Casco Bay Lines Serving the Islands of Casco Bay from Portland, Maine

Casco Bay Island Transit District
Board of Directors Meeting Agenda*
Thursday, February 23, 2023 at 7:45 AM

This meeting will be an **in-person** meeting with remote participation option available
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 December 22, 2022 and January 26, 2023 meeting minutes
3. Business
    a. Adoption of Federal Transit Administration's (FTA) FFY2023 Certifications and Assurances
    b. Consideration and action authorizing staff to proceed with an RFP and selection of a naval architectural firm for the Preliminary design of the Maquoit replacement vessel in accordance with the process as presented.
    c. Consideration and action to form a Vessel Advisory ad hoc committee.
    d. Consideration and action to delegate responsibility to the Finance Committee to request proposals for and select an independent audit firm to perform a full financial audit of CBL financials (TBD).
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 7:45 AM unless indicated otherwise):

i.	Executive Committee:	Thursday, March 2, 2023
ii.	Planning Retreat:	Saturday, March 11, 2023
iii.	Operations Committee:	Thursday, March 16, 2023
iv.	Finance Committee:	Wednesday, March 22, 2023
v.	Board of Directors:	Thursday, March 23, 2023
vi.	Personnel Committee:	No meeting planned
vii.	Sales & Marketing Committee:	No meeting planned
viii.	Government Relations Committee:	No meeting planned
ix.	Pension Committee:	No meeting planned

7. Public comment on any items not on the agenda
8. Directors comment on any items not on the agenda
9. 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 Lines Serving the Islands of Casco Bay from Portland, Maine

CASCO BAY ISLAND TRANSIT DISTRICT
MINUTES OF THE BOARD OF DIRECTORS MEETING OF
December 22, 2022
In Person/Video Conference/Phone

Attendance

	Webex	In Person	Phone	Absent
Directors:				
Crowley (Pres)		X		
Wentworth (1st VP)		X		
Donovan (2nd VP)		X		
Hoffman (Treasurer)		X		
Luedke (Clerk)		X		
Cohen (Ast. Clk)		X		
Anderson	X			
Higgins			X	
Lavanture			X	
Murray				X
Pizey	X			
Radis	X (left @ 8:15)			
Staff:				
Berg		X		
Bishop				
Gildart				
Mavodones		X		
Pottle		X		
Public:				
F. Somers	X (dropped)			
B. Coughlin	X			
L. Heineman	X			
P. Flynn	X (late)			
C. Chess	X			
Guests:				

DRAFT

1. **Call to Order:**
   A. *The Board meeting was called to order at 7:45 AM by President Crowley*
   B. *It was noted that the meeting was being recorded*
   C. *President Crowley asked Berg to do a roll call of who was attending the meeting, which he did.*
2. **Approval of the November 17, 2022 meeting minutes**
   A. *Wentworth made a motion to approve the November 17, 2022 meeting minutes; Cohen seconded*
   B. *President Crowley opened the floor to comments. There were no comments.*
   C. *President Crowley called for a roll call vote*
   D. *Berg did a roll call vote. The motion passed unanimously (10-0, Wentworth abstained since she was not at the meeting)*
3. **Business**
   A. Consideration and action on FY 2023 Long Range Capital Funding Plan including a report from the Finance Committee
      a) Berg reviewed the history of the agenda item. Has been on the Board agenda two previous times. Board previously approved the maintenance part of the plan. The other capital projects in the plan were postponed for further consideration by the Board
      b) Hoffman reminded everyone that Finance Committee took the plan under consideration. The question she has is about process. The way CBL has approved capital projects is different than what she is used to. CBL plan is primarily authorization to search for the funding. Finding the funding takes time. She would like the Finance Committee to standardize CBL operating, balance sheet and capital plan before presenting to the Board. There has been a practice of implicitly approving the projects when approving the funding plan. She feels that before a project gets a final approval it should be reviewed more thoroughly by the Board. She understands the plan as presented is approval to seek funding but she doesn't want that to get in the way of a detailed project review by the Board before funding is spent.
      c) President Crowley opened the floor to the public
         i) There were no public comments
      d) President Crowley opened the floor to the Board
         i) Cohen agreed with Hoffman
         ii) Lavanture agreed with Hoffman.
      e) President Crowley proposed moving forward with approval to seek the funding but not spend it until further project review by the Board.
      f) Berg clarified that the practice in the past was not one of deception it was the way business was done and if the Board wants to change the process just let staff know.
      g) President Crowley agreed but felt before the current staff's tenure that there were deceptive practices and wanted to ensure that didn't repeat itself
      h) Donovan views this as continuous improvement by the Board
      i) Wentworth reinforced that the new process would improve on the recent practices by the Board and staff.
      j) Cohen agreed
      k) Anderson requested clarification. The Board can't direct staff to go find a million dollars then have the Board decide if it wants to spend it or not. The Board needs to say find the million dollars with the intent to spend it on the project. If it changes it will have to go back to the Board for a review.
      l) President Crowley agreed but have not been given the information yet. Might have to move on for now before the Board gets that information
      m) Berg agreed with Anderson. Suggested putting a dollar threshold on it and have a project review meeting once the funding is received for those projects that exceed the threshold. This way CBL can say with a straight face that the intent is to execute the project. The threshold that had been thrown around was $1M.
      n) Hoffman didn't disagree.

DRAFT

o) *Luedke agreed with Anderson but wants to better understand what the problem is that is trying to be resolved. Worried that the Board will get too much in the detail. Supports the dollar cap.*
p) *Hoffman clarified that the maintenance part of the plan is not part of this discussion. She is prepared to approve the seeking of funds but moving forward with a project would be subject to a detailed plan for the expense.*
q) *Luedke didn't understand limiting the staff from seeking any funding. Can't come up with details of a project without the funding.*
r) *Donovan asked Berg if this would restrict him from doing his job*
s) *Berg replied yes.*
t) *Donavan asked Berg what he needs from the Board.*
u) *Berg replied that it has worked very successfully in the past. Allowed CBL to be agile and flexible with everchanging funding landscape. There of course would be and have been reviews for larger projects like a new vessel. Various checkpoints along the way like Preliminary design reviews. These are necessary. Last 12 years extremely successful in getting funds for CBL, over $60M.*
v) *Donovan wanted to be clear that Board just wants to be involved in the spending aspect*
w) *Luedke clarified that it is in the spending aspect not the seeking aspect.*
x) *Wentworth asked for clarification of what is being asked in a proposed motion.*
y) *Luedke asked Hoffman for a concise motion.*
z) *Hoffman reported she was prepared to vote in favor of the motion to move forward. Don't have a clear consensus today on how to move forward but she hopes there is a consensus that the Board wants to work together to improve processes which is important.*
aa) *President Crowley asked if there was a motion*
bb) *Donovan made a motion to approve the FY2023 long range capital as presented; Wentworth seconded*
cc) *President Crowley opened the floor to public comments.*
    i) *Chess sees the distinction between raising the money and the details of the plan. Feels there should be input into the plan. In the future there should be a discussion before something is built.*
    ii) *Berg pointed out the 800-pound gorilla in the room is vessels. Reminded everyone that even though not everyone agreed with the result there was a very detailed process for the new peaks vessel with public input and check ins with the Board. The same will be done with the Down Bay vessel. To start that process, need to hire a naval architect to listen to feedback to come up with a preliminary design. We are ready to start that process right now. All the statements about this saying this hasn't been done in the past are incorrect.*
dd) *President Crowley opened the floor to Board comments. There were no comments.*
ee) *President Crowley called for a roll call vote*
ff) *The motion passed (8-2, Cohen and Lavanture voted against, and Radis had left)*

B. Consideration and action authorizing the Board President and General Manager to cosign and send a letter on behalf of the Board regarding significant concerns about drug use and inappropriate behavior from the public at the District's facility.
a) *Luedke gave an introduction. Several Down Bay parents have complained about drug use and inappropriate behavior around their school children at the terminal waiting area and in the bathrooms. He FOAA'd the dispatch call history. 254 calls for service to the police department. He would like the Board to send a letter requesting police presence at the terminal when school children are present.*
b) *President Crowley asked if there is a motion*
c) *Luedke made a motion to authorize the Board President, to sign on behalf of the Board, and along with the General Manager to send a letter to the City expressing concern about the safety at the terminal and requesting an increase of police service to Casco Bay Lines during the morning and afternoon commute hours. Hoffman seconded.*

d) Hoffman appreciated the work and discussion that occurred during the Operations Committee meeting and would have suggested sending the data Luedke received to the Board for consideration.
e) President Crowley opened the floor to public comments
i) There were no public comments
f) President Crowley opened the floor to Board comments
i) Donovan had two things. 1) At the Ops meeting staff shared the details of their efforts to try and get more security presence onsite and 2) Once the letter is drafted Long Island would be willing to sign the letter
ii) Anderson agreed with Donovan that this letter is not the only thing that is being done, staff is working other angles. He felt it would be very helpful to have the islands of Chebeague and Long Island co-sign.
iii) President Crowley added that the data sent to Luedke was only for police calls and did not include fire department calls. So, the actual number of calls to the terminal was higher.
g) President Crowley called for a roll call vote
h) The motion passed unanimously (10-0, Radis had left)

4. **Workshops**
A. There were no workshops
5. **General Information Reports**
A. Financial Report
a) *Hoffman reported that a Finance Committee was conducted the day before. She opened with a presentation on priorities:*
i) Complete financial Audit of FY 2022 financials by new independent audit firm with no material misstatements, urgently
ii) Provide input to GM on hiring high caliber Finance lead, ASAP
iii) Oversee staff achievement of FY 2023 operating budget approved by the board on 9/22/22
iv) Revenues $5.8mm / Expenses $10.0mm
v) Operating loss -$4.2mm offset by Grant revenue $4.2mm
vi) Draft FY 2024 budget to Finance Comm with models for 3 options for reducing the operating loss by $1-2mm, by end July 2023
vii) Improve timeliness of monthly financial statements, deliver to Finance Comm by end of each subsequent month
b) *A draft RFP was sent to Finance Committee and is being reviewed. Authorized staff to proceed with compliance audit with long term auditor but will compete it for 2023 audit. There was an update on the search for the Director of Finance/HR. Reviewed FY2022 year end financials. Also want to work on reducing the operating deficit for future years.*
B. **Committee Reports**
a) *Finance Committee report was given as part of the financial report.*
b) Mavodones was asked to give a report on the Operations Committee meeting.. Two items on the agenda 1) Terminal safety which was discussed earlier in this meeting and 2) Presentation by Revision energy on solar options. Not a proposal more of an overview of what they do. There was a discussion on energy usage and electrical rates. Only action item was recommending the letter to the City regarding safety.
C. Staff Reports
i) *Berg gave an updated status on the Finance Director search. Currently down to 2 finalists who are in second round of interviews. Hope to make a decision before the end of the year. He also gave an update of ARPA funding.*
ii) Pottle gave an update on the pier extension hopefully wrapping up in June, the Machigonne replacement, MDOT work on Peaks and long Island pier work
iii) There was a discussion about the upcoming storm.

6. **General Announcements**

A. Establish next meeting dates: (all meetings at 7:45 AM unless indicated otherwise)

a.	Executive Committee:	Thursday, January 5, 2023
b.	Personnel Committee:	Thursday, January 12, 2023
c.	Operations Committee:	*will be scheduled*
d.	Finance Committee:	*will be scheduled*
e.	Board of Directors:	Thursday, January 26, 2023
f.	Sales & Marketing Committee:	No meeting planned
g.	Government Relations Committee:	No meeting planned
h.	Pension Committee:	No meeting planned

7. Public Comment

A. President Crowley opened the floor for public comments on items not on the agenda

a) There were no comments

8. Directors Comment

A. President Crowley opened the floor for Director comments on items not on the agenda

a) There was discussion about supply chain issues

b) Donovan thought the Board should consider updating the KPFF report since so much as changed since the original report. He thinks there should be public input before hiring a naval architecture.

c) It was suggested to add a schedule discussion to the upcoming Board's retreat

d) Hoffman agreed with Donovan's suggestion to get public and staff input prior to hiring a naval architect

e) Berg suggested it would be a good discussion for the Board retreat but personally felt it was invaluable to hire the naval architects prior to the public and staff discussions.

f) Mavodones reminded everyone that the selection of the Naval Architects is based on qualifications

g) Pottle reminded everyone that for the Peaks Island vessel replacement there was a vessel advisory committee meeting prior to bringing on a naval architect. The selected naval architects joined for the second committee meeting. A vessel advisory committee should be created for the down bay vessel and it should have a kickoff meeting prior to bringing on a naval architect. There is an RFP ready to go out and funding is in place.

h) Wentworth agreed with getting crew input on the down bay schedule.

i) Mavodones reminded everyone that crew was involved with KPFF schedule and Peaks replacement vessel

j) A discussion about an upcoming Board retreat followed.

9. Adjournment

A. Wentworth moved to adjourn the meeting; Donovan seconded.

B. The motion passed unanimously (10-0; Radis had left)

Respectfully submitted by: _____
James Luedke, Clerk

DRAFT

Casco Bay Lines Serving the Islands of Casco Bay from Portland, Maine

CASCO BAY ISLAND TRANSIT DISTRICT
MINUTES OF THE BOARD OF DIRECTORS MEETING OF
January 26, 2023
In Person/Video Conference/Phone

Attendance

	Webex	In Person	Phone	Absent
Directors:				
Crowley (Pres)		X		
Wentworth (1st VP)		X		
Donovan (2nd VP)		X		
Hoffman (Treasurer)		X		
Luedke (Clerk)		X		
Cohen (Ast. Clk)		X		
Anderson		X		
Higgins	X			
Lavanture		X		
Murray				X
Pizey		X		
Radis		X (left @ 8:30)		
Staff:				
Berg		X		
Bishop		X		
Gildart		X		
Mavodones		X		
Pottle	X			
Public:				
F. Somers	X			
Call in user (unknown)	X			
L. Heineman	X (late)			
P. Flynn	X (late)			
C. Chess	X			
Guests:				

DRAFT

1. **Call to Order:**
   A. *The Board meeting was called to order at 7:45 AM by President Crowley*
   B. *It was noted that the meeting was being recorded*
   C. *President Crowley asked Berg to do a roll call of who was attending the meeting, which he did.*
2. **Approval of the December 22, 2022 meeting minutes**
   A. *Hoffman had some changes. Berg suggested she send proposed changes to him, and the Board can delay vote on the minutes until the next meeting. No one objected to this.*
3. **Business**
   A. Executive *Session moved out of order to item 9a*
4. **Workshops**
   A. *There were no workshops*
5. **General Information Reports**
   A. Financial Report
   a) *Hoffman reported that the Finance Committee met the day before and reviewed financials for October and November. Finance committee discussed the need to improve the timeliness of the financial reporting with a goal of receiving them by the end of the following month. Finance committee also discussed the audit process for the new independent full financial audit approved by the Board. In view of the various objections raised she decided, with the backing of the Finance Committee and discussions with Dave, would be best served by taking the selection of the new auditor from Management and running a small efficient, quick, legal process as Treasurer/Finance Committee can be efficient and assure objectivity. She believes there are numerous audit firms able to do the work and do a finance audit as well. She was extremely grateful to Higgins and his audit experience. President Crowley and she are meeting with Counsel later in the day to make sure everything is proper. She will come forth with a proposal for criteria and a process and will keep the entire Board informed.*
   b) *Luedke asked if the Finance Committee will be voting on the selection of the firm. Hoffman reported they will talk with Counsel on the exact methodology. There are two questions; Governance and how best to affect this. She is the Treasurer so she is the senior finance officer of the CBL and what is the correct way to do this, so she cannot answer the question yet.*
   c) *Luedke asked if the committee considered that the Board needs to vote on and approve. Hoffman: "Same answer"*
   d) *President Crowley concurred they were meeting with Counsel to ensure they were doing everything right*
   e) *Berg reported that the Finance committee did not vote on this, so it was an action taken by the Treasurer. He also cautioned the Board in making this move, it puts the Board/District at risk of not being compliant with FTA regulations. He didn't believe anyone in the room today understood the regulations except staff and Higgins. Felt it was his obligation to warn the Board. He doesn't know what counsel is being used because he just became aware of this change yesterday. He strongly encouraged that the District Counsel be involved from that start.*
   f) *President Crowley shared that Council reached out to him after he was elected and offered any assistance if needed and when this came up he did not know the answer so he reached out to Counsel, John Lightbody (Murray Plum and Murray). Berg explained the District uses two legal firms depending on what the issue is. Berg raised another concern of the authority that individual Directors have in spending District funds without approval by the Board.*
   g) *Wentworth asked about the firm being used for this. Crowley replied it is Murray, Plumb and Murray. Berg shared that for something like this CBL typically uses Melissa Hewey of Drummond Woodsum. Berg shared that this was all new to him, so he was raising some caution for the Board to be aware of*

DRAFT

h) *Anderson asked for clarity on Berg's second point; wants to understand the exposure the Board may have based on the questions of the ability of individual Director's authorization to spend District funds.*

i) *Hoffman shared that she feels the District is at risk; financials are not something we can have confidence in. She stated that there has not been a financial audit for a long time, if ever. She does not have confidence in the financials and has major questions on the financials and the thing that auditors look at which is the governance process, rules and policies. She felt that is something the District is at risk for. She takes Berg's comments in the context of all of his comments, he has had a very long pattern of objections, delays and resistance. Everybody's questions are good questions, and it is appropriate for the Board to ask questions. She is committed to seeing this through. Extremely worried about them.*

j) *Berg took exception to being publicly accused of blocking things and he requested evidence of the accusation. He reported that not only did staff not block it, instead they made an extra effort to deliver a draft RFP to the committee for review before the holiday when it was asked for. It has been four weeks with no feedback since the committee meeting. Also, reminded everyone that there is a financial audit done annually as part of the compliance audit. The Board voted on continuing the compliance audit while approving another independent financial to be done in parallel.*

k) *Luedke agreed and didn't understand why the Treasurer/Finance Committee changed direction on its own.*

l) *Higgins thought by the end of the Finance meeting the compliance audit was going to continue and Berg was going to contact the firm to get draft audit by first of June. Supports the separate financial audit. He also had a comment on the RFP about the trial balance.*

m) *Berg replied that unless the Board votes to stop the compliance audit it will continue. He also reported he talked with Smith and they committed to meeting a mid-May date for availability of a draft audit.*

n) *Donovan agreed with Higgins recollection of the how it was left with the Finance committee. He felt by continuing with the compliance audit eliminates risk with FTA. Berg clarified that the risk he was referring to earlier was the risk of compliance with the process to select the new auditor. Donovan said that was addressed by the Finance Committee by having a discussion with counsel to make sure it is being done right. Berg noted the counsel selected does not have experience with FTA. Donovan brought up the concern about authorization to spend funds. Donovan asked Berg if he has concerns with President & Treasurer having a discussion with counsel. Berg replied that he would not have selected MPM for this but was only identifying potential risk and that he felt was his obligation.*

o) *Cohen thought it was important that the Board have access to counsel, and she supports seeking counsel on this matter.*

p) *Hoffman cautioned the Board not to be taking legal advice from Berg. Nothing she said earlier contradicts what Higgins and Donovan said. At the time she didn't realize RHR Smith was doing a financial audit, she thinks CBL needs to get rid of Smith. She doesn't believe they are objective or very thorough. She conceded to continue to use Smith for this year. The two audits are linked. But need to make sure have objective auditors. There is a possibility that a second compliance audit will be required, just do not know at this time. Need to make sure cash and assessment of cash needs to be looked at. Berg's point about who is the right counsel is valid. She was not sure any of the counsels the District was right. That is question number 1.*

q) *Cohen shared that last year she had one on one conversations with counsel, She would like clarification of what the process for legal counsel is.*

r) *President Crowley stated that he reached out to the only firm that contacted him right after the election. Berg suggested again that they talk with Drummond Woodsum for these questions and if he had been asked that would have been his recommendation. Hoffman said the first question to counsel is can they be objective and not in the pocket of Hank. Berg took exception to that accusation and again asked for evidence.*

s) *President Crowley asked that people stick with facts and not opinions.*
t) *Wentworth agreed that a lot of opinions were being expressed without factual basis. There is no factual information for some people to be speaking as they are speaking. Communication is key between GM and President. She wants to know that not just the President is covered but that the other Directors are as well because the President and the Treasurer are doing this without the rest of the Board. There have been a lot words that are very accusatory and for that she holds them accountable.*
u) *President Crowley will contact MPM to ask how appropriate they are for these issues. Hoffman suggested to still hold the meeting and ask the question first thing.*
v) *Luedke wants to fully understand what happens and to make sure they are not liable*

B. **Committee Reports**

a) *Finance Committee report was given as part of the financial report.*
b) *Anderson reported that the Operations Committee discussed three things: 1) Summary of safety issues and they identified one pattern in the injury reports which was most reports were made by seasonal hires and training was then discussed, The Committee requested quarterly updates to look for trends and report to the Board accordingly. 2) Terminal safety and the desire for external intervention to help. Letter was sent to City Council. Only one security vendor has responded. There was a meeting with the City. This problem is not unique to CBL. City has a lack of resources. 3) Down Bay schedule. 2ish months to make decision if there is going to be any changed. Tasked a sub-committee of Down Bay Directors and staff to make recommendations to Ops Committee of any changes to the summer schedule. Radis asked if there was a commitment from the city for regular patrols. Mavodones reported the Chief of Police committed to more presence unless they get called away. Also met with police staff. Police are down 27 people. Cohen asked if there was a contingency plan. Mavodones replied staff is checking rest rooms during school time. Part of spring training will be de-escalation. Gildart gave an overview of what Operations Agents do in response to issues. Donovan noted he is chairing the ad hoc sub-committee and asked to have passenger injuries and freight complaints be included in the quarterly report to operations committee. Luedke thanked Crowley and Berg for the letter.*

C. Staff Reports

i) *Berg reminded Board he will be attending the annual Passenger Vessel Association annual meeting and will be out of the office 2/1-2/7*
ii) *Pottle gave an update on the pier extension and new vessel. He also gave an update on the Transit Asset Management plan which is required to be updated every four years.*
iii) *Mavodones gave an update on the Great Diamond Island float and dry dock status.*
iv) *Cohen asked about way finding signs and Pottle gave an update.*

6. General Announcements

A. Establish next meeting dates: (all meetings at 7:45 AM unless indicated otherwise)

a.	Executive Committee:	Thursday, February 9, 2023
b.	Operations Committee:	Thursday, February 16, 2023
c.	Finance Committee:	Wednesday, February 22, 2023
d.	Board of Directors:	Thursday, February 23, 2023
e.	Personnel Committee:	No meeting planned
f.	Sales & Marketing Committee:	No meeting planned
g.	Government Relations Committee:	No meeting planned
h.	Pension Committee:	No meeting planned

7. Public Comment

A. President Crowley opened the floor for public comments on items not on the agenda
a) There were no comments

8. Directors Comment

A. President Crowley opened the floor for Director comments on items not on the agenda

a) There were no comments

9. **Business** (Taken out of order)
   A. Executive Session
      a) Discussion of *General* Manager's evaluation for the period January through December 2022 pursuant to 1 M.R.S.A. Section 405(6) (A)
         a. Wentworth made a motion to go into executive session to discuss the General Manager's evaluation for the period January through December 2022 pursuant to 1 M.R.S.A. Section 405(6) (A); Donavan seconded.
         b. President Crowley asked Berg to do a roll call vote, which he did. The motion passed unanimously (10-0, Radis had left)
         c. Public attendees left the meeting, the virtual meeting was locked down and the recording stopped.
         d. Staff left the meeting
         e. Later the Board came out of Executive session
         f. Hoffman made a motion to accept the personnel committee recommendation to grant the General Manager a 5% increase in base salary and a bonus for the 2022 goals of $6,300 based on the personnel's committee assessment; Cohen seconded.
         g. President Crowley opened the floor to the public. There were no comments.
         h. President Crowley opened the floor to the Board. There were no comments.
         i. President Crowley called for a roll call vote. The motion passed 6-4, Pizey, Donovan, Luedke and Wentworth voted against; Radis had left)

10. **Adjournment**
    A. Luedke moved to adjourn the meeting; Anderson seconded.
    B. The motion passed unanimously (10-0; Radis had left)

Respectfully submitted by: _____
James Luedke, Clerk

DRAFT

Agenda Item 3a

FTA Certifications and Assurances

REVISED 2/9/23

Agenda Item ____

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

Action Act on the resolution to comply with all requirements of the Federal Fiscal Year 2023 Certifications and Assurances and to confirm and adopt all necessary policies and provisions to comply with 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) confirm and adopt all necessary policies and provisions to comply with, the Federal Fiscal Year 2023 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) confirm and 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 2023 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

FTA Certifications and Assurances

Appendix A

Appendix A

FEDERAL FISCAL YEAR 2023 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS

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

Name of Applicant: Casco Bay Island 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	✓
02	Public Transportation Agency Safety Plans	NA
03	Tax Liability and Felony Convictions	✓
04	Lobbying	✓
05	Private Sector Protections	NA
06	Transit Asset Management Plan	✓
07	Rolling Stock Buy America Reviews and Bus Testing	NA
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	NA
11	Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs	NA

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

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.

FTA Certifications and Assurances

Redlined version (Changes from 2022)

Appendix B

FTA Fiscal Year 2023 Certifications & Assurances

The Federal Transit Administration (FTA) annually publishes a consolidated list of all Certifications and Assurances that apply to its financial assistance programs. An applicant for financial assistance typically must execute current Certifications and Assurances in any year in which it applies for an award or an amendment to an existing award.

The 2023 Certifications and Assurances are posted on FTA's website. Execution is accomplished electronically in FTA's Transit Award Management System (TrAMS). This document is a "redline" version showing changes between the 2023 and 2022 versions. It is provided as a convenience to the reader.

Among other changes, this year the Certifications and Assurances highlight the role safety committees and frontline worker representatives play in developing a Public Transportation Agency Safety Plan (PTASP). Of particular note, an applicant applying for assistance under 49 U.S.C. § 5307 that serves an urbanized area with a population of 200,000 or more must be able to certify that the safety committee of the entity, followed by the board of directors (or equivalent entity) of the applicant, has approved the PTASP and any updates. In addition, each applicant serving an urbanized area with a population of fewer than 200,000 must certify that it has developed the PTASP in cooperation with frontline employee representatives.

Finally, for more information on how FTA plans to address the 2020 Census, please visit FTA's Census Website. The effects of the new 2020 Census boundaries will be reflected in FTA's FY 2024 apportionments. FY 2023 apportionments will be unaffected.

Any questions regarding the Certifications and Assurances, including questions about compliance with the new PTASP requirements, should be directed to the FTA regional office for the region in which the applicant is located.

Links:

Certifications and Assurances

Transit Award Management System (TrAMS)

FTA regional offices

FTA Census Website

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 italic~~*s*~~ *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.*

Commented [A1]: This tracked-changes document is provided as a convenience to the reader to show clearly the differences between the 2022 and 2023 versions of the Federal Transit Administration's annual certifications and assurances. This document, including its tracked changes and comments, does not have the force and effect of law and is not meant to bind the public in any way. This document 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 confirms 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 § 200.325~~4~~, 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 §§ 200.317–200.327~~6~~ "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
(b) 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 ~~p~~Public ~~t~~Transportation ~~a~~Agency ~~s~~Safety ~~p~~Plan on behalf of a ~~s~~Small ~~p~~Public ~~t~~Transportation ~~p~~Provider (as that term is defined at 49 CFR § 673.5) pursuant to 49 CFR § 673.11(d).

This certification is required by 49 U.S.C. § 5307(c)(1)(L), 49 U.S.C. § 5329(d)(1), and 49 CFR § 673.13. This certification is a condition of receipt of Urbanized Area Formula Grants Program (49 U.S.C. § 5307) funding.

This certification does not apply to any applicant that only 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

Commented [A2]: Edits to this certification were made to simplify the certification and its instructions, to bring certification text closer to statutory and regulatory text, and to emphasize the requirement, added by the Infrastructure Investment and Jobs Act, for recipients serving large urbanized areas to have safety committees consisting equally of representatives of frontline employees and management, which must approve Public Transportation Agency Safety Plans and updates.

In addition, edits clarify that while a State must draft a Public Transportation Agency Safety Plan for each Small Public Transportation Provider that does not opt to develop its own plan, the State is not responsible for updating the Public Transportation Agency Safety Plan for the provider.

combination of these two programs, unless it operates a rail fixed guideway public transportation system.

If the applicant is an operator, the applicant certifies that it has established a ~~p~~Public ~~t~~Transportation ~~a~~Agency ~~s~~Safety ~~p~~Plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673; including, specifically, that the board of directors (or equivalent entity) of the applicant has approved, or, in the case of an applicant that will apply for assistance under 49 U.S.C. § 5307 that is serving an urbanized area with a population of 200,000 or more, the safety committee of the entity established under 49 U.S.C. § 5329(d)(5), followed by the board of directors (or equivalent entity) of the applicant has approved, the Public Transportation Agency Safety Plan or any updates thereto; and, for each recipient serving an urbanized area with a population of fewer than 200,000, that the Public Transportation Agency Safety Plan has been developed in cooperation with frontline employee representatives.

If the applicant is a State that drafts and certifies a Public Transportation Agency Safety Plan on behalf of a public transportation operator, the applicant certifies that:

(a) It has drafted and certified a ~~p~~Public ~~t~~Transportation ~~a~~Agency ~~s~~Safety ~~p~~Plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673 for each ~~s~~Small ~~p~~Public ~~t~~Transportation ~~p~~Provider (as that term is defined at 49 CFR § 673.5) ~~with~~in the State, unless the ~~s~~Small ~~p~~Public ~~t~~Transportation ~~p~~Provider provided notification to the State that it was opting out of the State-drafted plan and drafting its own ~~p~~Public ~~t~~Transportation ~~a~~Agency ~~s~~Safety ~~p~~Plan~~.~~; and

(b) Each ~~s~~Small ~~p~~Public ~~t~~Transportation ~~p~~Provider within the State ~~has~~ that opts to use a State-drafted ~~p~~Public ~~t~~Transportation ~~a~~Agency ~~s~~Safety ~~p~~Plan has a 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), and, if the Small Public Transportation Provider serves an urbanized area with a population of 200,000 or more, the safety committee of the Small Public Transportation Provider established under 49 U.S.C. § 5329(d)(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~~Consolidated Appropriations Act, 2023, Pub. L. 117-328, div. E, tit. 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, "Sate 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/.

Commented [A3]: Edit made because 49 U.S.C. 5323(v) no longer is new.

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 2023~~2~~ 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.

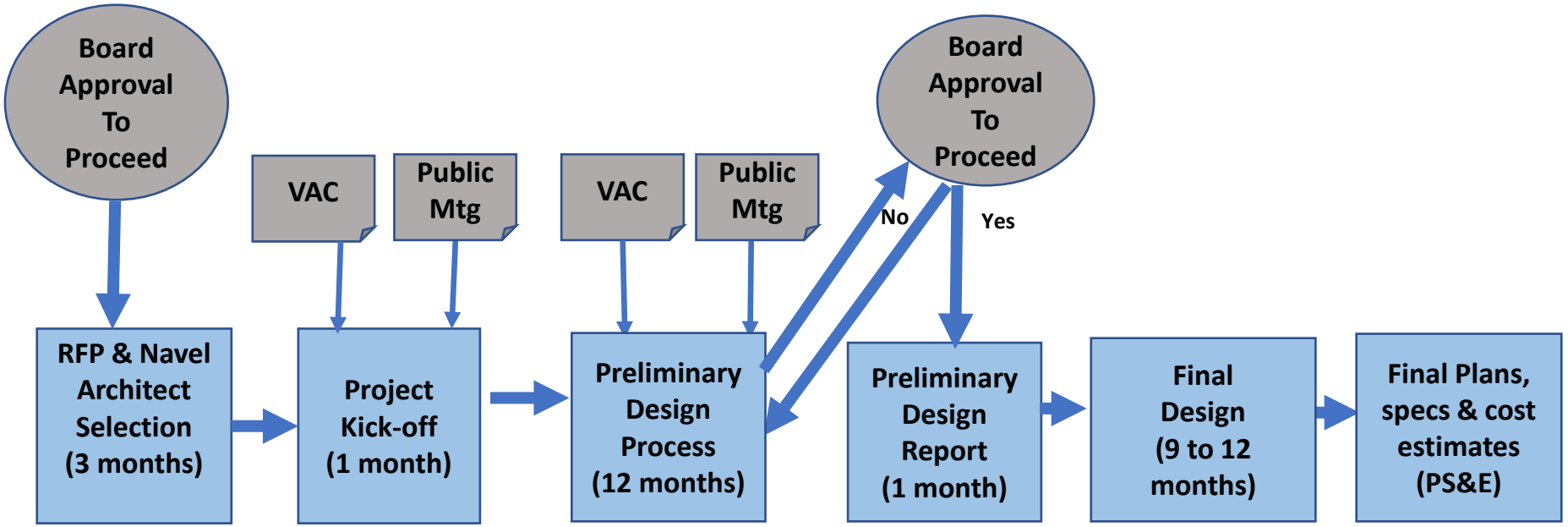
Agenda Item 3b

Down Bay Replacement Vessel

Vote to Proceed

New Down Bay Ferry Design Process

2/15/2023 (DRAFT)



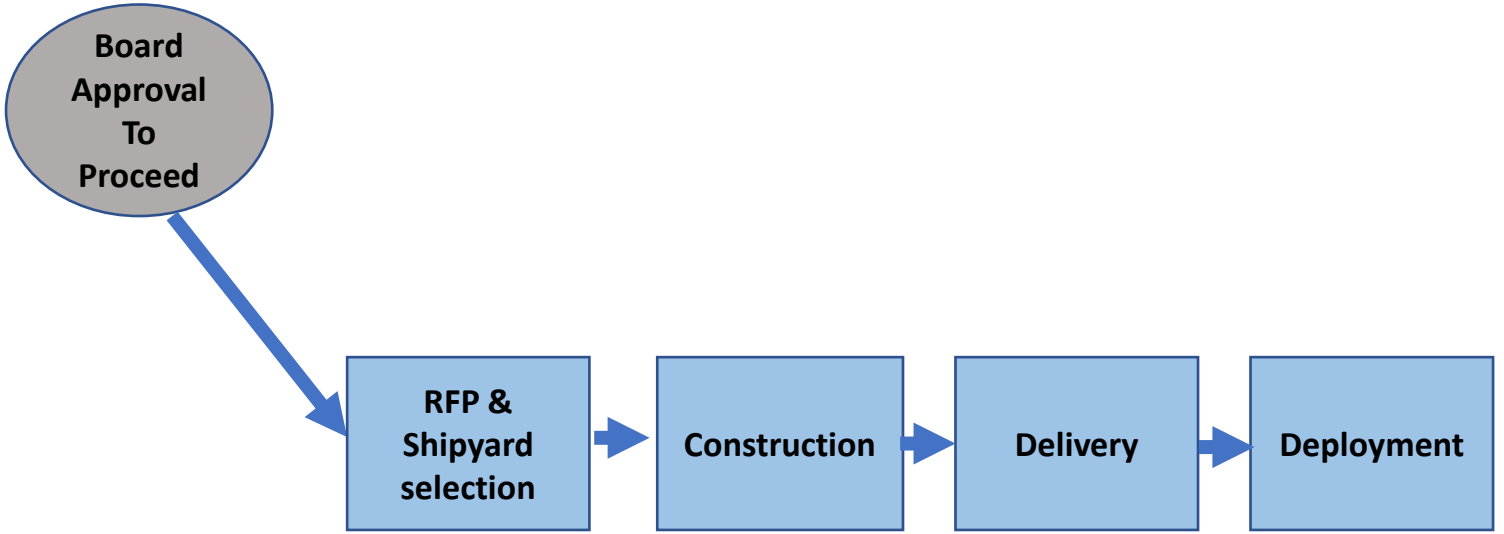
Permit applications, review and approval

Milestones:	
Naval Architect Selection:	June 1, 2023
Prelim Design Complete:	May 2024
PDR Accepted:	June 2024
Final Design Completed:	March 2025

Maine law
FTA requirements
USCG requirements
MaineDOT requirements
CBITD Staff input
Demand considerations
Financial considerations
Technology
Legal

New Down Bay Ferry Construction Process

2/15/2023 (DRAFT)



Advertise for Construction:	April 2025
Shipyard Selected:	July 2025
Construction:	18 – 24 months

Disposition of Maquoit II

Agenda Item 5

Reports:

Financial

Committee

Staff

CBITD Revenues and Expenses
Summary

	FY2023 BUDGET	DECEMBER PROJECTED	DECEMBER ACTUAL	DECEMBER VARIANCE	DECEMBER VARIANCE %	FISCAL YEAR TO DATE PROJECTED	FISCAL YEAR TO DATE ACTUAL	FISCAL YEAR TO DATE VARIANCE	FISCAL YEAR TO DATE VARIANCE %	PREVIOUS YTD	FY23 vs. FY22
REVENUES											
SCH SERVICE	$4,818,749	$ 176,150	$ 184,172	$ 8,022	4.6%	$ 695,494	$ 695,317	$ (177)	0.0%	$ 790,605	-12.1%
GR SALES	$956,726	$ 10,184	$ 6,547	$ (3,637)	-35.7%	$ 89,572	$ 81,805	$ (7,767)	-8.7%	$ 61,790	32.4%
MISC	$51,390	$ 4,800	$ 6,332	$ 1,532	31.9%	$ 14,690	$ 16,821	$ 2,131	14.5%	$ 5,884	185.9%
TOTAL REVENUES	**$5,826,865**	**$ 191,134**	**$ 197,051**	**$ 5,917**	**3.1%**	**$ 799,756**	**$ 793,943**	**$ (5,813)**	**-0.7%**	**$ 858,279**	**-7.5%**
EXPENSES											
PERSONNEL	$5,218,694	$ 378,197	$ 311,372	$ 66,825	17.7%	$ 1,190,077	$ 1,072,343	$ 117,734	9.9%	$ 1,053,770	-1.8%
VESSELS	$3,017,969	$ 393,081	$ 154,185	$ 238,896	60.8%	$ 687,929	$ 424,833	$ 263,096	38.2%	$ 479,594	11.4%
OPERATIONS	$975,827	$ 48,186	$ 59,478	$ (11,292)	-23.4%	$ 200,943	$ 210,490	$ (9,547)	-4.8%	$ 165,984	-26.8%
TERMINAL	$418,616	$ 39,255	$ 29,159	$ 10,096	25.7%	$ 101,551	$ 82,686	$ 18,865	18.6%	$ 94,663	12.7%
SALES	$357,320	$ 16,700	$ 3,097	$ 13,603	81.5%	$ 57,475	$ 30,828	$ 26,647	46.4%	$ 26,573	-16.0%
DEBT SERVICE	$0	$ -	$ -	$ -	0.0%	$ -	$ -	$ -	0.0%	$ -	0.0%
PROVISION FOR DEF RED	$0	$ -	$ -	$ -	0.0%	$ -	$ -	$ -	0.0%	$ -	0.0%
TOTAL EXPENSES	**$9,988,426**	**$ 875,419**	**$ 557,291**	**$ 318,128**	**36.3%**	**$ 2,237,975**	**$ 1,821,180**	**$ 416,795**	**18.6%**	**$ 1,820,584**	**0.0%**
OPERATING SURPLUS/LOSS	**-$4,161,561**	**$ (684,287)**	**$ (360,240)**	**$ 324,047**	**47.4%**	**$ (1,438,219)**	**$ (1,027,237)**	**$ 410,982**	**28.6%**	**$ (962,305)**	**-6.7%**
OP GRANT REVENUES											
FTA PM REVENUE	$198,420	$ -	$ -	$ -	0.0%	$ -	$ -	$ -	0.0%	$ 4,358	0.0%
FTA RURAL REVENUE	$300,000	$ 38,700	$ 90,420	$ 51,720	0.0%	$ 106,800	$ 257,836	$ 151,036	141.4%	$ 241,013	7.0%
FTA OPERATING REVENUE	$3,594,697	$ 645,587	$ 269,820	$ (375,767)	0.0%	$ 1,262,975	$ 769,401	$ (493,574)	-39.1%	$ 719,210	7.0%
STATE SUBSIDY REVENUE	$68,444	$ -	$ -	$ -	0.0%	$ 68,444	$ -	$ (68,444)	-100.0%	$ -	0.0%
TOTAL OP GRANT RESERVES	**$4,161,561**	**$ 684,287**	**$ 360,240**	**$ (324,047)**	**0.0%**	**$ 1,438,219**	**$ 1,027,237**	**$ (410,982)**	**-28.6%**	**$ 964,581**	**6.5%**
SURPLUS/LOSS	**$0**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ 2,276**	**-100.0%**

CBITD Revenues and Expenses
Overview

	FY2023 BUDGET	DECEMBER PROJECTED	DECEMBER ACTUAL	DECEMBER VARIANCE	DECEMBER VARIANCE %	FISCAL YEAR TO DATE PROJECTED	FISCAL YEAR TO DATE ACTUAL	FISCAL YEAR TO DATE VARIANCE	FISCAL YEAR TO DATE VARIANCE %	PREVIOUS YTD	FY23 vs. FY22
REVENUES											
PASSENGER	$ 2,529,205	$ 76,533	$ 62,533	$ (14,000)	-18.3%	$ 313,222	$ 285,776	$ (27,446)	-8.8%	$ 338,662	-15.6%
VEHICLE	$ 1,231,864	$ 53,068	$ 71,379	$ 18,311	34.5%	$ 200,282	$ 251,049	$ 50,767	25.3%	$ 257,853	-2.6%
FREIGHT	$ 978,480	$ 39,949	$ 42,804	$ 2,855	7.1%	$ 162,190	$ 136,741	$ (25,449)	-15.7%	$ 173,942	-21.4%
MAIL	$ 79,200	$ 6,600	$ 7,456	$ 856	13.0%	$ 19,800	$ 21,751	$ 1,951	9.9%	$ 20,148	8.0%
TOTAL	**$ 4,818,749**	**$ 176,150**	**$ 184,172**	**$ 8,022**	**4.6%**	**$ 695,494**	**$ 695,317**	**$ (177)**	**0.0%**	**$ 790,605**	**-12.1%**
GR SALES											
TOURS	$ 522,503	$ 3,428	$ 4,261	$ 833	24.3%	$ 58,330	$ 57,194	$ (1,136)	-1.9%	$ 55,410	0.0%
CHARTERS	$ 224,500	$ 1,500	$ -	$ (1,500)	0.0%	$ 20,000	$ 7,650	$ (12,350)	0.0%	$ 2,450	0.0%
CATERING	$ 168,550	$ 1,000	$ -	$ (1,000)	0.0%	$ 3,500	$ 10,512	$ 7,012	0.0%	$ 1,989	0.0%
VENDING	$ 8,000	$ 500	$ 161	$ (339)	-67.8%	$ 1,750	$ 2,779	$ 1,029	58.8%	$ 606	358.6%
PROMOTIONAL	$ 9,000	$ -	$ 300	$ 300	0.0%	$ 1,900	$ 706	$ (1,194)	-62.8%	$ 1,335	0.0%
ADVERTISING	$ 24,173	$ 3,756	$ -	$ (3,756)	-100.0%	$ 4,092	$ -	$ (4,092)	-100.0%	$ -	0.0%
TOTAL	**$ 956,726**	**$ 10,184**	**$ 6,547**	**$ (3,637)**	**-35.7%**	**$ 89,572**	**$ 81,805**	**$ (7,767)**	**-8.7%**	**$ 61,790**	**32.4%**
OTHER INCOME											
MISC	$ 11,140	$ 1,050	$ 1,368	$ 318	30.3%	$ 3,040	$ 1,368	$ (1,672)	-55.0%	$ 3,795	-64.0%
INTEREST	$ 40,250	$ 3,750	$ 4,964	$ 1,214	32.4%	$ 11,650	$ 15,453	$ 3,803	32.6%	$ 2,089	639.7%
TOTAL	**$ 51,390**	**$ 4,800**	**$ 6,332**	**$ 1,532**	**31.9%**	**$ 14,690**	**$ 16,821**	**$ 2,131**	**14.5%**	**$ 5,884**	**185.9%**
						$ -					
TOTAL OP REVENUES	**$ 5,826,865**	**$ 191,134**	**$ 197,051**	**$ 5,917**	**3.1%**	**$ 799,756**	**$ 793,943**	**$ (5,813)**	**-0.7%**	**$ 858,279**	**-7.5%**

CBITD Revenues and Expenses
Overview

	FY2023 BUDGET	DECEMBER PROJECTED	DECEMBER ACTUAL	DECEMBER VARIANCE	DECEMBER VARIANCE %	FISCAL YEAR TO DATE PROJECTED	FISCAL YEAR TO DATE ACTUAL	FISCAL YEAR TO DATE VARIANCE	FISCAL YEAR TO DATE VARIANCE %	PREVIOUS YTD	FY23 vs. FY22
EXPENSES											
PERSONNEL											
PAYROLL	$ 3,780,027	$ 249,434	$ 223,299	$ 26,135	10.5%	$ 835,386	$ 779,977	$ 55,409	6.6%	$ 768,344	-1.5%
TAXES	$ 289,175	$ 19,082	$ 16,534	$ 2,548	13.4%	$ 63,907	$ 57,959	$ 5,948	9.3%	$ 56,386	-2.8%
EMPLOYEE INSURANCE	$ 630,127	$ 48,581	$ 37,800	$ 10,781	22.2%	$ 145,743	$ 112,109	$ 33,634	23.1%	$ 117,176	4.3%
EMPLOYEE RELATED EXP	$ 40,038	$ 21,156	$ 2,489	$ 18,667	88.2%	$ 25,210	$ 11,160	$ 14,050	55.7%	$ 5,719	-95.1%
PENSION	$ 479,327	$ 39,944	$ 31,250	$ 8,694	21.8%	$ 119,831	$ 111,138	$ 8,693	7.3%	$ 106,145	-4.7%
TOTAL	**$ 5,218,694**	**$ 378,197**	**$ 311,372**	**$ 66,825**	**17.7%**	**$ 1,190,077**	**$ 1,072,343**	**$ 117,734**	**9.9%**	**$ 1,053,770**	**-1.8%**
VESSELS											
REPAIRS	$ 1,814,668	$ 295,780	$ 46,883	$ 248,897	84.1%	$ 387,644	$ 96,071	$ 291,573	75.2%	$ 323,741	70.3%
FUEL	$ 1,124,101	$ 90,701	$ 100,821	$ (10,120)	-11.2%	$ 280,485	$ 309,318	$ (28,833)	-10.3%	$ 137,074	-125.7%
INSURANCE	$ 79,200	$ 6,600	$ 6,481	$ 119	1.8%	$ 19,800	$ 19,444	$ 356	1.8%	$ 18,779	-3.5%
TOTAL	**$ 3,017,969**	**$ 393,081**	**$ 154,185**	**$ 238,896**	**60.8%**	**$ 687,929**	**$ 424,833**	**$ 263,096**	**38.2%**	**$ 479,594**	**11.4%**
OPERATIONS											
TELEPHONE	$ 22,440	$ 1,870	$ 2,291	$ (421)	-22.5%	$ 5,610	$ 7,126	$ (1,516)	-27.0%	$ 6,347	-12.3%
MAIL AGENT	$ 11,220	$ 935	$ 935	$ -	0.0%	$ 2,805	$ 2,805	$ -	0.0%	$ 2,805	0.0%
OFFICE	$ 341,111	$ 14,761	$ 17,208	$ (2,447)	-16.6%	$ 75,944	$ 58,569	$ 17,375	22.9%	$ 77,790	24.7%
CREDIT CARD	$ 169,795	$ 6,720	$ 6,309	$ 411	6.1%	$ 39,744	$ 39,129	$ 615	1.5%	$ 42,361	7.6%
POSTAGE	$ 5,760	$ 480	$ 200	$ 280	58.3%	$ 1,440	$ 1,296	$ 144	10.0%	$ 1,168	-11.0%
TRAVEL	$ 46,000	$ 4,200	$ 430	$ 3,770	89.8%	$ 11,200	$ (274)	$ 11,474	102.4%	$ 64	0.0%
DAMAGES	$ 22,950	$ 2,000	$ 5,136	$ (3,136)	0.0%	$ 9,450	$ 5,696	$ 3,754	39.7%	$ 2,889	-97.2%
OTHER INSURANCES	$ 29,880	$ 2,490	$ 4,371	$ (1,881)	-75.5%	$ 7,470	$ 13,114	$ (5,644)	-75.6%	$ 11,799	-11.1%
MISCELLANEOUS	$ 13,901	$ 300	$ 215	$ 85	28.3%	$ 1,300	$ 841	$ 459	35.3%	$ 1,293	35.0%
BARGE SUBCONTRACTING	$ 143,000	$ -	$ 1,365	$ (1,365)	0.0%	$ 1,000	$ 25,935	$ (24,935)	-2493.5%	$ -	0.0%
PROFESSIONAL	$ 100,080	$ 5,920	$ 15,130	$ (9,210)	-155.6%	$ 19,095	$ 34,420	$ (15,325)	-80.3%	$ 8,587	-300.8%
DUES & PUC	$ 20,975	$ 4,100	$ 3,300	$ 800	0.0%	$ 4,275	$ 10,430	$ (6,155)	0.0%	$ 1,481	-604.3%
UNIFORMS	$ 36,165	$ 2,560	$ 1,738	$ 822	32.1%	$ 17,460	$ 10,553	$ 6,907	39.6%	$ 7,896	-33.6%
TRAINING	$ 12,550	$ 1,850	$ 850	$ 1,000	54.1%	$ 4,150	$ 850	$ 3,300	79.5%	$ 1,504	0.0%
TOTAL	**$ 975,827**	**$ 48,186**	**$ 59,478**	**$ (11,292)**	**-23.4%**	**$ 200,943**	**$ 210,490**	**$ (9,547)**	**-4.8%**	**$ 165,984**	**-26.8%**

CBITD Revenues and Expenses
Overview

	FY2023 BUDGET	DECEMBER PROJECTED	DECEMBER ACTUAL	DECEMBER VARIANCE	DECEMBER VARIANCE %	FISCAL YEAR TO DATE PROJECTED	FISCAL YEAR TO DATE ACTUAL	FISCAL YEAR TO DATE VARIANCE	FISCAL YEAR TO DATE VARIANCE %	PREVIOUS YTD	FY23 vs. FY22
EXPENSES											
TERMINAL											
UTILITIES	$ 88,863	$ 9,245	$ 7,450	$ 1,795	19.4%	$ 21,485	$ 15,492	$ 5,993	27.9%	$ 13,356	-16.0%
JANITORIAL	$ 120,438	$ 9,720	$ 7,727	$ 1,993	20.5%	$ 29,910	$ 23,055	$ 6,855	22.9%	$ 23,055	0.0%
RENT	$ 35,940	$ 2,995	$ 2,995	$ -	0.0%	$ 8,985	$ 8,986	$ (1)	0.0%	$ 10,319	12.9%
MAINTENANCE	$ 173,375	$ 17,295	$ 10,987	$ 6,308	36.5%	$ 41,171	$ 35,153	$ 6,018	14.6%	$ 47,933	26.7%
TOTAL	**$ 418,616**	**$ 39,255**	**$ 29,159**	**$ 10,096**	**25.7%**	**$ 101,551**	**$ 82,686**	**$ 18,865**	**18.6%**	**$ 94,663**	**12.7%**
SALES											
ADVERTISING	$ 210,765	$ 13,800	$ 1,401	$ 12,399	89.8%	$ 36,750	$ 16,964	$ 19,786	53.8%	$ 23,314	27.2%
CATERING	$ 146,555	$ 2,900	$ 1,696	$ 1,204	0.0%	$ 20,725	$ 13,864	$ 6,861	0.0%	$ 3,259	0.0%
TOTAL	**$ 357,320**	**$ 16,700**	**$ 3,097**	**$ 13,603**	**81.5%**	**$ 57,475**	**$ 30,828**	**$ 26,647**	**46.4%**	**$ 26,573**	**-16.0%**
DEBT SERVICE	$ -	$ -	$ -	$ -	0.0%	$ -	$ -	$ -	0.0%	$ -	0.00
TOTAL	**$ -**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ -**	**0.0%**
TOTAL EXPENSES	$ 9,988,426	$ 875,419	$ 557,291	$ 318,128	36.3%	$ 2,237,975	$ 1,821,180	$ 416,795	18.6%	$ 1,820,584	0.0%
TOTAL OP REVENUES	$ 5,826,865	$ 191,134	$ 197,051	$ 5,917	3.1%	$ 799,756	$ 793,943	$ 5,813	0.7%	$ 858,279	-7.5%
OP SURPLUS/LOSS	**$ (4,161,561)**	**$ (684,287)**	**$ (360,240)**	**$ 324,045**	**47.4%**	**$ (1,438,219)**	**$ (1,027,237)**	**$ 410,982**	**28.6%**	**$ (962,305)**	**-6.7%**
OP GRANT REVENUES											
FTA PREVENTATIVE MAINT	$ 198,420	$ -	$ -	$ -	0.0%	$ -	$ -	$ -	0.0%	$ 4,358	0.0%
FTA RURAL REVENUE	$ 300,000	$ 38,700	$ 90,420	$ 51,720	0.0%	$ 106,800	$ 257,836	$ 151,036	141.4%	$ 241,013	7.0%
FTA OPERATING REVENUE	$ 3,594,697	$ 645,587	$ 269,820	$ (375,767)	0.0%	$ 1,262,975	$ 769,401	$ (493,574)	-39.1%	$ 719,210	7.0%
STATE SUBSIDY REVENUE	$ 68,444	$ -	$ -	$ -	0.0%	$ 68,444	$ -	$ (68,444)	-100.0%	$ -	0.0%
TOTAL	**$ 4,161,561**	**$ 684,287**	**$ 360,240**	**$ (324,047)**	**0.0%**	**$ 1,438,219**	**$ 1,027,237**	**$ (410,982)**	**-28.6%**	**$ 964,581**	**6.5%**
SURPLUS/LOSS	**$ -**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ -**	**$ -**	**$ -**	**0.0%**	**$ 2,276**	**-100.0%**

Casco Bay Island Transit District	Budget 2023	December 2022 Budget	December 2022 Actual	YTD Budget 12/31/22	YTD Actual 12/31/22	YTD Actual 12/31/21	% Change
1. REVENUES: SCHEDULED SERVICE							
PASSENGER - PEAKS	1,724,029	51,480	39,917	213,471	194,585	245,221	-20.6%
PASSENGER-LD	45,831	1,010	515	3,595	3,581	3,682	-2.7%
PASSENGER - GD	91,401	3,482	3,913	13,998	14,881	14,896	-0.1%
PASSENGER -D COVE	199,967	2,361	3,121	18,111	13,430	13,981	-3.9%
PASSENGER-LONG	321,535	12,975	10,435	46,626	39,746	39,929	-0.5%
PASSENGER -CHEB	35,364	378	1,006	1,519	3,949	4,234	-6.7%
PASSENGER -CLIFF	75,340	3,022	1,871	10,030	7,842	9,084	-13.7%
ANIMALS	35,738	1,825	1,755	5,872	7,762	7,635	1.7%
TICKET	**2,529,205**	**76,533**	**62,533**	**313,222**	**285,776**	**338,662**	**-15.6%**
VEHICLES - DOWNBAY	14,901	284	0	1,029	0	2,774	-100.0%
VEHICLES - PEAKS	1,216,963	52,784	71,379	199,253	251,049	255,079	-1.6%
VEHICLE	**1,231,864**	**53,068**	**71,379**	**200,282**	**251,049**	**257,853**	**-2.6%**
FREIGHT - PEAKS	414,614	20,490	24,076	78,749	62,891	80,245	-21.6%
FREIGHT -LD	18,653	109	1,028	1,356	2,179	1,390	56.8%
FREIGHT -GD	29,368	1,168	1,239	3,811	4,230	5,398	-21.6%
FREIGHT -DCOVE	59,831	1,363	1,353	7,591	5,537	9,002	-38.5%
FREIGHT -LONG	157,862	7,972	5,751	27,040	21,395	30,699	-30.3%
FREIGHT -CHEB	159,308	6,199	7,310	26,319	26,715	29,268	-8.7%
FREIGHT -CLIFF	48,619	1,908	1,146	7,005	3,527	8,538	-58.7%
UPFREIGHT	24,837	468	531	5,026	4,396	3,684	19.3%
BIKES	65,388	272	370	5,293	5,871	5,718	2.7%
MAIL	79,200	6,600	7,456	19,800	21,751	20,148	8.0%
FREIGHT	**1,057,680**	**46,549**	**50,260**	**181,990**	**158,492**	**194,090**	**-18.3%**
1. REVENUES: SCHEDULED SERVICE TOTAL	**4,818,749**	**176,150**	**184,172**	**695,494**	**695,317**	**790,605**	**-12.1%**
2. REVENUES: GROUP TOURS AND SALES							
BAILEY ISLAND RUN	0	0	0	0	0	0	0.0%
BAILEY NATURE RUN	0	0	0	0	0	0	0.0%
MAILBOAT RUN	322,913	3,428	3,004	47,187	38,650	35,436	9.1%
SUNSET RUN	79,434	0	0	7,039	3,628	1,840	97.2%
DIAMOND PASS RUN	114,443	0	1,257	4,104	14,916	18,134	-17.7%
MOONLIGHT RUN	5,713	0	0	0	0	0	0.0%
TOUR	**522,503**	**3,428**	**4,261**	**58,330**	**57,194**	**55,410**	**3.2%**
CHARTERS	197,500	1,500	0	20,000	7,650	2,450	212.2%
CONCERT CRUISES	27,000	0	0	0	0	0	0.0%
BAR	88,250	1,000	0	3,500	1,722	1,989	-13.4%
LOBSTER BAKES	80,300	0	0	0	8,790	0	0.0%
CHARTER AND CATERING	**393,050**	**2,500**	**0**	**23,500**	**18,162**	**4,439**	**309.1%**
ADVERTISING	24,173	3,756	0	4,092	0	0	0.0%
VENDING	8,000	500	161	1,750	2,779	606	358.6%
PROMOTIONAL ITEMS	9,000	0	300	1,900	706	1,335	-47.1%
GROUP SALES OTHER	0	0	1,825	0	2,964	0	0.0%
GROUP SALES OTHER	**41,173**	**4,256**	**2,286**	**7,742**	**6,449**	**1,941**	**232.0%**
2. REVENUES: GROUP TOURS AND SALES TOTAL	**956,726**	**10,184**	**6,547**	**89,572**	**81,805**	**61,790**	**32.4%**
3. REVENUES: OTHER INCOME							
OTHER MISC INCOME	11,140	1,050	1,368	3,040	1,368	3,795	-64.0%
INTEREST INCOME	40,250	3,750	4,964	11,650	15,453	2,089	639.7%
MISC INCOME	**51,390**	**4,800**	**6,332**	**14,690**	**16,821**	**5,884**	**185.9%**
3. REVENUES: OTHER INCOME TOTAL	**51,390**	**4,800**	**6,332**	**14,690**	**16,821**	**5,884**	**185.9%**
TOTAL REVENUES	**5,826,865**	**191,134**	**197,051**	**799,756**	**793,943**	**858,279**	**-7.5%**

Casco Bay Island Transit District	Budget 2023	December 2022 Budget	December 2022 Actual	YTD Budget 12/31/22	YTD Actual 12/31/22	YTD Actual 12/31/21	% Change
5. EXPENSE: PERSONNEL							
ADMINISTRATIVE	503,393	38,069	31,441	123,724	110,559	112,238	-1.5%
ADMINISTRATIVE	**503,393**	**38,069**	**31,441**	**123,724**	**110,559**	**112,238**	**-1.5%**
CAPTAINS - REGULAR	121,121	1,805	782	7,153	5,777	6,836	-15.5%
CAPTAINS - OVERTIME	38,816	1,147	306	1,805	2,399	1,880	27.6%
UNION DECKHANDS - REGULAR	706,701	52,582	50,735	174,219	160,932	164,368	-2.1%
UNION DECKHANDS - OVERTIME	209,021	8,027	9,464	37,648	40,334	34,642	16.4%
NONUNION DH - REGULAR	235,950	8,391	10,911	26,140	36,994	23,315	58.7%
NONUNION DH - OVERTIME	51,165	558	134	3,109	3,109	2,850	9.1%
SR CAPTAINS - REGULAR	634,896	49,594	45,171	157,818	148,188	149,078	-0.6%
SR CAPTAINS - OVERTIME	93,160	3,690	3,584	21,192	21,852	19,522	11.9%
CREWS	**2,090,830**	**125,794**	**121,087**	**429,084**	**419,585**	**402,491**	**4.2%**
MAINTENANCE - REGULAR	215,071	15,972	14,858	51,909	49,220	45,199	8.9%
MAINTENANCE - OVERTIME	11,904	559	355	1,415	1,712	1,347	27.1%
MAINTENANCE	**226,975**	**16,531**	**15,213**	**53,324**	**50,932**	**46,546**	**9.4%**
SALES WAGES	111,218	7,649	6,931	24,173	23,105	20,973	10.2%
OPS AGENTS - REGULAR	354,311	31,281	20,690	100,942	73,359	97,297	-24.6%
OPS AGENTS - OVERTIME	56,014	2,720	771	11,241	13,775	10,577	30.2%
OPS AGENTS	**410,325**	**34,001**	**21,461**	**112,183**	**87,134**	**107,874**	**-19.2%**
TICKET OFFICE - REGULAR	215,632	11,013	12,434	39,054	39,324	32,281	21.8%
TICKET OFFICE - OVERTIME	12,414	129	0	1,038	1,459	855	70.6%
TICKET OFFICE	**228,046**	**11,142**	**12,434**	**40,092**	**40,783**	**33,136**	**23.1%**
OPERATIONS MANAGEMENT	209,240	16,248	14,732	52,806	47,879	45,086	6.2%
Payroll-Salaries	**3,780,027**	**249,434**	**223,299**	**835,386**	**779,977**	**768,344**	**1.8%**
FICA ADMINISTRATIVE	38,507	2,912	2,290	9,464	8,131	7,919	2.7%
FICA - OPS AGENTS	31,392	2,601	1,618	8,582	6,565	8,164	-19.6%
FICA UNION DECKHANDS	70,053	4,637	4,474	16,208	15,334	15,143	1.3%
FICA NONUNION DECKHANDS	21,966	685	845	2,238	3,068	2,002	53.2%
FICA SR CAPTAINS	67,933	4,302	3,607	14,380	12,625	12,321	2.5%
FICA CREW	**159,952**	**9,624**	**8,926**	**32,826**	**31,027**	**29,466**	**5.3%**
FICA MAINTENACE	17,365	1,265	1,147	4,080	3,845	3,412	12.7%
FICA - SALES	8,509	585	511	1,849	1,715	1,581	8.5%
FICA - TICKET OFFICE	17,445	852	951	3,066	3,120	2,539	22.9%
FICA - OPERATIONS MANAGEMENT	16,005	1,243	1,091	4,040	3,556	3,316	7.2%
STATE UNEMPLOYMENT	0	0	0	0	0	(11)	-100.0%
Taxes	**289,175**	**19,082**	**16,534**	**63,907**	**57,959**	**56,386**	**1.8%**
HEALTH INSURANCE ADMINISTRATIVE	81,317	6,260	4,934	18,780	14,802	16,466	-10.1%
DENTAL INSURANCE ADMINISTRATIVE	6,233	490	349	1,470	1,048	1,110	-5.6%
LIFE INSURANCE ADMINISTRATIVE	254	20	14	60	42	54	-22.2%
ADMINISTRATIVE	**87,804**	**6,770**	**5,297**	**20,310**	**15,892**	**17,630**	**-9.9%**
HEALTH INSURANCE CREW	322,905	24,858	20,311	74,574	60,382	56,668	6.6%
DENTAL INSURANCE CREW	25,186	1,980	1,508	5,940	4,543	6,941	-34.5%
LIFE INSURANCE CREW	1,247	98	69	294	205	261	-21.5%
CREW	**349,338**	**26,936**	**21,888**	**80,808**	**65,130**	**63,870**	**2.0%**
HEALTH INSURANCE MAINTENANCE	19,121	1,472	1,268	4,416	3,803	3,747	1.5%
DENTAL INSURANCE MAINTENANCE	3,625	285	218	855	652	627	4.0%
LIFE INSURANCE MAINTENANCE	153	12	9	36	27	30	-10.0%
MAINTENANCE	**22,899**	**1,769**	**1,495**	**5,307**	**4,482**	**4,404**	**1.8%**
HEALTH INSURANCE SALES	17,666	1,360	1,321	4,080	3,963	3,816	3.9%
DENTAL INSURANCE SALES	534	42	35	126	106	102	3.9%
LIFE INSURANCE SALES	51	4	3	12	9	10	-10.0%
SALES	**18,251**	**1,406**	**1,359**	**4,218**	**4,078**	**3,928**	**3.8%**

Casco Bay Island Transit District	Budget 2023	December 2022 Budget	December 2022 Actual	YTD Budget 12/31/22	YTD Actual 12/31/22	YTD Actual 12/31/21	% Change
HEALTH INSURANCE OPS AGENTS	110,441	8,502	6,006	25,506	17,301	22,012	-21.4%
DENTAL INSURANCE OPS AGENTS	4,897	385	303	1,155	874	1,126	-22.4%
LIFE INSURANCE OPS AGENTS	356	28	17	84	46	58	-20.7%
OPS AGENTS	**115,694**	**8,915**	**6,326**	**26,745**	**18,221**	**23,196**	**-21.4%**
HEALTH INSURANCE OPERATIONS MANAGER	34,424	2,650	1,321	7,950	3,963	3,816	3.9%
DENTAL INSURANCE OPERATIONS MANAGER	1,603	126	108	378	324	311	4.2%
LIFE INSURANCE OPERATIONS MANAGER	114	9	6	27	18	21	-14.3%
OPERATIONS MANAGEMENT	**36,141**	**2,785**	**1,435**	**8,355**	**4,305**	**4,148**	**3.8%**
Employee Insurance	**630,127**	**48,581**	**37,800**	**145,743**	**112,109**	**117,176**	**1.8%**
Employee Related Expense	**40,038**	**21,156**	**2,489**	**25,210**	**11,160**	**5,719**	**1.8%**
Pension	**479,327**	**39,944**	**31,250**	**119,831**	**111,138**	**106,145**	**1.8%**
5. EXPENSE: PERSONNEL TOTAL	**5,218,694**	**378,197**	**311,372**	**1,190,077**	**1,072,343**	**1,053,770**	**1.8%**
6. EXPENSE: VESSEL							
GENERAL REPAIR SHOP	8,950	450	538	4,900	2,813	2,046	37.5%
GENERAL	**8,950**	**450**	**538**	**4,900**	**2,813**	**2,046**	**37.5%**
GENERAL REPAIR MACHIGONNE	78,840	6,264	11,670	18,792	13,046	7,106	83.6%
DRYDOCK MACHIGONNE	450,000	0	0	0	0	0	0.0%
DIVING MACHIGONNE	21,800	1,000	0	3,400	360	8,888	-95.9%
OIL CHANGE MACHIGONNE	26,136	1,620	7,445	5,400	9,622	8,774	9.7%
MACHIGONNE	**576,776**	**8,884**	**19,115**	**27,592**	**23,028**	**24,768**	**-7.0%**
GENERAL REPAIRS MAQUOIT	98,560	7,840	2,861	23,520	9,556	16,582	-42.4%
DRYDOCK MAQUOIT	0	0	0	0	0	0	0.0%
DIVING MAQUOIT	23,700	600	0	3,600	0	9,504	-100.0%
OIL CHANGE MAQUOIT	32,508	2,592	7,961	7,560	9,616	6,086	58.0%
MAQUOIT	**154,768**	**11,032**	**10,822**	**34,680**	**19,172**	**32,172**	**-40.4%**
GENERAL REPAIRS BAY MIST	41,800	1,650	4,204	10,450	5,504	3,129	75.9%
DRYDOCK BAY MIST	485,000	265,000	0	265,000	0	0	0.0%
DIVING BAY MIST	9,400	0	0	1,900	0	6,079	-100.0%
OIL CHANGE BAY MIST	5,616	0	930	432	930	0	0.0%
BAY MIST	**541,816**	**266,650**	**5,134**	**277,782**	**6,434**	**9,208**	**-30.1%**
GENERAL REPAIRS AUCO	69,300	3,850	2,510	13,200	5,132	10,657	-51.8%
DRYDOCK AUCO	325,000	0	0	0	0	0	0.0%
DIVING AUCO	23,300	400	0	5,000	0	9,970	-100.0%
OIL CHANGE AUCO	21,600	2,160	1,660	5,400	3,667	4,044	-9.3%
AUCOCISCO	**439,200**	**6,410**	**4,170**	**23,600**	**8,799**	**24,671**	**-64.3%**
GENERAL REPAIRS WABANAKI	46,438	2,354	1,142	11,770	23,750	25,833	-8.1%
DRYDOCK WABANAKI	0	0	0	0	0	192,133	-100.0%
DIVING WABANAKI	20,800	0	0	3,000	0	10,004	-100.0%
OIL CHANGE WABANAKI	25,920	0	5,962	4,320	12,075	2,906	315.5%
WABANAKI	**93,158**	**2,354**	**7,104**	**19,090**	**35,825**	**230,876**	**-84.5%**
Repairs	**1,814,668**	**295,780**	**46,883**	**387,644**	**96,071**	**323,741**	**-11.4%**
FUEL MACHIGONNE	332,812	27,395	29,468	90,042	87,594	37,702	132.3%
FUEL MAQUOIT	346,159	36,396	36,297	107,476	91,450	41,991	117.8%
FUEL BAY MIST	34,118	2,943	0	6,450	575	1,726	-66.7%
FUEL AUCOCISCO	210,543	23,967	9,400	59,548	28,700	41,540	-30.9%
FUEL WABANAKI	200,469	0	25,657	16,969	100,999	14,117	615.4%
Fuel	**1,124,101**	**90,701**	**100,821**	**280,485**	**309,318**	**137,074**	**-11.4%**
Insurance Boat	**79,200**	**6,600**	**6,481**	**19,800**	**19,444**	**18,779**	**-11.4%**
6. EXPENSE: VESSEL TOTAL	**3,017,969**	**393,081**	**154,185**	**687,929**	**424,833**	**479,594**	**-11.4%**

Casco Bay Island Transit District	Budget 2023	December 2022 Budget	December 2022 Actual	YTD Budget 12/31/22	YTD Actual 12/31/22	YTD Actual 12/31/21	% Change
7. EXPENSE: OPERATIONS							
Telephone	**22,440**	**1,870**	**2,291**	**5,610**	**7,126**	**6,347**	**26.8%**
Mail Agent	**11,220**	**935**	**935**	**2,805**	**2,805**	**2,805**	**26.8%**
DATA PROCESSING	205,398	9,246	9,515	42,179	28,655	47,000	-39.0%
TICKET FORMS & SUPPLIES	12,700	0	0	0	0	0	0.0%
MEETING MEALS	1,350	0	169	0	340	192	77.1%
OFFICE SUPPLIES	15,900	600	79	2,400	3,939	3,784	4.1%
ARMORED CAR	7,920	660	0	1,980	0	1,187	-100.0%
CREW MEALS	15,083	850	436	2,070	649	846	-23.3%
TWIC CARDS	3,000	250	0	750	250	877	-71.5%
MISC	22,200	1,850	5,660	5,550	8,413	10,011	-16.0%
EMPLOYEE RECOGNITION	44,300	200	250	17,700	12,776	11,496	11.1%
INTERNET	13,260	1,105	1,099	3,315	3,547	2,397	48.0%
Office	**341,111**	**14,761**	**17,208**	**75,944**	**58,569**	**77,790**	**26.8%**
Credit Card	**169,795**	**6,720**	**6,309**	**39,744**	**39,129**	**42,361**	**26.8%**
Postage	**5,760**	**480**	**200**	**1,440**	**1,296**	**1,168**	**26.8%**
Travel	**46,000**	**4,200**	**430**	**11,200**	**(274)**	**64**	**26.8%**
EMPLOYEE INJURIES	9,450	2,000	2,756	6,500	3,256	497	555.1%
EMPLOYEE LOST TIME	500	0	0	250	0	0	0.0%
FREIGHT DAMAGES	7,300	0	1,151	700	1,211	739	63.9%
CUSTOMER INJURIES	1,200	0	0	0	0	0	0.0%
DAMAGES CARS	4,500	0	1,229	2,000	1,229	1,653	-25.7%
Damages	**22,950**	**2,000**	**5,136**	**9,450**	**5,696**	**2,889**	**26.8%**
Other Insurances	**29,880**	**2,490**	**4,371**	**7,470**	**13,114**	**11,799**	**26.8%**
VAN	2,800	300	64	600	602	490	22.9%
OVER/SHORT	0	0	(221)	0	(987)	(200)	393.5%
METRO PASSES	0	0	0	0	0	0	0.0%
LOST PASSES	0	0	0	0	0	(16)	-100.0%
NEWSPAPER ADS	1,000	0	372	200	756	669	13.0%
WATER TAXI	1,600	0	0	500	470	350	34.3%
REGGAE SECURITY	8,501	0	0	0	0	0	0.0%
Miscellaneous	**13,901**	**300**	**215**	**1,300**	**841**	**1,293**	**26.8%**
Barge Subcontracting	**143,000**	**0**	**1,365**	**1,000**	**25,935**	**0**	**26.8%**
LEGAL	55,200	4,600	495	13,800	8,757	4,825	81.5%
HUMAN PERFORMANCE	14,980	1,070	2,100	3,745	3,150	3,150	0.0%
PHYSICALS	4,800	0	537	0	1,129	66	1610.6%
DRUG TESTS	5,900	250	(212)	750	798	546	46.2%
ACCOUNTANTS	14,400	0	0	0	0	0	0.0%
OTHER	4,000	0	7,122	0	6,738	0	0.0%
ELECTION EXPENSE	800	0	0	800	160	0	0.0%
HUMAN RESOURCES	0	0	5,088	0	13,688	0	0.0%
Professional	**100,080**	**5,920**	**15,130**	**19,095**	**34,420**	**8,587**	**26.8%**
Dues & PUC	**20,975**	**4,100**	**3,300**	**4,275**	**10,430**	**1,481**	**26.8%**
Uniforms	**23,685**	**1,460**	**970**	**14,610**	**8,482**	**7,459**	**26.8%**
Boots	**12,480**	**1,100**	**768**	**2,850**	**2,071**	**437**	**26.8%**
Training	**12,550**	**1,850**	**850**	**4,150**	**850**	**1,504**	**26.8%**
7. EXPENSE: OPERATIONS TOTAL	**975,827**	**48,186**	**59,478**	**200,943**	**210,490**	**165,984**	**26.8%**

Casco Bay Island Transit District	Budget 2023	December 2022 Budget	December 2022 Actual	YTD Budget 12/31/22	YTD Actual 12/31/22	YTD Actual 12/31/21	% Change
8. EXPENSE: TERMINAL							
UTILITIES TERMINAL	47,521	4,276	3,762	12,285	9,032	7,816	15.6%
WATER	9,898	499	686	1,786	3,098	3,628	-14.6%
TERMINAL HEAT	29,644	4,320	2,845	6,964	2,924	1,551	88.5%
UTILITIES PEAKS	1,800	150	157	450	438	361	21.3%
Utilities	**88,863**	**9,245**	**7,450**	**21,485**	**15,492**	**13,356**	**-12.7%**
JANITORIAL TERMINAL ROUTINE	109,440	9,120	7,727	27,360	23,055	23,055	0.0%
JANITORIAL PEAKS	10,998	600	0	2,550	0	0	0.0%
Janitorial	**120,438**	**9,720**	**7,727**	**29,910**	**23,055**	**23,055**	**-12.7%**
Rent	**35,940**	**2,995**	**2,995**	**8,985**	**8,986**	**10,319**	**-12.7%**
FIRE ALARM	10,800	900	302	2,700	425	5,916	-92.8%
PEST CONTROL	1,325	110	112	331	361	276	30.8%
TRASH	11,245	785	1,000	2,720	3,217	2,386	34.8%
PAPER & CLEANING SUPPLIES	36,100	1,850	1,997	7,300	7,407	10,728	-31.0%
FREIGHT EQUIPMENT AND SUPPLIES	10,400	0	3,765	1,000	3,692	8,202	-55.0%
RUG RENTAL	5,435	450	309	1,350	1,048	696	50.6%
MISC	48,440	6,300	1,384	14,300	12,154	8,736	39.1%
PROPANE	9,630	600	919	1,970	1,982	2,125	-6.7%
FORKLIFT	6,000	500	0	1,500	996	5,389	-81.5%
POWER WASHING	4,400	0	0	600	0	0	0.0%
PIER & TRANSFER BRIDGE	8,000	0	14	1,600	1,686	2,249	-25.0%
PLOWING TERMINAL	5,400	1,800	1,185	1,800	2,185	1,230	77.6%
PLOWING PEAKS	16,200	4,000	0	4,000	0	0	0.0%
Maintenance	**173,375**	**17,295**	**10,987**	**41,171**	**35,153**	**47,933**	**-12.7%**
8. EXPENSE: TERMINAL TOTAL	**418,616**	**39,255**	**29,159**	**101,551**	**82,686**	**94,663**	**-12.7%**
9. EXPENSE: SALES							
BROCHURE	6,000	0	495	0	495	835	-40.7%
SAILING SCHEDULE	9,800	2,200	630	4,200	1,384	1,461	-5.3%
PUBLICATIONS	6,060	500	0	2,000	1,410	1,447	-2.6%
ADVERTISING	3,000	750	0	750	841	1,600	-47.4%
OTHER ADVERTISING EXPENSE	6,955	250	0	500	425	0	0.0%
ONLINE ADVERTISING	3,600	300	0	900	668	773	-13.6%
RADIO ADS	41,000	0	0	0	0	0	0.0%
WEBSITE	28,800	2,400	0	7,200	0	0	0.0%
KIOSK	9,000	1,000	276	2,000	276	0	0.0%
MARKETING	91,800	6,400	0	19,200	11,465	17,198	-33.3%
SPECIAL EVENT CRUISES	4,750	0	0	0	0	0	0.0%
Advertising	**210,765**	**13,800**	**1,401**	**36,750**	**16,964**	**23,314**	**16.0%**
BEVERAGES	28,900	250	0	1,250	(181)	576	-131.4%
OTHER BAR EXPENSE	17,930	2,500	1,696	4,500	1,696	2,451	-30.8%
SECURITY	14,675	150	0	1,775	0	232	-100.0%
BAR EXPENSE	**61,505**	**2,900**	**1,696**	**7,525**	**1,515**	**3,259**	**-53.5%**
LOBSTER BAKES	69,300	0	0	13,200	12,349	0	0.0%
CONCERT CRUISES	15,750	0	0	0	0	0	0.0%
Catering	**146,555**	**2,900**	**1,696**	**20,725**	**13,864**	**3,259**	**16.0%**
9. EXPENSE: SALES TOTAL	**357,320**	**16,700**	**3,097**	**57,475**	**30,828**	**26,573**	**16.0%**
TOTAL EXPENSE	**9,988,426**	**875,419**	**557,291**	**2,237,975**	**1,821,180**	**1,820,584**	**0.0%**
NET OPER INCOME (LOSS) TOTAL	**(4,161,561)**	**(684,287)**	**(360,240)**	**(1,438,219)**	**(1,027,237)**	**(962,305)**	**6.7%**
FTA PM REVENUE	198,420	0	0	0	0	4,358	-100.0%
FTA RURAL REVENUE	300,000	38,700	90,420	106,800	257,836	241,013	-100.0%
FTA OPERATING REVENUE (CARES Act)	3,594,697	645,587	269,820	1,262,975	769,401	719,210	-100.0%
STATE SUBSIDY REVENUE	68,444	0	0	68,444	0	0	0.0%
TOTAL	**4,161,561**	**684,287**	**360,240**	**1,438,219**	**1,027,237**	**964,581**	**-100.0%**
SURPLUS/LOSS TOTAL	**0**	**0**	**0**	**0**	**0**	**2,276**	**-45174.2%**

§ 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: December 31, 2022

Gorham Savings Bank Operating Account				
December 1 - Opening Balance	$ 184,000.00			
Deposits/Credits		$ 1,185,767.85		
Withdrawals/Debits		$ 1,185,767.85		
Decvember 31 - Closing Balance			$	184,000.00
Gorham Savings Demand Deposit Account				
December 1 - Opening Balance	$ 1,288,877.10			
Interest Earned		$ 2,993.79		
December 31 - Closing Balance			$	552,911.23
Gorham Savings Restricted Funds				
December 1 - Opening Balance	$ 1,155,141.77			
Interest Earned		$ 1,970.47		
December 31 - Closing Balance			$	1,156,864.17
Total Cash On Hand				
December 1 - Opening Balance	**$ 2,628,018.87**			
December 31 - Closing Balance			**$**	**1,893,775.40**
Net Change in Cash Position - Month of December		-734,243.47		

Maintenance Fund Balance	$ 349,619.90
Capital Reserve Fund Balance	$ 651,830.58
Garage Maintenance Fund Balance	$ 167,481.78
Garage Excess Fund Balance	$ -