



Casco Bay Lines  
PO Box 4656  
Portland, ME 04112  
(207)774-7871

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November 28, 2016

Ms. Margaret Griffin  
Federal Transit Administration  
Region 1  
Kendall Square, 55 Broadway, Suite 920  
Cambridge, MA 02142

Re: CBITD DBE Program for FFY2017, 2018 and 2019

Dear Ms. Griffin,

The Casco Bay Island Transit District (CBITD) respectfully submits the following information regarding the District's three-year DBE Program for Federal Fiscal Years (FFY) 2017, 2018 and 2019:

1. Pursuant to 49 CFR 26 CBITD has researched upcoming potential contracts for our agency and Federal Transit Administration (FTA) recipients, analyzed census data, reviewed bidding and DBE attainment history and has determined that the overall annual Disadvantaged Business Enterprise (DBE) attainment on FTA funded projects for FFY2017-19 (October 1, 2016 through September 30, 2019) is 1.9%
2. CBITD will likely use approximately \$10,614,408 in FTA Capital Preventive Maintenance, Urban (5307), State of Good Repair (5337), Rural (5311), STP (5307) and Ferry Boat Discretionary Funds (5307(h)) on FTA assisted contracts during FFY2017, 2018 and 2019. It is anticipated that funding will remain flat during this three year period and therefore, the District's DBE Program base figure is projected to remain unchanged. Should a decrease or increase in funding occur, the District will recalculate and amend its DBE goal.
3. CBITD will use a race/gender neutral means of facilitating DBE participation.

### **Method of Establishing Goal**

#### **Market Area:**

The market area was determined to be statewide, since the substantial majority of the contractors and subcontractors with which CBITD does business are located in Maine, and the entire state is the area in which CBITD spends the substantial majority of its contracting dollars. This also matches what MaineDOT does as it relates to providing their DBE Directory.

#### **Relevant Available Evidence:**



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CBITD examined available evidence within its geographic market area to determine which sources should be considered for inclusion in CBITD's FFY2017-19 Goal Methodology and used:

- Census Bureau's County Business Pattern (CBP) Database for the entire state. CBITD utilized those NAICS codes that might be expected to provide prime contract or sub-contract services.
- MaineDOT DBE Directory developed following the Unified Certification Program. CBITD used the most current published directory as found on the MaineDOT web site at the time this determination was developed.
- CBITD does not maintain a bidders list and did not use one for this determination.
- CBITD did not consider the goals of other US DOT recipients as many of our activities are unique to CBITD's operation and may not apply.

#### **Steps Taken for the Determination:**

##### **Step One:**

Base figures were calculated for contract budgeted for award to determine the relative availability of DBE's in specific areas of expertise using the North American Industrial Classification System (NAICS) codes for CBITD's market area. The NAICS codes, descriptions and values are identified in Table 1.

##### **Step Two:**

**Number of DBE's:** To determine the number of DBE's in the CBITD market area staff searched the MaineDOT DBE Directory database for ready, willing and able DBE's certified in the NAICS codes identified for the prime contracts and sub-contracts. The number of DBE's identified is displayed in Table 2 below.

**Number of All Firms:** To determine the number of all firms (DBE's and non-DBE's) in the CBITD market area, staff searched the Census Bureau's County Business Patterns database for all firms specializing in the NAICS codes identified for the prime contracts and sub-contracts. The number of all firms identified is displayed in Table 2 below.

**Relative Availability of DBE Firms:** Relative availability is derived by dividing the number of DBE's available in a particular NAICS code by the total number of all firms in that NAICS code. The results are displayed in Table 2 below.

**Adjusting Base Figures:** CBITD examined the nature of the contracts budgeted for award to determine whether any further refinements were warranted. Staff determined adjustments were warranted on five (5) of the NAICS codes chosen based on how specialized the work was or the possibility that an identified DBE



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may not have been included under the chosen code, but was able to perform the work. They are as follows:

- CODE 561990 – Dive Services – Hull Inspections: This code covers a variety of services to include diving services. When considering the firms available, none identified the ability to perform any type of diving services. There were three (3) firms listed with this code and with none able to perform diving services, this was adjusted to zero (0) for the tables.
- CODE 453998 – Janitorial Supplies: When reviewing the DBE database of available firms, several indicated that they provide this type of service, but did not have this NAICS code identified as part of their services. They have been included based on their ability to perform the services required within this NAICS code. By code there were zero (0) firms listed, but by ability, six (6) firms were added to the tables.
- CODE 561621 – Security Systems services: When reviewing the DBE database of available firms, several indicated that they provide this type of service, but did not have this NAICS code identified as part of their services. They have been included based on their ability to perform the services required within this NAICS code. By code there were zero (0) firms listed, but by ability, two (2) firms were added to the tables.
- CODE 237990 – Heavy – Marine: This code covers a variety of heavy civil construction related services to include marine work. When considering the firms available, none identified the ability to perform any type of marine construction services. There were seven (7) firms listed with this code and with none able to perform marine construction services, this was adjusted to zero (0) for the tables.
- CODE 541 – Naval Architects: There was no particular code for naval architecture. That service appears to be lumped in with all other types of architecture under code 541310. Since the value of that work was significant it was broken out from the building and landscape types of architecture. There are architects available and listed to do building type work, but there are no listed DBE naval architects available. Building architecture is covered using the 6 digit NAICS code and the naval architecture is covered using only a 3 digit code for the service area.

### **Step Three:**

To determine the weighted base figure for each area identified, staff took the weight of the funds available from Table 1 and multiplied it against the Relative Availability number in Table 2 to arrive at the Weighted Base Figure in Table 3. The sum of all of the figures determined the overall attainment goal for FFY2017-19.

### **Public Participation:**



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CBITD publishes its DBE Goal in the Portland Press Herald, a newspaper of wide circulation and posts it on CBITD's website at [www.cascobaylines.com](http://www.cascobaylines.com) .

**Race Neutral and Conscious Measures:**

CBITD's DBE goal of 1.9% will be achieved through race/gender-neutral means. We do not anticipate using contract goals for specific projects due to the limited capacity of Maine's DBE community for our particular operation and needs. CBITD will monitor our progress and if it appears we will not achieve our goals, we will take additional steps to do so which may include targeted contract goals (if warranted) or re-evaluating our current goals and how they were arrived at. Based on information available through MaineDOT, we believe there is no evidence of discrimination on the part of transit contractors and that there has been continuing good faith effort made to meet current goals.

**Conclusion:**

The proposed overall DBE goal for FTA assisted contracts for FFY2017 through 2019 is 1.9% with DBE participation sought on a race/gender neutral basis.

I trust this provides adequate information for our goal development and should you have any questions regarding the above or the program in general, please do not hesitate to contact me.

Sincerely,

Capt. Roki S. Horr  
Asst. Operations Manager  
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	NAICS Code	Project	Amount of DOT funds on project:	% of total DOT funds (weight)
1)	561990	Dive Services- hull inspections	\$25,000.00	0.0071
2)	423860	Marine supply	\$157,500.00	0.0445
3)	335911	Marine batteries	\$5,250.00	0.0015
4)	332510	Marine hardware	\$105,000.00	0.0297
5)	453998	Janitorial supplies	\$52,500.00	0.0148
6)	238220	Plumbing, heating and air conditioning services	\$10,500.00	0.0030
7)	332510	Door devices and hardware	\$10,500.00	0.0030
8)	488310	Marine terminal maintenance services	\$72,702.00	0.0205
9)	561621	Security system services	\$3,150.00	0.0009
10)	336611	Shipyards services	\$731,688.00	0.2068
11)	488390	Other water transportation services not otherwise classified	\$382,737.00	0.1082
12)	236/237/238	Commercial/Heavy/Civil Construction		
13	236220	Commercial Bldg - GC	\$204,000.00	0.0577
14	237310	Highway/Site - Paving	\$54,000.00	0.0153
15	237990	Heavy - Marine	\$468,000.00	0.1323
16	238120	Structural Steel	\$66,000.00	0.0187
17	238130	Framing	\$24,000.00	0.0068
18	238140	Masonry	\$36,000.00	0.0102
19	238150	Glass	\$36,000.00	0.0102
20	238160	Roofing	\$54,000.00	0.0153
21	238170	Siding	\$24,000.00	0.0068
22	238190	Foundation	\$12,000.00	0.0034
23	238210	Electrical	\$36,000.00	0.0102
24	238220	HVAC	\$48,000.00	0.0136
25	238310	Drywall	\$12,000.00	0.0034
26	238320	Paint - Wall Covering	\$3,000.00	0.0008
27	238330	Flooring	\$12,000.00	0.0034
28	238340	Tile	\$3,000.00	0.0008
29	238350	Finishes	\$12,000.00	0.0034
30	238910	Site Work/Preparation	\$96,000.00	0.0271
31	5413	Architectural, engineering and related services		
32	541310	Architects	\$28,500.00	0.0081
33	541	Naval Architects	\$240,000.00	0.0678
34	541330	Engineers	\$93,750.00	0.0265
35	541350	Building Inspection	\$40,000.00	0.0113
36	541370	Survey/Mapping	\$3,000.00	0.0008
37	541380	Testing	\$3,000.00	0.0008
38	541620	Environmental Engineering	\$5,250.00	0.0015
39	541690	Other Engineering - Geotechnical	\$16,500.00	0.0047
40	511210	Applications software	\$179,609.00	0.0508
41	54151	Computer systems design and related services	\$172,000.00	0.0486
	<b>Total Annual FTA-Assisted Contract Funds</b>		<b>\$3,538,136.00</b>	<b>1</b>

TABLE 2



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	NAICS Code	Project	Number of DBEs available to perform this work	Number of all firms available (including DBEs)	Relative Availability
1)	561990	Dive Services- hull inspections	0	121	0.0000
2)	423860	Marine supply	0	135	0.0000
3)	335911	Marine batteries	1	10	0.1000
4)	332510	Marine hardware	0	5	0.0000
5)	453998	Janitorial supplies	6	110	0.0545
6)	238220	Plumbing, heating and air conditioning services	6	597	0.0101
7)	332510	Door devices and hardware	0	5	0.0000
8)	488310	Marine terminal maintenance services	0	3	0.0000
9)	561621	Security system services	2	27	0.0741
10)	336611	Shipyard services	0	12	0.0000
11)	488390	Other water transportation services not otherwise classified	0	8	0.0000
12)	236/237/238	Commercial/Heavy/Civil Construction			
13	236220	Commercial Bldg - GC	3	140	0.0214
14	237310	Highway/Site - Paving	4	80	0.0500
15	237990	Heavy - Marine	0	40	0.0000
16	238120	Structural Steel	3	11	0.2727
17	238130	Framing	0	58	0.0000
18	238140	Masonry	4	146	0.0274
19	238150	Glass	1	17	0.0588
20	238160	Roofing	0	90	0.0000
21	238170	Siding	0	26	0.0000
22	238190	Foundation	1	26	0.0385
23	238210	Electrical	6	529	0.0113
24	238220	HVAC	3	591	0.0051
25	238310	Drywall	1	126	0.0079
26	238320	Paint - Wall Covering	3	230	0.0130
27	238330	Flooring	1	79	0.0127
28	238340	Tile	0	22	0.0000
29	238350	Finishes	0	190	0.0000
30	238910	Site Work/Preparation	10	491	0.0204
31	5413	Architectural, engineering and related services			
32	541310	Architects	3	114	0.0263
33	541	Naval Architects	0	20	0.0000
34	541330	Engineers	20	308	0.0649
35	541350	Building Inspection	2	26	0.0769
36	541370	Survey/Mapping	5	99	0.0505
37	541380	Testing	2	38	0.0526
38	541620	Environmental Engineering	11	75	0.1467
39	541690	Other Engineering - Geotechnical	2	70	0.0286
40	511210	Applications software	2	31	0.0645
41	54151	Computer systems design and related services	18	408	0.0441
		<b>Combined Totals</b>	<b>120</b>	<b>5114</b>	<b>0.0235</b>
					<i>Overall availability of DBEs</i>

TABLE 3



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	NAICS Code	Project	Weight	x	Availability	Weighted Base Figure
1)	561990	Dive Services- hull inspections	0.00707	x	0.00000	0.0000
2)	423860	Marine supply	0.04451	x	0.00000	0.0000
3)	335911	Marine batteries	0.00148	x	0.10000	0.0001
4)	332510	Marine hardware	0.02968	x	0.00000	0.0000
5)	453998	Janitorial supplies	0.01484	x	0.05455	0.0008
6)	238220	Plumbing, heating and air conditioning services	0.00297	x	0.01005	0.0000
7)	332510	Door devices and hardware	0.00297	x	0.00000	0.0000
8)	488310	Marine terminal maintenance services	0.02055	x	0.00000	0.0000
9)	561621	Security system services	0.00089	x	0.07407	0.0001
10)	336611	Shipyards services	0.20680	x	0.00000	0.0000
11)	488390	Other water transportation services not otherwise classified	0.10817	x	0.00000	0.0000
12)	236/237/238	Commercial/Heavy/Civil Construction				
13	236220	Commercial Bldg - GC	0.05766	x	0.02143	0.0012
14	237310	Highway/Site - Paving	0.01526	x	0.05000	0.0008
15	237990	Heavy - Marine	0.13227	x	0.00000	0.0000
16	238120	Structural Steel	0.01865	x	0.27273	0.0051
17	238130	Framing	0.00678	x	0.00000	0.0000
18	238140	Masonry	0.01017	x	0.02740	0.0003
19	238150	Glass	0.01017	x	0.05882	0.0006
20	238160	Roofing	0.01526	x	0.00000	0.0000
21	238170	Siding	0.00678	x	0.00000	0.0000
22	238190	Foundation	0.00339	x	0.03846	0.0001
23	238210	Electrical	0.01017	x	0.01134	0.0001
24	238220	HVAC	0.01357	x	0.00508	0.0001
25	238310	Drywall	0.00339	x	0.00794	0.0000
26	238320	Paint - Wall Covering	0.00085	x	0.01304	0.0000
27	238330	Flooring	0.00339	x	0.01266	0.0000
28	238340	Tile	0.00085	x	0.00000	0.0000
29	238350	Finishes	0.00339	x	0.00000	0.0000
30	238910	Site Work/Preparation	0.02713	x	0.02037	0.0006
31	5413	Architectural, engineering and related services				
32	541310	Architects	0.00806	x	0.02632	0.0002
33	541	Naval Architects	0.06783	x	0.00000	0.0000
34	541330	Engineers	0.02650	x	0.06494	0.0017
35	541350	Building Inspection	0.01131	x	0.07692	0.0009
36	541370	Survey/Mapping	0.00085	x	0.05051	0.0000
37	541380	Testing	0.00085	x	0.05263	0.0000
38	541620	Environmental Engineering	0.00148	x	0.14667	0.0002
39	541690	Other Engineering - Geotechnical	0.00466	x	0.02857	0.0001
40	511210	Applications software	0.05076	x	0.06452	0.0033
41	54151	Computer systems design and related services	0.04861	x	0.04412	0.0021
					<b>Total</b>	0.0186
					<b>Expressed as a % (*100)</b>	1.86%
					<b>Rounded, Weighted Base Figure:</b>	1.9%
					<b>Total DBE Expenditure</b>	\$65,899.18