subawards. As prescribed by U.S. DOT Order 4200.6, FTA requires each business association applicant to certify as to its tax and felony status.

If the applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, the applicant certifies that:

- (a) It has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) It has not been convicted of a felony criminal violation under any Federal law within the preceding 24 months.

CATEGORY 4. LOBBYING.

If the applicant will apply for a grant or cooperative agreement exceeding \$100,000, or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, it must make the following certification and, if applicable, make a disclosure regarding the applicant's lobbying activities. This certification is required by 49 CFR § 20.110 and app. A to that part.

This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 49 CFR Part 20.

4.1. Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

4.2. Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CATEGORY 5. PRIVATE SECTOR PROTECTIONS.

If the applicant will apply for funds that it will use to acquire or operate public transportation facilities or equipment, the applicant must make the following certification regarding protections for the private sector.

5.1. Charter Service Agreement.

To enforce the provisions of 49 U.S.C. § 5323(d), FTA's charter service regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following Charter Service Agreement. 49 CFR § 604.4.

The applicant agrees that it, and each of its subrecipients, and third party contractors at any level who use FTA-funded vehicles, may provide charter service using equipment or facilities acquired with Federal assistance authorized under the Federal Transit Laws only in compliance with the regulations set out in 49 CFR Part 604, the terms and conditions of which are incorporated herein by reference.

5.2. School Bus Agreement.

To enforce the provisions of 49 U.S.C. § 5323(f), FTA's school bus regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following agreement regarding the provision of school bus services. 49 CFR § 605.15.

- (a) If the applicant is not authorized by the FTA Administrator under 49 CFR § 605.11 to engage in school bus operations, the applicant agrees and certifies as follows:
 - (1) The applicant and any operator of project equipment agrees that it will not engage in school bus operations in competition with private school bus operators.
 - (2) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Mass Transit Regulations, or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (b) If the applicant is authorized or obtains authorization from the FTA Administrator to engage in school bus operations under 49 CFR § 605.11, the applicant agrees as follows:

- (1) The applicant agrees that neither it nor any operator of project equipment will engage in school bus operations in competition with private school bus operators except as provided herein.
- (2) The applicant, or any operator of project equipment, agrees to promptly notify the FTA Administrator of any changes in its operations which might jeopardize the continuation of an exemption under § 605.11.
- (3) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Transit Administration regulations or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (4) The applicant agrees that the project facilities and equipment shall be used for the provision of mass transportation services within its urban area and that any other use of project facilities and equipment will be incidental to and shall not interfere with the use of such facilities and equipment in mass transportation service to the public.

CATEGORY 6. TRANSIT ASSET MANAGEMENT PLAN.

If the applicant owns, operates, or manages capital assets used to provide public transportation, the following certification is required by 49 U.S.C. § 5326(a).

The applicant certifies that it is in compliance with 49 CFR Part 625.

CATEGORY 7. ROLLING STOCK BUY AMERICA REVIEWS AND BUS TESTING.

7.1. Rolling Stock Buy America Reviews.

If the applicant will apply for an award to acquire rolling stock for use in revenue service, it must make this certification. This certification is required by 49 CFR § 663.7.

The applicant certifies that it will conduct or cause to be conducted the pre-award and post-delivery audits prescribed by 49 CFR Part 663 and will maintain on file the certifications required by Subparts B, C, and D of 49 CFR Part 663.

7.2. Bus Testing.

If the applicant will apply for funds for the purchase or lease of any new bus model, or any bus model with a major change in configuration or components, the applicant must make this certification. This certification is required by 49 CFR § 665.7.

The applicant certifies that the bus was tested at the Bus Testing Facility and that the bus received a passing test score as required by 49 CFR Part 665. The applicant has received or will

receive the appropriate full Bus Testing Report and any applicable partial testing reports before final acceptance of the first vehicle.

CATEGORY 8. URBANIZED AREA FORMULA GRANTS PROGRAM.

If the applicant will apply for an award under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), or any other program or award that is subject to the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310); “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)); projects that will receive an award authorized by the Transportation Infrastructure Finance and Innovation Act (“TIFIA”) (23 U.S.C. §§ 601–609) or State Infrastructure Bank Program (23 U.S.C. § 610) (see 49 U.S.C. § 5323(o)); formula awards or competitive awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(a) and (b)); or low or no emission awards to any area under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(c)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5307(c)(1).

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out the program of projects (developed pursuant 49 U.S.C. § 5307(b)), including safety and security aspects of the program;
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities;
- (c) Will maintain equipment and facilities in accordance with the applicant’s transit asset management plan;
- (d) Will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a project financed under this section, a fare that is not more than 50 percent of the peak hour fare will be charged for any—
 - (1) Senior;
 - (2) Individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design; and
 - (3) Individual presenting a Medicare card issued to that individual under title II or XVIII of the Social Security Act (42 U.S.C. §§ 401 et seq., and 1395 et seq.);
- (e) In carrying out a procurement under 49 U.S.C. § 5307, will comply with 49 U.S.C. §§ 5323 (general provisions) and 5325 (contract requirements);
- (f) Has complied with 49 U.S.C. § 5307(b) (program of projects requirements);

- (g) Has available and will provide the required amounts as provided by 49 U.S.C. § 5307(d) (cost sharing);
- (h) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning);
- (i) Has a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation;
- (j) Either—
 - (1) Will expend for each fiscal year for public transportation security projects, including increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, providing an emergency telephone line to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation system, at least 1 percent of the amount the recipient receives for each fiscal year under 49 U.S.C. § 5336; or
 - (2) Has decided that the expenditure for security projects is not necessary;
- (k) In the case of an applicant for an urbanized area with a population of not fewer than 200,000 individuals, as determined by the Bureau of the Census, will submit an annual report listing projects carried out in the preceding fiscal year under 49 U.S.C. § 5307 for associated transit improvements as defined in 49 U.S.C. § 5302; and
- (l) Will comply with 49 U.S.C. § 5329(d) (public transportation agency safety plan).

CATEGORY 9. FORMULA GRANTS FOR RURAL AREAS.

If the applicant will apply for funds made available to it under the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), it must make this certification. Paragraph (a) of this certification helps FTA make the determinations required by 49 U.S.C. § 5310(b)(2)(C). Paragraph (b) of this certification is required by 49 U.S.C. § 5311(f)(2). Paragraph (c) of this certification, which applies to funds apportioned for the Appalachian Development Public Transportation Assistance Program, is necessary to enforce the conditions of 49 U.S.C. § 5311(c)(2)(D).

- (a) The applicant certifies that its State program for public transportation service projects, including agreements with private providers for public transportation service—
 - (1) Provides a fair distribution of amounts in the State, including Indian reservations; and
 - (2) Provides the maximum feasible coordination of public transportation service assisted under 49 U.S.C. § 5311 with transportation service assisted by other Federal sources; and

- (b) If the applicant will in any fiscal year expend less than 15% of the total amount made available to it under 49 U.S.C. § 5311 to carry out a program to develop and support intercity bus transportation, the applicant certifies that it has consulted with affected intercity bus service providers, and the intercity bus service needs of the State are being met adequately.
- (c) If the applicant will use for a highway project amounts that cannot be used for operating expenses authorized under 49 U.S.C. § 5311(c)(2) (Appalachian Development Public Transportation Assistance Program), the applicant certifies that—
 - (1) It has approved the use in writing only after providing appropriate notice and an opportunity for comment and appeal to affected public transportation providers; and
 - (2) It has determined that otherwise eligible local transit needs are being addressed.

CATEGORY 10. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS AND THE EXPEDITED PROJECT DELIVERY FOR CAPITAL INVESTMENT GRANTS PILOT PROGRAM.

If the applicant will apply for an award under any subsection of the Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), including an award made pursuant to the FAST Act's Expedited Project Delivery for Capital Investment Grants Pilot Program (Pub. L. 114-94, div. A, title III, § 3005(b)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5309(c)(2) and Pub. L. 114-94, div. A, title III, § 3005(b)(3)(B).

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
- (c) Will maintain equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan; and
- (d) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning).

CATEGORY 11. GRANTS FOR BUSES AND BUS FACILITIES AND LOW OR NO EMISSION VEHICLE DEPLOYMENT GRANT PROGRAMS.

If the applicant is in an urbanized area and will apply for an award under subsection (a) (formula grants), subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 8 for Urbanized Area Formula

Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

If the applicant is in a rural area and will apply for an award under subsection (a) (formula grants), subsection (b) (bus and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 9 for Formula Grants for Rural Areas (49 U.S.C. § 5311). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

Making this certification will incorporate by reference the applicable certifications in Category 8 or Category 9.

If the applicant will receive a competitive award under subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) related to zero emissions vehicles or related infrastructure, it must make the following certification. This certification is required by 49 U.S.C. § 5339(d).

The applicant will use 5 percent of grants related to zero emissions vehicles (as defined in subsection (c)(1)) or related infrastructure under subsection (b) or (c) to fund workforce development training as described in section 49 U.S.C. § 5314(b)(2) (including registered apprenticeships and other labor-management training programs) under the recipient's plan to address the impact of the transition to zero emission vehicles on the applicant's current workforce; or the applicant certifies a smaller percentage is necessary to carry out that plan.

CATEGORY 12. ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.

If the applicant will apply for an award under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310), it must make the certification in Category 8 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5310(e)(1). Making this certification will incorporate by reference the certification in Category 8, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 8 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.

In addition to the certification in Category 8, the applicant must make the following certification that is specific to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. This certification is required by 49 U.S.C. § 5310(e)(2).

The applicant certifies that:

- (a) The projects selected by the applicant are included in a locally developed, coordinated public transit-human services transportation plan;
- (b) The plan described in clause (a) was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and nonprofit transportation and human services providers, and other members of the public;
- (c) To the maximum extent feasible, the services funded under 49 U.S.C. § 5310 will be coordinated with transportation services assisted by other Federal departments and agencies, including any transportation activities carried out by a recipient of a grant from the Department of Health and Human Services; and
- (d) If the applicant will allocate funds received under 49 U.S.C. § 5310 to subrecipients, it will do so on a fair and equitable basis.

CATEGORY 13. STATE OF GOOD REPAIR GRANTS.

If the applicant will apply for an award under FTA's State of Good Repair Grants Program (49 U.S.C. § 5337), it must make the following certification. Because FTA generally does not review the transit asset management plans of public transportation providers, the asset management certification is necessary to enforce the provisions of 49 U.S.C. § 5337(a)(4). The certification with regard to acquiring restricted rail rolling stock is required by 49 U.S.C. § 5323(u)(4). Note that this certification is not limited to the use of Federal funds.

The applicant certifies that the projects it will carry out using assistance authorized by the State of Good Repair Grants Program, 49 U.S.C. § 5337, are aligned with the applicant's most recent transit asset management plan and are identified in the investment and prioritization section of such plan, consistent with the requirements of 49 CFR Part 625.

If the applicant operates a rail fixed guideway service, the applicant certifies that, in the fiscal year for which an award is available to the applicant under the State of Good Repair Grants Program, 49 U.S.C. § 5337, the applicant will not award any contract or subcontract for the procurement of rail rolling stock for use in public transportation with a rail rolling stock manufacturer described in 49 U.S.C. § 5323(u)(1).

CATEGORY 14. INFRASTRUCTURE FINANCE PROGRAMS.

If the applicant will apply for an award for a project that will include assistance under the Transportation Infrastructure Finance and Innovation Act ("TIFIA") Program (23 U.S.C. §§ 601–609) or the State Infrastructure Banks ("SIB") Program (23 U.S.C. § 610), it must make the certifications in Category 8 for the Urbanized Area Formula Grants Program, Category 10 for the Fixed Guideway Capital Investment Grants program, and Category 13 for the State of Good Repair Grants program. These certifications are required by 49 U.S.C. § 5323(o).

Making this certification will incorporate the certifications in Categories 8, 10, and 13 by reference.

CATEGORY 15. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.

If the applicant will apply for an award under FTA's Urbanized Area Formula Grants Program (49 U.S.C. § 5307), Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) programs, the applicant must make the following certification. The applicant must make this certification on its own behalf and on behalf of its subrecipients and contractors. This certification is required by 49 CFR § 655.83.

The applicant certifies that it, its subrecipients, and its contractors are compliant with FTA's regulation for the Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, 49 CFR Part 655.

CATEGORY 16. RAIL SAFETY TRAINING AND OVERSIGHT.

If the applicant is a State with at least one rail fixed guideway system, or is a State Safety Oversight Agency, or operates a rail fixed guideway system, it must make the following certification. The elements of this certification are required by 49 CFR §§ 672.31 and 674.39.

The applicant certifies that the rail fixed guideway public transportation system and the State Safety Oversight Agency for the State are:

- (a) Compliant with the requirements of 49 CFR Part 672, "Public Transportation Safety Certification Training Program"; and
- (b) Compliant with the requirements of 49 CFR Part 674, "State Safety Oversight".

CATEGORY 17. DEMAND RESPONSIVE SERVICE.

If the applicant operates demand responsive service and will apply for an award to purchase a non-rail vehicle that is not accessible within the meaning of 49 CFR Part 37, it must make the following certification. This certification is required by 49 CFR § 37.77.

The applicant certifies that the service it provides to individuals with disabilities is equivalent to that provided to other persons. A demand responsive system, when viewed in its entirety, is deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:

- (a) Response time;

- (b) Fares;
- (c) Geographic area of service;
- (d) Hours and days of service;
- (e) Restrictions or priorities based on trip purpose;
- (f) Availability of information and reservation capability; and
- (g) Any constraints on capacity or service availability.

CATEGORY 18. INTEREST AND FINANCING COSTS.

If the applicant will pay for interest or other financing costs of a project using assistance awarded under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), the Fixed Guideway Capital Investment Grants Program (49 U.S.C. § 5309), or any program that must comply with the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)), or awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the following certification. This certification is required by 49 U.S.C. §§ 5307(e)(3) and 5309(k)(2)(D).

The applicant certifies that:

- (a) Its application includes the cost of interest earned and payable on bonds issued by the applicant only to the extent proceeds of the bonds were or will be expended in carrying out the project identified in its application; and
- (b) The applicant has shown or will show reasonable diligence in seeking the most favorable financing terms available to the project at the time of borrowing.

CATEGORY 19. CYBERSECURITY CERTIFICATION FOR RAIL ROLLING STOCK AND OPERATIONS.

If the applicant operates a rail fixed guideway public transportation system, it must make this certification. This certification is required by 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019). For information about standards or practices that may apply to a rail fixed guideway public transportation system, visit <https://www.nist.gov/cyberframework> and <https://www.cisa.gov/>.

The applicant certifies that it has established a process to develop, maintain, and execute a written plan for identifying and reducing cybersecurity risks that complies with the requirements of 49 U.S.C. § 5323(v)(2).

**CATEGORY 20. PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS
FORMULA AND DISCRETIONARY PROGRAM (TRIBAL TRANSIT
PROGRAMS).**

Before FTA may provide Federal assistance for an Award financed under either the Public Transportation on Indian Reservations Formula or Discretionary Program authorized under 49 U.S.C. § 5311(c)(1), as amended by the FAST Act, (Tribal Transit Programs), the applicant must select the Certifications in Category 21, except as FTA determines otherwise in writing. Tribal Transit Program applicants may certify to this Category and Category 1 (Certifications and Assurances Required of Every Applicant) and need not make any other certification, to meet Tribal Transit Program certification requirements. If an applicant will apply for any program in addition to the Tribal Transit Program, additional certifications may be required.

FTA has established terms and conditions for Tribal Transit Program grants financed with Federal assistance appropriated or made available under 49 U.S.C. § 5311(c)(1). The applicant certifies that:

- (a) It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- (b) It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
- (c) It will maintain its equipment and facilities acquired or improved under its Award, in accordance with its transit asset management plan and consistent with FTA regulations, “Transit Asset Management,” 49 CFR Part 625. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
- (d) With respect to its procurement system:
 - (1) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, for Awards made on or after December 26, 2014,
 - (2) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR Part 18, specifically former 49 CFR § 18.36, for Awards made before December 26, 2014, or
 - (3) It will inform FTA promptly if its procurement system does not comply with either of those U.S. DOT regulations.
- (e) It will comply with the Certifications, Assurances, and Agreements in:
 - (1) Category 05.1 and 05.2 (Charter Service Agreement and School Bus Agreement),
 - (2) Category 06 (Transit Asset Management Plan),

- (3) Category 07.1 and 07.2 (Rolling Stock Buy America Reviews and Bus Testing),
- (4) Category 09 (Formula Grants for Rural Areas),
- (5) Category 15 (Alcohol and Controlled Substances Testing), and
- (6) Category 17 (Demand Responsive Service).

CATEGORY 21. EMERGENCY RELIEF PROGRAM.

An applicant to the Public Transportation Emergency Relief Program, 49 U.S.C. § 5324, must make the following certification. The certification is required by 49 U.S.C. § 5324(f) and must be made before the applicant can receive a grant under the Emergency Relief program.

The applicant certifies that the applicant has insurance required under State law for all structures related to the emergency relief program grant application.

**FEDERAL FISCAL YEAR 2022 CERTIFICATIONS AND ASSURANCES FOR FTA
ASSISTANCE PROGRAMS**

(Signature pages alternate to providing Certifications and Assurances in TrAMS.)

Name of Applicant: _____

The Applicant certifies to the applicable provisions of all categories: (*check here*) _____.

Or,

The Applicant certifies to the applicable provisions of the categories it has selected:

Category	Certification
01 Certifications and Assurances Required of Every Applicant	_____
02 Public Transportation Agency Safety Plans	_____
03 Tax Liability and Felony Convictions	_____
04 Lobbying	_____
05 Private Sector Protections	_____
06 Transit Asset Management Plan	_____
07 Rolling Stock Buy America Reviews and Bus Testing	_____
08 Urbanized Area Formula Grants Program	_____
09 Formula Grants for Rural Areas	_____
10 Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program	_____
11 Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs	_____

- | | | |
|----|---|-------|
| 12 | Enhanced Mobility of Seniors and Individuals with Disabilities Programs | _____ |
| 13 | State of Good Repair Grants | _____ |
| 14 | Infrastructure Finance Programs | _____ |
| 15 | Alcohol and Controlled Substances Testing | _____ |
| 16 | Rail Safety Training and Oversight | _____ |
| 17 | Demand Responsive Service | _____ |
| 18 | Interest and Financing Costs | _____ |
| 19 | Cybersecurity Certification for Rail Rolling Stock and Operations | _____ |
| 20 | Tribal Transit Programs | _____ |
| 21 | Emergency Relief Program | _____ |

CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

AFFIRMATION OF APPLICANT

Name of the Applicant: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in the federal fiscal year, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

The Certifications and Assurances the Applicant selects apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during the federal fiscal year.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature _____ Date: _____

Name _____ Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): _____

As the undersigned Attorney for the above-named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature _____ Date: _____

Name _____ Attorney for Applicant

Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.

Agenda Item 3d

Executive Session

**Discussion with Labor Consultant on collective bargaining
pursuant to 1 M.R.S.A Section 405(6) (D)**

AGENDA ITEM 3d

AGENDA ITEM 3d: Executive Session

Discussion with Labor Consultant on collective bargaining
pursuant to 1 M.R.S.A Section 405(6)(D)

MOTION before the Board to go into Executive Session:

I move to go into Executive Session for a discussion with Labor Consultant on collective bargaining pursuant to 1 M.R.S.A Section 405(6) (D)

MOTION before the Board after coming out of Executive Session:

I move to authorize the President and General Manager to enter into agreement with Maine Marine Association for the 2018-2021 Marine and Shoreside Collective Bargaining Agreements as presented on behalf of the Board of Directors

Agenda Item 3e

Executive Session

**Discussion of the General Manager's annual evaluation
pursuant to 1 M.R.S.A Section 405(6) (A)**

AGENDA ITEM 3e: EXECUTIVE SESSION:

Discussion of General Manager's evaluation pursuant to 1 M.R.S.A. Section 405(6) (A)

MOTION before the Board to go into Executive Session:

I move to go into Executive Session for a discussion of the General Manager's annual evaluation and compensation pursuant to 1 M.R.S.A Section 405(6) (A).

MOTION before the Board after coming out of Executive Session:

I move to authorize the President to share the Board's evaluation with the General Manager and to direct CBITD's HR Director to adjust the General Manager's compensation as discussed and presented on behalf of the Board of Directors.

Agenda Item 5

Reports:

Financial

Committee

Staff



Casco Bay Lines
P.O. Box 4656
56 Commercial St.
Portland, ME 04112

February 17, 2022

FY 2022 Financial Notes:
For the Month of November 2022

Synopsis:

November was characterized by very favorable revenue and total expenses that were unfavorable to budget. **November revenues were higher than planned by 35.8% at \$257K, while expenses were also higher than planned by a factor of 17.0%. As compared to November 2020, which was severely COVID impacted, revenues were 33.8% higher in 2021 and expenses were also higher by 7.8%. Operating results for November 2021 were 6.0% unfavorable to budget at -\$344K and were favorable to November of last year by 5.9%. Grant revenues were capped at the loss for the month and were 6.0 % over budget.**

Revenue Assessment: Excellent

Current Month:

November Operating Revenue of \$257K closed 35.8% over budgeted amounts and 33.8% above the same period last fiscal year.

- Scheduled passenger revenues of \$114K were 27.6% higher than budget and 73.6% higher than the same period last year.
- Vehicle revenues of \$72K closed 64.5% higher than budget and 10.3% higher than the same period last year.
- Freight revenues were \$57K and closed 46.9% above budget and 2.9% lower than the same period last year.
- Group sales of \$12K closed 3.1% above projections and much higher than the same month last year, which was only \$570.

Year to date (YTD):

YTD Operating Revenue was \$657K and was 17.5% ahead of budget and 16.8% ahead of the same period last fiscal year.

- Scheduled passenger revenues YTD were better than budget by 16.6% and were up 15.2% as compared to last fiscal year.
- Vehicle revenues YTD of \$186K are better than budget by 51.6% and are 6.6% ahead of FY21 YTD.
- Freight revenues YTD of \$136K were 15.4% above budgeted numbers and were 5.5% behind last fiscal YTD.
- Group sales YTD of \$57K closed 20.9% behind budget but significantly above the same period last year which was only \$1.6K.
 - The Diamond Pass Run and Mailboat Run were offered starting in October 2021 and were responsible for the majority of Group Sales Revenue.

Expense Assessment: Good

Current Month:

November expenses of \$602K were 17.0% over budgeted amount and were 7.8% higher than November of last year, primarily due to Vessel Expense.

- Personnel expenses were 0.5% under budget and 15.5% below November of last year.

- Crew platooning has been suspended as of mid-September 2021 which has impacted expenses.
 - Admin Direct Offset was zero for the month.
 - Employee insurances were at budget for the month.
- Vessel maintenance ended 96.4% over budget and 104% above November of last year, primarily due to Wabanaki.
 - Machigonne was well under budget for November. Total expense for the month was \$4.7K. Repairs were routine repairs, maintenance, and adjustments.
 - Maquoit maintenance for the month totaled \$14.2K and was over budget. The bulk of expense for the month was related to reconditioning Maquoit propeller as well as repairs and maintenance to the heating system. Other repairs were routine replacement and maintenance.
 - Bay Mist was under budget for the month at \$1.9K. The vessel has seen little use lately, so repairs included small and general repairs aboard the vessel.
 - Aucocisco required minimal work during the month. Repairs included boiler inspection and other routine service.
 - Wabanaki for the month was \$88.0K which was significantly over budget. This variance was primarily due to timing, as parts needed for a planned engine rebuild during the upcoming shipyard period were purchased. Other repairs during the month related to sewage pump and MSD system in addition to other repairs that were routine in nature.
 - Fuel was over budget in November at \$51K. CBL has locked fuel at \$1.85 per gallon. Fuel pricing is favorable and predictable through FY2022, despite currently increasing prices.
- Operations expense was 10.5% over budget and 57.0% higher than the same period last year.
 - Data processing was \$24.8K and included new BOCA ticket printers for the ticketing project as well as network maintenance and support.
 - Ops Misc. included items and supplies to clean and sanitize vessels due to COVID-19, as well as face masks, and USCG payment.
 - Credit card fees were over budget for the month, as sales were higher than planned for the month of September.
 - Employee Recognition included \$11.4K for holiday gift cards for employees. This expense was budgeted for December, but a decision was made to order the cards early.
- Terminal expense was 8.4% over budget and 23.7% lower than last November.
 - Paper and Cleaning Supplies included various safety supplies and items and supplies to clean and sanitize terminal areas due to COVID-19.
 - Terminal Misc. included door lock repairs, security, and various other small repairs and items.
 - Freight Equipment included a replacement order of island stickers.
- Sales expense was under budget and closed 38.7% under projections and 0.8% lower than the same period last year.
 - Marketing included COVID-19 communications consulting and related services for the month.

Year to date (YTD):

YTD Expenses were 8.0% over budget and were 1.4% lower than last YTD.

- Personnel expenses YTD were 2.0% unfavorable to budget and 12.3% below last YTD, where crew platooning in response to COVID-19 resulted increase personnel expense.
- Vessel maintenance was 50.0% over budget and 44.1% higher than last fiscal YTD.
 - See notes on Wabanaki advance parts purchases above which factors into YTD performance against budget.
- Operations expense was 4.6% under budget and 3.8% below last YTD.
- Terminal expense was 23.1% unfavorable to budget and 3.2% lower than last YTD.
- Sales expense YTD was 735% below budget and 23.2% below last YTD.

Operating Surplus/Loss: Good

Current Month:

Operating result of -\$344K was 6.0% unfavorable to budget and 5.9% better than the same period last year, which was -\$366K.

Year to date (YTD):

YTD operating result of -\$502K was 2.3% better than budget and 18.2% favorable to last YTD where the result was -\$613K.

Grant Revenues: Very Good

Current Month:

Grant revenue of \$344K for the month were capped at the loss for November and as a result were 6.0% favorable to budget and 5.9% unfavorable to November of last year.

Year to date (YTD):

Grant revenue YTD of \$502K is 2.1% below budget, and 18.2% below last YTD. The single largest constraint to increased grant revenue has been ticket, freight and vehicle revenue that has been higher than planned, which reduced CBITD's ability to draw against un-funded expenses.

Surplus/Loss: Very Good

Current Month:

Final result of \$0 was at budget, which was projected at 3\$.

Year to date (YTD):

Our current YTD result is \$0K, which is exactly as budgeted.

Line of Credit Balance: Currently \$0 with an available credit balance of \$2,000,000

**CBITD Revenues and Expenses
Summary**

	FY2021 BUDGET	NOVEMBER				FISCAL YEAR TO DATE				PREVIOUS	FY22 vs.
		PROJECTED	ACTUAL	VARIANCE	VARIANCE %	PROJECTED	ACTUAL	VARIANCE	VARIANCE %	YTD	FY21
REVENUES											
SCH SERVICE	\$4,481,093	\$ 172,593	\$ 243,947	\$ 71,354	41.3%	\$ 477,786	\$ 598,711	\$ 120,925	25.3%	\$ 558,733	7.2%
GR SALES	\$1,033,574	\$ 11,980	\$ 12,347	\$ 367	3.1%	\$ 72,227	\$ 57,141	\$ (15,086)	-20.9%	\$ 1,629	3407.7%
MISC	\$51,390	\$ 4,985	\$ 1,121	\$ (3,864)	-77.5%	\$ 9,890	\$ 1,826	\$ (8,064)	-81.5%	\$ 2,657	-31.3%
TOTAL REVENUES	\$5,566,057	\$ 189,558	\$ 257,415	\$ 67,857	35.8%	\$ 559,903	\$ 657,678	\$ 97,775	17.5%	\$ 563,019	16.8%
EXPENSES											
PERSONNEL	\$4,691,875	\$ 326,604	\$ 325,091	\$ 1,513	0.5%	\$ 658,843	\$ 672,278	\$ (13,435)	-2.0%	\$ 766,699	12.3%
VESSELS	\$2,115,819	\$ 87,639	\$ 172,081	\$ (84,442)	-96.4%	\$ 190,913	\$ 286,287	\$ (95,374)	-50.0%	\$ 198,666	-44.1%
OPERATIONS	\$765,876	\$ 61,386	\$ 67,862	\$ (6,476)	-10.5%	\$ 131,049	\$ 125,033	\$ 6,016	4.6%	\$ 129,911	3.8%
TERMINAL	\$352,266	\$ 27,902	\$ 30,258	\$ (2,356)	-8.4%	\$ 53,281	\$ 65,763	\$ (12,482)	-23.4%	\$ 67,708	2.9%
SALES	\$336,570	\$ 11,350	\$ 6,957	\$ 4,393	38.7%	\$ 39,775	\$ 10,545	\$ 29,230	73.5%	\$ 13,722	23.2%
DEBT SERVICE	\$0	\$ -	\$ -	\$ -	0.0%	\$ -	\$ -	\$ -	0.0%	\$ -	0.0%
PROVISION FOR DEF RED	\$0	\$ -	\$ -	\$ -	0.0%	\$ -	\$ -	\$ -	0.0%	\$ -	0.0%
TOTAL EXPENSES	\$8,262,406	\$ 514,881	\$ 602,249	\$ (87,368)	-17.0%	\$ 1,073,861	\$ 1,159,907	\$ (86,045)	-8.0%	\$ 1,176,705	1.4%
OPERATING SURPLUS/LOSS	-\$2,696,349	\$ (325,323)	\$ (344,834)	\$ (19,511)	6.0%	\$ (513,958)	\$ (502,229)	\$ 11,729	2.3%	\$ (613,685)	18.2%
OP GRANT REVENUES											
FTA PM REVENUE	\$0	\$ -	\$ -	\$ -	0.0%	\$ -	\$ -	\$ -	0.0%	\$ -	0.0%
FTA RURAL REVENUE	\$516,862	\$ 73,198	\$ 86,551	\$ 13,353	18.2%	\$ 115,484	\$ 126,057	\$ 10,573	9.2%	\$ 136,856	0.0%
FTA OPERATING REVENUE	\$2,110,410	\$ 219,595	\$ 258,283	\$ 38,688	0.0%	\$ 346,453	\$ 376,172	\$ 29,719	0.0%	\$ 408,386	0.0%
STATE SUBSIDY REVENUE	\$68,444	\$ 32,533	\$ -	\$ (32,533)	0.0%	\$ 51,326	\$ -	\$ (51,326)	0.0%	\$ 68,444	0.0%
TOTAL OP GRANT RESERVES	\$2,695,716	\$ 325,326	\$ 344,834	\$ 19,508	6.0%	\$ 513,263	\$ 502,229	\$ (11,034)	-2.1%	\$ 613,686	-18.2%
SURPLUS/LOSS	-\$633	\$ 3	\$ -	\$ (3)	100.0%	\$ (695)	\$ -	\$ 695	100.0%	\$ 1	0.0%

**CBITD Revenues and Expenses
Overview**

	FY2021 BUDGET	NOVEMBER				FISCAL YEAR TO DATE				PREVIOUS	FY22 vs. FY21
		PROJECTED	ACTUAL	VARIANCE	VARIANCE %	PROJECTED	ACTUAL	VARIANCE	VARIANCE %	YTD	
REVENUES											
PASSENGER	\$ 2,529,205	\$ 89,548	\$ 114,236	\$ 24,688	27.6%	\$ 236,689	\$ 276,018	\$ 39,329	16.6%	\$ 239,572	15.2%
VEHICLE	\$ 1,029,036	\$ 43,942	\$ 72,270	\$ 28,328	64.5%	\$ 122,802	\$ 186,216	\$ 63,414	51.6%	\$ 174,749	6.6%
FREIGHT	\$ 850,852	\$ 33,103	\$ 50,867	\$ 17,764	53.7%	\$ 106,295	\$ 123,165	\$ 16,870	15.9%	\$ 132,359	-6.9%
MAIL	\$ 72,000	\$ 6,000	\$ 6,573	\$ 573	9.6%	\$ 12,000	\$ 13,312	\$ 1,312	10.9%	\$ 12,055	10.4%
TOTAL	\$ 4,481,093	\$ 172,593	\$ 243,947	\$ 71,354	41.3%	\$ 477,786	\$ 598,711	\$ 120,925	25.3%	\$ 558,733	7.2%
GR SALES											
TOURS	\$ 599,351	\$ 8,012	\$ 10,856	\$ 2,844	35.5%	\$ 47,741	\$ 50,230	\$ 2,489	5.2%	\$ -	0.0%
CHARTERS	\$ 224,500	\$ 2,250	\$ 1,000	\$ (1,250)	0.0%	\$ 18,500	\$ 3,450	\$ (15,050)	0.0%	\$ -	0.0%
CATERING	\$ 168,550	\$ 500	\$ -	\$ (500)	0.0%	\$ 2,500	\$ 1,989	\$ (511)	0.0%	\$ -	0.0%
VENDING	\$ 8,000	\$ 500	\$ 221	\$ (279)	-55.8%	\$ 1,250	\$ 451	\$ (799)	-63.9%	\$ 769	-41.4%
PROMOTIONAL	\$ 9,000	\$ 550	\$ 270	\$ (280)	0.0%	\$ 1,900	\$ 1,021	\$ (879)	-46.3%	\$ 859	0.0%
ADVERTISING	\$ 24,173	\$ 168	\$ -	\$ (168)	-100.0%	\$ 336	\$ -	\$ (336)	-100.0%	\$ -	0.0%
TOTAL	\$ 1,033,574	\$ 11,980	\$ 12,347	\$ 367	3.1%	\$ 72,227	\$ 57,141	\$ (15,086)	-20.9%	\$ 1,629	3407.7%
OTHER INCOME											
MISC	\$ 11,140	\$ 1,035	\$ 391	\$ (644)	-62.2%	\$ 1,990	\$ 345	\$ (1,645)	-82.7%	\$ 467	-26.1%
INTEREST	\$ 40,250	\$ 3,950	\$ 729	\$ (3,221)	-81.5%	\$ 7,900	\$ 1,481	\$ (6,419)	-81.3%	\$ 2,190	-32.4%
TOTAL	\$ 51,390	\$ 4,985	\$ 1,121	\$ (3,865)	-77.5%	\$ 9,890	\$ 1,826	\$ (8,064)	-81.5%	\$ 2,657	-31.3%
TOTAL OP REVENUES	\$ 5,566,057	\$ 189,558	\$ 257,415	\$ 67,856	35.8%	\$ 559,903	\$ 657,678	\$ 97,775	17.5%	\$ 563,019	16.8%

**CBITD Revenues and Expenses
Overview**

	FY2021 BUDGET	NOVEMBER				FISCAL YEAR TO DATE				PREVIOUS	FY22 vs. FY21
		PROJECTED	ACTUAL	VARIANCE	VARIANCE %	PROJECTED	ACTUAL	VARIANCE	VARIANCE %	YTD	
EXPENSES											
PERSONNEL											
PAYROLL	\$ 3,458,349	\$ 231,871	\$ 232,078	\$ (207)	-0.1%	\$ 468,758	\$ 484,104	\$ (15,346)	-3.3%	\$ 578,066	16.3%
TAXES	\$ 264,564	\$ 17,738	\$ 17,047	\$ 691	3.9%	\$ 35,860	\$ 35,628	\$ 232	0.6%	\$ 48,279	26.2%
EMPLOYEE INSURANCE	\$ 496,411	\$ 38,725	\$ 38,159	\$ 566	1.5%	\$ 77,450	\$ 79,584	\$ (2,134)	-2.8%	\$ 71,790	-10.9%
EMPLOYEE RELATED EXP	\$ 34,015	\$ 1,725	\$ 1,263	\$ 462	26.8%	\$ 3,685	\$ 3,362	\$ 323	8.8%	\$ 2,452	-37.1%
PENSION	\$ 438,536	\$ 36,545	\$ 36,545	\$ -	0.0%	\$ 73,090	\$ 69,600	\$ 3,490	4.8%	\$ 66,111	-5.3%
TOTAL	\$ 4,691,875	\$ 326,604	\$ 325,091	\$ 1,513	0.5%	\$ 658,843	\$ 672,278	\$ (13,435)	-2.0%	\$ 766,699	12.3%
VESSELS											
REPAIRS	\$ 1,484,750	\$ 38,900	\$ 114,125	\$ (75,225)	-193.4%	\$ 85,150	\$ 180,402	\$ (95,252)	-111.9%	\$ 93,894	-92.1%
FUEL	\$ 551,869	\$ 42,139	\$ 51,696	\$ (9,557)	-22.7%	\$ 92,563	\$ 93,367	\$ (804)	-0.9%	\$ 92,680	-0.7%
INSURANCE	\$ 79,200	\$ 6,600	\$ 6,260	\$ 340	5.2%	\$ 13,200	\$ 12,519	\$ 681	5.2%	\$ 12,092	-3.5%
TOTAL	\$ 2,115,819	\$ 87,639	\$ 172,081	\$ (84,442)	-96.4%	\$ 190,913	\$ 286,287	\$ (95,374)	-50.0%	\$ 198,666	-44.1%
OPERATIONS											
TELEPHONE	\$ 22,440	\$ 1,870	\$ 2,214	\$ (344)	-18.4%	\$ 3,740	\$ 4,270	\$ (530)	-14.2%	\$ 4,113	-3.8%
MAIL AGENT	\$ 11,220	\$ 935	\$ 935	\$ -	0.0%	\$ 1,870	\$ 1,870	\$ -		\$ 1,870	0.0%
OFFICE	\$ 7,500	\$ 625	\$ 799	\$ (174)	-27.8%	\$ 1,250	\$ 1,598	\$ (348)	-27.8%	\$ 910	-75.6%
CREDIT CARD	\$ 141,496	\$ 9,120	\$ 13,081	\$ (3,961)	-43.4%	\$ 27,520	\$ 33,675	\$ (6,155)	-22.4%	\$ 27,416	-22.8%
POSTAGE	\$ 3,360	\$ 280	\$ 618	\$ (338)	-120.7%	\$ 560	\$ 902	\$ (342)	-61.1%	\$ 505	-78.6%
TRAVEL	\$ 16,500	\$ 2,800	\$ 64	\$ 2,736	97.7%	\$ 5,000	\$ 64	\$ 4,936	98.7%	\$ -	0.0%
DAMAGES	\$ 22,950	\$ 4,000	\$ 40	\$ 3,960	0.0%	\$ 7,450	\$ 2,218	\$ 5,232	70.2%	\$ 1,470	-50.9%
OTHER INSURANCES	\$ 29,880	\$ 2,490	\$ 3,933	\$ (1,443)	-58.0%	\$ 4,980	\$ 7,866	\$ (2,886)	-58.0%	\$ 5,298	-48.5%
MISCELLANEOUS	\$ 16,481	\$ 935	\$ 272	\$ 663	70.9%	\$ 1,690	\$ 1,150	\$ 540	32.0%	\$ 683	-68.4%
BARGE SUBCONTRACTING	\$ 8,500	\$ 500	\$ -	\$ 500	0.0%	\$ 1,000	\$ -	\$ 1,000	100.0%	\$ 28,000	0.0%
PROFESSIONAL	\$ 99,480	\$ 6,720	\$ 1,246	\$ 5,474	81.5%	\$ 13,175	\$ 3,900	\$ 9,275	70.4%	\$ 3,392	-15.0%
DUES & PUC	\$ 20,975	\$ 175	\$ -	\$ 175	0.0%	\$ 175	\$ 806	\$ (631)	0.0%	\$ 1,498	46.2%
UNIFORMS	\$ 36,165	\$ 13,450	\$ 6,254	\$ 7,196	53.5%	\$ 14,900	\$ 7,230	\$ 7,670	51.5%	\$ 3,625	-99.4%
TRAINING	\$ 12,550	\$ 1,850	\$ -	\$ 1,850	100.0%	\$ 2,300	\$ 200	\$ 2,100	91.3%	\$ -	0.0%
TOTAL	\$ 765,876	\$ 61,386	\$ 67,862	\$ 16,294	26.5%	\$ 131,049	\$ 125,033	\$ 19,861	15.2%	\$ 129,911	3.8%

**CBITD Revenues and Expenses
Overview**

	FY2021 BUDGET	NOVEMBER				FISCAL YEAR TO DATE				PREVIOUS	FY22 vs. FY21
		PROJECTED	ACTUAL	VARIANCE	VARIANCE %	PROJECTED	ACTUAL	VARIANCE	VARIANCE %	YTD	
EXPENSES											
TERMINAL											
UTILITIES	\$ 63,999	\$ 5,110	\$ 4,226	\$ 884	17.3%	\$ 9,139	\$ 8,016	\$ 1,123	12.3%	\$ 7,841	-2.2%
JANITORIAL	\$ 95,940	\$ 7,900	\$ 7,600	\$ 300	3.8%	\$ 15,980	\$ 15,328	\$ 652	4.1%	\$ 18,647	17.8%
RENT	\$ 35,940	\$ 2,995	\$ 2,995	\$ -	0.0%	\$ 5,990	\$ 7,324	\$ (1,334)	-22.3%	\$ 5,991	-22.3%
MAINTENANCE	\$ 156,387	\$ 11,897	\$ 15,436	\$ (3,539)	-29.7%	\$ 22,172	\$ 35,096	\$ (12,924)	-58.3%	\$ 35,229	0.4%
TOTAL	\$ 352,266	\$ 27,902	\$ 30,258	\$ (2,356)	-8.4%	\$ 53,281	\$ 65,763	\$ (12,482)	-23.4%	\$ 67,708	2.9%
SALES											
ADVERTISING	\$ 190,015	\$ 10,600	\$ 6,915	\$ 3,685	34.8%	\$ 21,950	\$ 9,694	\$ 12,256	55.8%	\$ 13,714	29.3%
CATERING	\$ 146,555	\$ 750	\$ 43	\$ 707	0.0%	\$ 17,825	\$ 851	\$ 16,974	0.0%	\$ 7	0.0%
TOTAL	\$ 336,570	\$ 11,350	\$ 6,957	\$ 4,393	38.7%	\$ 39,775	\$ 10,545	\$ 29,230	73.5%	\$ 13,722	23.2%
DEBT SERVICE											
TOTAL	\$ -	\$ -	\$ -	\$ -	0.0%	\$ -	\$ -	\$ -	0.0%	\$ -	0.00
TOTAL EXPENSES	\$ 8,262,406	\$ 514,881	\$ 602,249	\$ (87,368)	-17.0%	\$ 1,073,861	\$ 1,159,907	\$ (86,046)	-8.0%	\$ 1,176,705	1.4%
TOTAL OP REVENUES	\$ 5,566,057	\$ 189,558	\$ 257,415	\$ 67,856	35.8%	\$ 559,903	\$ 657,678	\$ 97,775	17.5%	\$ 563,019	16.8%
OP SURPLUS/LOSS	\$ (2,696,349)	\$ (325,323)	\$ (344,834)	\$ (19,512)	-6.0%	\$ (513,958)	\$ (502,229)	\$ 11,729	2.3%	\$ (613,685)	18.2%
OP GRANT REVENUES											
FTA PREVENTATIVE MAINT	\$ -	\$ -	\$ -	\$ -	0.0%	\$ -	\$ -	\$ -	0.0%	\$ -	0.0%
FTA RURAL REVENUE	\$ 516,862	\$ 73,198	\$ 86,551	\$ 13,353	0.0%	\$ 115,484	\$ 126,057	\$ 10,573	9.2%	\$ 136,856	-7.9%
FTA OPERATING REVENUE	\$ 2,110,410	\$ 219,595	\$ 258,283	\$ 38,688	0.0%	\$ 346,453	\$ 376,172	\$ 29,719	0.0%	\$ 408,386	-7.9%
STATE SUBSIDY REVENUE	\$ 68,444	\$ 32,533	\$ -	\$ (32,533)	100.0%	\$ 51,326	\$ -	\$ (51,326)	0.0%	\$ 68,444	0.0%
TOTAL	\$ 2,695,716	\$ 325,326	\$ 344,834	\$ 52,041	16.0%	\$ 513,263	\$ 502,229	\$ 40,292	7.9%	\$ 613,686	-18.2%
SURPLUS/LOSS	\$ (633)	\$ 3	\$ -	\$ (3)	-100.0%	\$ (695)	\$ -	\$ 695	100.0%	\$ 1	0.0%

Casco Bay Island Transit District	Budget 2022	November 2021 Budget	November 2021 Actual	YTD Budget 11/30/21	YTD Actual 11/30/21	YTD Actual 11/30/20	% Change
1. REVENUES: SCHEDULED SERVICE							
PASSENGER - PEAKS	1,724,029	61,188	85,050	161,991	204,429	178,567	14.5%
PASSENGER-LD	45,831	1,202	930	2,585	3,132	2,865	9.3%
PASSENGER - GD	91,401	3,850	4,429	10,516	11,141	12,378	-10.0%
PASSENGER -D COVE	199,967	2,906	4,898	15,750	10,368	4,939	109.9%
PASSENGER-LONG	321,535	13,701	12,209	33,651	30,054	27,688	8.5%
PASSENGER -CHEB	35,364	484	963	1,141	3,684	2,919	26.2%
PASSENGER -CLIFF	75,340	4,367	3,220	7,008	7,328	5,235	40.0%
ANIMALS	35,738	1,850	2,536	4,047	5,882	4,980	18.1%
TICKET	2,529,205	89,548	114,236	236,689	276,018	239,572	15.2%
VEHICLES - DOWNBAY	14,901	556	758	745	1,658	689	140.6%
VEHICLES - PEAKS	1,014,135	43,386	71,512	122,057	184,558	174,061	6.0%
VEHICLE	1,029,036	43,942	72,270	122,802	186,216	174,749	6.6%
FREIGHT - PEAKS	360,534	14,919	25,183	50,660	55,012	60,763	-9.5%
FREIGHT -LD	16,220	184	348	1,084	1,058	1,179	-10.3%
FREIGHT -GD	25,537	957	1,450	2,298	3,554	4,017	-11.5%
FREIGHT -DCOVE	52,027	850	2,783	5,416	6,479	8,465	-23.5%
FREIGHT -LONG	137,271	6,865	8,325	16,581	22,361	19,503	14.7%
FREIGHT -CHEB	138,529	5,210	8,274	17,496	20,080	23,264	-13.7%
FREIGHT -CLIFF	42,277	2,394	2,244	4,431	5,979	5,740	4.2%
UPFREIGHT	21,598	863	1,006	3,963	3,221	3,417	-5.7%
BIKES	56,859	861	1,254	4,366	5,421	6,011	-9.8%
MAIL	72,000	6,000	6,573	12,000	13,312	12,055	10.4%
FREIGHT	922,852	39,103	57,440	118,295	136,477	144,412	-5.5%
1. REVENUES: SCHEDULED SERVICE TOTAL	4,481,093	172,593	243,947	477,786	598,711	558,733	7.2%
2. REVENUES: GROUP TOURS AND SALES							
BAILEY ISLAND RUN	115,000	0	0	0	0	0	0.0%
BAILEY NATURE RUN	30,000	0	0	0	0	0	0.0%
MAILBOAT RUN	280,794	6,342	6,732	38,052	32,219	0	0.0%
SUNSET RUN	69,073	1,670	1,344	6,120	1,344	0	0.0%
DIAMOND PASS RUN	99,516	0	2,780	3,569	16,667	0	0.0%
MOONLIGHT RUN	4,968	0	0	0	0	0	0.0%
TOUR	599,351	8,012	10,856	47,741	50,230	0	0.0%
CHARTERS	197,500	2,250	1,000	18,500	3,450	0	0.0%
CONCERT CRUISES	27,000	0	0	0	0	0	0.0%
BAR	88,250	500	0	2,500	1,989	0	0.0%
LOBSTER BAKES	80,300	0	0	0	0	0	0.0%
CHARTER AND CATERING	393,050	2,750	1,000	21,000	5,439	0	0.0%
ADVERTISING	24,173	168	0	336	0	0	0.0%
VENDING	8,000	500	221	1,250	451	769	-41.4%
PROMOTIONAL ITEMS	9,000	550	270	1,900	1,021	859	18.9%
GROUP SALES OTHER	41,173	1,218	492	3,486	1,472	1,629	-9.6%
2. REVENUES: GROUP TOURS AND SALES TOTAL	1,033,574	11,980	12,347	72,227	57,141	1,629	3407.7%
3. REVENUES: OTHER INCOME							
OTHER MISC INCOME	11,140	1,035	391	1,990	345	467	-26.1%
INTEREST INCOME	40,250	3,950	729	7,900	1,481	2,190	-32.4%
MISC INCOME	51,390	4,985	1,121	9,890	1,826	2,657	-31.3%
3. REVENUES: OTHER INCOME TOTAL	51,390	4,985	1,121	9,890	1,826	2,657	-31.3%
TOTAL REVENUES	5,566,057	189,558	257,415	559,903	657,678	563,019	16.8%

Casco Bay Island Transit District	Budget 2022	November 2021 Budget	November 2021 Actual	YTD Budget 11/30/21	YTD Actual 11/30/21	YTD Actual 11/30/20	% Change
5. EXPENSE: PERSONNEL							
ADMINISTRATIVE	471,993	36,307	34,674	72,614	71,272	71,982	-1.0%
ADMINISTRATIVE DIRECT OFFSET	0	0	0	0	0	-6,763	-100.0%
ADMINISTRATIVE	471,993	36,307	34,674	72,614	71,272	65,219	9.3%
CAPTAINS - REGULAR	117,433	4,855	1,328	9,049	4,709	4,878	-3.5%
CAPTAINS - OVERTIME	45,501	1,800	366	3,675	528	3,049	-82.7%
UNION DECKHANDS - REGULAR	723,490	56,249	49,032	116,800	102,407	102,699	-0.3%
UNION DECKHANDS - OVERTIME	238,511	16,820	10,953	27,246	25,184	72,443	-65.2%
NONUNION DH - REGULAR	142,957	2,286	7,301	7,081	13,977	17,109	-18.3%
NONUNION DH - OVERTIME	28,565	163	169	957	2,229	10,716	-79.2%
SR CAPTAINS - REGULAR	521,092	38,312	45,521	75,166	90,640	88,295	2.7%
SR CAPTAINS - OVERTIME	76,332	6,107	5,297	9,732	15,173	51,858	-70.7%
CREWS	1,893,881	126,592	119,965	249,706	254,847	351,046	-27.4%
MAINTENANCE - REGULAR	209,381	16,176	13,854	32,218	27,753	27,278	1.7%
MAINTENANCE - OVERTIME	13,029	427	391	937	815	657	24.0%
MAINTENANCE	222,410	16,603	14,245	33,155	28,568	27,935	2.3%
SALES WAGES	131,206	8,322	6,271	18,321	13,134	11,750	11.8%
OPS AGENTS - REGULAR	368,098	26,083	29,126	57,738	59,700	53,773	11.0%
OPS AGENTS - OVERTIME	52,685	2,685	3,542	5,889	7,308	10,734	-31.9%
OPS AGENTS	420,783	28,768	32,667	63,627	67,007	64,507	3.9%
TICKET OFFICE - REGULAR	126,149	1,319	10,237	3,337	20,809	30,892	-32.6%
TICKET OFFICE - OVERTIME	10,447	0	145	78	721	845	-14.7%
TICKET OFFICE	136,596	1,319	10,383	3,415	21,530	31,736	-32.2%
OPERATIONS MANAGEMENT	181,480	13,960	13,872	27,920	27,745	25,872	7.2%
Payroll-Salaries	3,458,349	231,871	232,078	468,758	484,104	578,066	-12.3%
FICA ADMINISTRATIVE	36,104	2,777	2,520	5,554	5,178	5,431	-4.7%
FICA - OPS AGENTS	32,191	2,201	2,465	4,868	5,061	5,134	-1.4%
FICA UNION DECKHANDS	73,595	5,590	4,485	11,020	9,669	13,792	-29.9%
FICA NONUNION DECKHANDS	13,121	187	571	615	1,240	2,129	-41.8%
FICA SR CAPTAINS	58,169	3,907	3,683	7,468	7,714	10,601	-27.2%
FICA CREW	144,885	9,684	8,739	19,103	18,623	26,521	-29.8%
FICA MAINTENANCE	17,014	1,270	1,042	2,536	2,090	2,106	-0.8%
FICA - SALES	10,035	637	470	1,402	992	899	10.3%
FICA - TICKET OFFICE	10,451	101	794	261	1,651	2,428	-32.0%
FICA - OPERATIONS MANAGEMENT	13,884	1,068	1,017	2,136	2,034	1,949	4.4%
STATE UNEMPLOYMENT	0	0	0	0	0	3,811	-100.0%
Taxes	264,564	17,738	17,047	35,860	35,628	48,279	-12.3%
HEALTH INSURANCE ADMINISTRATIVE	66,612	5,200	6,283	10,400	11,283	9,898	14.0%
DENTAL INSURANCE ADMINISTRATIVE	5,551	390	370	780	740	797	-7.2%
LIFE INSURANCE ADMINISTRATIVE	465	20	18	40	36	36	0.0%
ADMINISTRATIVE	72,628	5,610	6,671	11,220	12,059	10,731	12.4%
HEALTH INSURANCE CREW	240,828	18,800	18,693	37,600	38,534	33,758	14.1%
DENTAL INSURANCE CREW	10,464	1,600	1,604	3,200	5,337	3,391	57.4%
LIFE INSURANCE CREW	782	98	87	196	174	174	0.0%
CREW	252,074	20,498	20,384	40,996	44,045	37,324	18.0%
HEALTH INSURANCE MAINTENANCE	17,294	1,350	1,249	2,700	2,498	2,406	3.8%
DENTAL INSURANCE MAINTENANCE	4,861	220	209	440	418	451	-7.3%
LIFE INSURANCE MAINTENANCE	433	12	10	24	20	20	0.0%
MAINTENANCE	22,588	1,582	1,468	3,164	2,936	2,877	2.1%
HEALTH INSURANCE SALES	16,717	1,305	1,272	2,610	2,544	2,414	5.4%
DENTAL INSURANCE SALES	4,139	42	34	84	68	73	-6.8%
LIFE INSURANCE SALES	400	4	3	8	6	6	0.0%
SALES	21,256	1,351	1,309	2,702	2,619	2,494	5.0%

Casco Bay Island Transit District	Budget 2022	November 2021 Budget	November 2021 Actual	YTD Budget 11/30/21	YTD Actual 11/30/21	YTD Actual 11/30/20	% Change
HEALTH INSURANCE OPS AGENTS	99,918	7,800	6,525	15,600	14,321	14,812	-3.3%
DENTAL INSURANCE OPS AGENTS	5,633	410	398	820	797	859	-7.2%
LIFE INSURANCE OPS AGENTS	481	24	20	48	41	41	0.0%
OPS AGENTS	106,032	8,234	6,943	16,468	15,159	15,712	-3.5%
HEALTH INSURANCE OPERATIONS MANAGER	16,973	1,325	1,272	2,650	2,544	2,414	5.4%
DENTAL INSURANCE OPERATIONS MANAGER	4,439	116	104	232	208	224	-7.1%
LIFE INSURANCE OPERATIONS MANAGER	421	9	7	18	14	14	0.0%
OPERATIONS MANAGEMENT	21,833	1,450	1,383	2,900	2,765	2,652	4.3%
Employee Insurance	496,411	38,725	38,159	77,450	79,584	71,790	-12.3%
Employee Related Expense	34,015	1,725	1,263	3,685	3,362	2,452	-12.3%
Pension	438,536	36,545	36,545	73,090	69,600	66,111	-12.3%
5. EXPENSE: PERSONNEL TOTAL	4,691,875	326,604	325,091	658,843	672,278	766,699	-12.3%
6. EXPENSE: VESSEL							
GENERAL REPAIR SHOP	7,350	3,500	1,110	3,850	1,921	39	4825.6%
GENERAL	7,350	3,500	1,110	3,850	1,921	39	4825.6%
GENERAL REPAIR MACHIGONNE	73,000	5,800	1,897	11,600	4,452	13,816	-67.8%
DRYDOCK MACHIGONNE	0	0	0	0	0	0	0.0%
DIVING MACHIGONNE	21,800	1,000	0	2,400	8,888	0	0.0%
OIL CHANGE MACHIGONNE	24,200	1,500	2,814	3,500	5,850	4,628	26.4%
MACHIGONNE	119,000	8,300	4,711	17,500	19,191	18,444	4.1%
GENERAL REPAIRS MAQUOIT	78,000	7,000	11,046	14,000	13,218	15,497	-14.7%
DRYDOCK MAQUOIT	550,000	0	0	0	0	0	0.0%
DIVING MAQUOIT	23,700	1,000	0	3,000	9,504	0	0.0%
OIL CHANGE MAQUOIT	25,300	2,200	3,236	4,600	4,913	2,772	77.2%
MAQUOIT	677,000	10,200	14,283	21,600	27,636	18,269	51.3%
GENERAL REPAIRS BAY MIST	36,500	3,000	1,942	8,000	2,696	2,233	20.7%
DRYDOCK BAY MIST	0	0	0	0	0	0	0.0%
DIVING BAY MIST	9,400	500	0	1,900	6,079	0	0.0%
OIL CHANGE BAY MIST	5,200	0	0	400	0	0	0.0%
BAY MIST	51,100	3,500	1,942	10,300	8,775	2,233	293.0%
GENERAL REPAIRS AUCO	63,000	3,500	1,509	8,500	5,219	26,975	-80.7%
DRYDOCK AUCO	50,000	0	0	0	0	0	0.0%
DIVING AUCO	23,300	1,500	0	4,600	9,970	0	0.0%
OIL CHANGE AUCO	20,000	2,000	2,522	3,000	2,522	1,206	109.1%
AUCOCISCO	156,300	7,000	4,031	16,100	17,711	28,181	-37.2%
GENERAL REPAIRS WABANAKI	39,200	4,400	20,950	8,800	25,160	21,761	15.6%
DRYDOCK WABANAKI	390,000	0	67,099	0	67,099	0	0.0%
DIVING WABANAKI	20,800	0	0	3,000	10,004	0	0.0%
OIL CHANGE WABANAKI	24,000	2,000	0	4,000	2,906	4,968	-41.5%
WABANAKI	474,000	6,400	88,049	15,800	105,169	26,729	293.5%
Repairs	1,484,750	38,900	114,125	85,150	180,402	93,894	44.1%
FUEL MACHIGONNE	162,969	13,005	14,444	30,357	26,312	34,651	-24.1%
FUEL MAQUOIT	170,216	16,004	16,214	34,431	28,107	28,755	-2.3%
FUEL BAY MIST	17,043	857	1,145	1,732	1,145	0	0.0%
FUEL AUCOCISCO	102,039	12,273	19,893	16,988	23,685	6,201	282.0%
FUEL WABANAKI	99,602	0	0	9,055	14,117	23,073	-38.8%
Fuel	551,869	42,139	51,696	92,563	93,367	92,680	44.1%
Insurance Boat	79,200	6,600	6,260	13,200	12,519	12,092	44.1%
6. EXPENSE: VESSEL TOTAL	2,115,819	87,639	172,081	190,913	286,287	198,666	44.1%

Casco Bay Island Transit District	Budget 2022	November 2021 Budget	November 2021 Actual	YTD Budget 11/30/21	YTD Actual 11/30/21	YTD Actual 11/30/20	% Change
7. EXPENSE: OPERATIONS							
Telephone	22,440	1,870	2,214	3,740	4,270	4,113	-3.8%
Mail Agent	11,220	935	935	1,870	1,870	1,870	-3.8%
DATA PROCESSING	253,192	12,496	24,875	38,227	35,649	39,778	-10.4%
TICKET FORMS & SUPPLIES	12,700	0	0	0	0	0	0.0%
MEETING MEALS	1,350	0	0	0	120	0	0.0%
OFFICE SUPPLIES	15,900	1,200	864	1,800	3,317	1,675	98.0%
ARMORED CAR	5,280	440	396	880	789	658	19.9%
CREW MEALS	9,695	950	0	1,220	532	4,340	-87.7%
TWIC CARDS	1,500	250	125	250	626	0	0.0%
MISC	2,462	200	745	462	6,754	4,770	41.6%
EMPLOYEE RECOGNITION	14,300	100	11,400	2,600	11,496	-88	-13163.6%
INTERNET	7,500	625	799	1,250	1,598	910	75.6%
Office	323,879	16,261	39,204	46,689	60,882	52,042	-3.8%
Credit Card	141,496	9,120	13,081	27,520	33,675	27,416	-3.8%
Postage	3,360	280	618	560	902	505	-3.8%
Travel	16,500	2,800	64	5,000	64	0	-3.8%
EMPLOYEE INJURIES	9,450	3,500	0	4,500	497	984	-49.5%
EMPLOYEE LOST TIME	500	250	0	250	0	0	0.0%
FREIGHT DAMAGES	7,300	250	40	700	490	375	30.7%
CUSTOMER INJURIES	1,200	0	0	0	0	0	0.0%
DAMAGES CARS	4,500	0	0	2,000	1,231	112	999.1%
Damages	22,950	4,000	40	7,450	2,218	1,470	-3.8%
Other Insurances	29,880	2,490	3,933	4,980	7,866	5,298	-3.8%
VAN	1,200	100	106	200	230	422	-45.5%
OVER/SHORT	0	0	-100	0	-82	185	-144.3%
METRO PASSES	4,180	435	0	790	0	0	0.0%
LOST PASSES	0	0	-4	0	-16	-4	300.0%
NEWSPAPER ADS	1,000	200	0	200	669	0	0.0%
WATER TAXI	1,600	200	270	500	350	80	337.5%
REGGAE SECURITY	8,501	0	0	0	0	0	0.0%
Miscellaneous	16,481	935	272	1,690	1,150	683	-3.8%
Barge Subcontracting	8,500	500	0	1,000	0	28,000	-3.8%
LEGAL	55,200	4,600	130	9,200	1,734	2,493	-30.4%
HUMAN PERFORMANCE	14,980	1,070	1,050	2,675	2,100	0	0.0%
PHYSICALS	4,800	0	117	0	66	168	-60.7%
DRUG TESTS	5,900	250	-51	500	0	731	-100.0%
ACCOUNTANTS	13,800	0	0	0	0	0	0.0%
OTHER	4,000	0	0	0	0	0	0.0%
ELECTION EXPENSE	800	800	0	800	0	0	0.0%
Professional	99,480	6,720	1,246	13,175	3,900	3,392	-3.8%
Dues & PUC	20,975	175	0	175	806	1,498	-3.8%
Uniforms	23,685	12,650	6,117	13,150	6,943	2,498	-3.8%
Boots	12,480	800	137	1,750	287	1,127	-3.8%
Training	12,550	1,850	0	2,300	200	0	-3.8%
7. EXPENSE: OPERATIONS TOTAL	765,876	61,386	67,862	131,049	125,033	129,911	-3.8%
8. EXPENSE: TERMINAL							
UTILITIES TERMINAL	35,424	3,264	2,298	6,115	4,407	4,506	-2.2%
WATER	8,248	400	1,611	1,072	2,955	1,638	80.4%
TERMINAL HEAT	18,527	1,296	205	1,652	413	1,461	-71.7%
UTILITIES PEAKS	1,800	150	112	300	241	236	2.1%
Utilities	63,999	5,110	4,226	9,139	8,016	7,841	-2.9%

Casco Bay Island Transit District	Budget 2022	November 2021 Budget	November 2021 Actual	YTD Budget 11/30/21	YTD Actual 11/30/21	YTD Actual 11/30/20	% Change
JANITORIAL TERMINAL ROUTINE	91,200	7,600	7,600	15,200	15,328	13,292	15.3%
JANITORIAL PEAKS	4,740	300	0	780	0	5,355	-100.0%
Janitorial	95,940	7,900	7,600	15,980	15,328	18,647	-2.9%
Rent	35,940	2,995	2,995	5,990	7,324	5,991	-2.9%
FIRE ALARM	6,000	500	0	1,000	5,086	615	727.0%
PEST CONTROL	1,104	92	92	184	184	174	5.7%
TRASH	11,245	785	782	1,935	1,604	845	89.8%
PAPER & CLEANING SUPPLIES	36,733	2,000	3,901	6,083	7,215	5,706	26.4%
FREIGHT EQUIPMENT AND SUPPLIES	5,200	500	5,069	500	7,684	126	5998.4%
RUG RENTAL	5,435	450	268	900	482	166	190.4%
MISC	48,440	6,800	3,392	8,000	5,016	26,431	-81.0%
PROPANE	9,630	770	600	1,370	1,460	1,166	25.2%
FORKLIFT	1,000	0	0	0	5,033	0	0.0%
POWER WASHING	4,400	0	0	600	0	0	0.0%
PIER & TRANSFER BRIDGE	8,000	0	1,332	1,600	1,332	0	0.0%
PLOWING TERMINAL	3,000	0	0	0	0	0	0.0%
PLOWING PEAKS	16,200	0	0	0	0	0	0.0%
Maintenance	156,387	11,897	15,436	22,172	35,096	35,229	-2.9%
8. EXPENSE: TERMINAL TOTAL	352,266	27,902	30,258	53,281	65,763	67,708	-2.9%
9. EXPENSE: SALES							
BROCHURE	5,000	0	0	0	0	0	0.0%
SAILING SCHEDULE	9,800	0	0	1,500	1,461	124	1078.2%
PUBLICATIONS	6,060	750	0	1,500	1,072	0	0.0%
ADVERTISING	3,000	0	0	0	0	1,594	-100.0%
OTHER ADVERTISING EXPENSE	6,955	250	0	250	0	0	0.0%
ONLINE ADVERTISING	14,400	1,200	246	2,400	493	651	-24.3%
RADIO ADS	29,000	0	0	0	0	0	0.0%
WEBSITE	28,800	2,400	0	4,800	0	600	-100.0%
KIOSK	6,000	500	0	500	0	0	0.0%
MARKETING	81,000	5,500	6,668	11,000	6,668	10,745	-37.9%
SPECIAL EVENT CRUISES	0	0	0	0	0	0	0.0%
Advertising	190,015	10,600	6,915	21,950	9,694	13,714	-23.2%
BEVERAGES	28,900	250	0	1,000	576	0	0.0%
OTHER BAR EXPENSE	17,930	0	43	2,000	43	7	514.3%
SECURITY	14,675	500	0	1,625	232	0	0.0%
BAR EXPENSE	61,505	750	43	4,625	851	7	12057.1%
LOBSTER BAKES	69,300	0	0	13,200	0	0	0.0%
CONCERT CRUISES	15,750	0	0	0	0	0	0.0%
Catering	146,555	750	43	17,825	851	7	-23.2%
9. EXPENSE: SALES TOTAL	336,570	11,350	6,957	39,775	10,545	13,722	-23.2%
TOTAL EXPENSE	8,262,406	514,881	602,249	1,073,861	1,159,907	1,176,705	-1.4%
NET OPER INCOME (LOSS) TOTAL	-2,696,349	-325,323	-344,834	-513,958	-502,229	-613,685	-18.2%
FTA PM REVENUE	0	0	0	0	0	0	0.0%
FTA RURAL REVENUE	516,862	73,198	86,551	115,484	126,057	136,856	-7.9%
FTA OPERATING REVENUE	2,110,410	219,595	258,283	346,453	376,172	408,386	-7.9%
STATE SUBSIDY REVENUE	68,444	32,533	0	51,326	0	68,444	-100.0%
TOTAL	2,695,716	325,326	344,834	513,263	502,229	613,686	-18.2%
SURPLUS/LOSS TOTAL	-633	3	0	-695	0	1	-100.0%

Note: CBITD monthly Income Statements exclude General Fund balance deposit and depreciation expense for the current fiscal year. CBITD estimates these line items for the September statement only, and reports them on the Audited Financial Statement, which can be found at www.cascobaylines.com



Casco Bay Island Transit District

Cash Balances

As of: November 30, 2021

Gorham Savings Bank Operating Account			
November 1 - Opening Balance	\$	184,000.00	
	<i>Deposits/Credits</i>		\$ 1,752,539.76
	<i>Withdrawals/Debits</i>		\$ 1,752,539.76
November 30 - Closing Balance			\$ 184,000.00
Gorham Savings Demand Deposit Account			
November 1 - Opening Balance	\$	2,422,479.54	
	<i>Interest Earned</i>		\$ 344.96
November 30 - Closing Balance			\$ 2,301,689.47
Gorham Savings Restricted Funds			
November 1 - Opening Balance	\$	1,781,512.19	
	<i>Interest Earned</i>		\$ 384.42
November 30 - Closing Balance			\$ 1,781,896.61
Total Cash On Hand			
November 1 - Opening Balance	\$	4,387,991.73	
November 30 - Closing Balance			\$ 4,267,586.08
Net Change in Cash Position - Month of November			-120,405.65

Maintenance Fund Balance	\$	346,582.57
Capital Reserve Fund Balance	\$	1,162,447.92
Garage Maintenance Fund Balance	\$	320,793.70
Garage Excess Fund Balance	\$	142,645.00



Casco Bay Island Transit District

Grant Balances

As of: November 30, 2021

Grant Number	Desc.	Total (incl Local Share)
ME2019-005	New Vessel Const.	\$ 9,677,479
ME2016-14	Electronics	\$ 212,129
ME2016-18	Phase 2	\$ 5,471,287
ME2021-006	Phase 3	\$ 2,372,334
ME2021-007	Propulsion	\$ 4,000,000
ME2018-014	PM	\$ -
	Security	\$ 180,300
	PM Hardware Software	\$ 5,436
	Ticketing Software	\$ 60,100
	Planning	\$ 128,999
ME2018-003	PM	\$ -
	Furniture	\$ 62,626
40775-020787.66	Rural Operating Asst.	\$ -
42329	VW Funds	\$ 1,224,840
ME2020-005	COVID-19 Rural	\$ 456,051
ME2020-016	COVID-19 Urban	\$ 1,884,460
Grant Balance Total		\$ 25,743,969

Casco Bay Island Transit District
Fund Balance Detail
November-21

