



**ESTUARY TRANSIT DISTRICT  
REGULAR BOARD MEETING**  
ETD Offices, 91 N. Main St, Middletown, CT  
with Remote Option  
November 17, 2023 at 9:00 AM

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**AGENDA**

- I. Call to Order — L. Strauss, Chair
- II. Roll Call — T. Griswold, Secretary
- III. Visitors' Comments as They Pertain to Agenda Items
- IV. Secretary's Report — T. Griswold
  - [1.](#) Acceptance of Board Meeting Minutes of October 13, 2023
  - [2.](#) Acceptance of Facilities Committee Minutes of October 24, 2023
- V. Communications — T. Griswold
  - [1.](#) Letter from FTA Regarding Triennial Review
  - [2.](#) Microtransit Award Letter
- VI. Treasurer's Report — C. Norz
- VII. Committee Reports
  1. Facilities Committee — J. Gay, Chair
  - [2.](#) Marketing Committee — L. Strauss, Chair
- VIII. Executive Director's Report — J. Comerford
- IX. Transit Planner's Report - B. Geraghty
- X. New Business
  1. 2024 Meeting Schedule
- XI. Old Business
- XII. Chair Comments
- XIII. Board Members Comments
- XIV. Next Meeting — December 8, 2023 at 10:00 AM with Remote Options
- XV. Adjournment

Join Zoom Meeting

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Meeting ID: 838 1952 6907

Passcode: 380620

One tap mobile

+16469313860,,83819526907#,,,,\*380620# US

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*Language Assistance is available. If you need assistance, please call Chris at 860-510-0429 ext. 104 at least 48 hours prior to the meeting.*

THESE MINUTES ARE SUBJECT TO APPROVAL AT THE NEXT ETD MEETING

ESTUARY TRANSIT DISTRICT  
RIVER VALLEY TRANSIT  
REGULAR MEETING  
Friday, October 13, 2023  
91 N. Main Street, Middletown CT and  
Via ZOOM

CALL TO ORDER

Chairman Strauss called the meeting to order at 9:05 a.m. A quorum was established. In attendance included Leslie Strauss, John Hall, Tim Griswold, Karl Kilduff, Joan Gay, DG Fitton, Charlie Norz, Beverly Lawrence, Angus McDonald, Christine Marks and Jim Irish.

Staff in attendance: Chris Denison, Joe Comerford, Brendan Geraghty, Halyna Famiglietti

The Board observed a moment of silence in response to the attack on Israel.

VISITORS' COMMENTS – None.

SECRETARY'S REPORT

A motion was made and duly seconded to accept the meeting minutes of the 9/8/23 Board meeting as presented. The motion passed unanimously.

A motion was made and duly seconded to accept the meeting minutes of the 9/11/23 Transit Advisory meeting as presented. The motion passed unanimously.

A motion was made and duly seconded to accept the meeting minutes of the 9/26/23 Facilities Committee meeting as presented. The motion passed with Joan Gay abstaining from the vote.

Joan Gay motion to accept the meeting minutes of the 10/5/23 Legislative meeting as presented. The motion was seconded and passed unanimously.

A motion was made and duly seconded to accept the meeting minutes of the 10/11/23 Finance Committee meeting as presented. The motion passed unanimously.

COMMUNICATIONS – None.

TREASURER'S REPORT – None.

COMMMITTE REPORTS

Facilities – The Facilities meeting minutes were included in the Board's packet. Of note:

- New Maintenance Facility – The project is moving forward, and the preliminary design of space has been completed.
- The state-owned Old Saybrook property is in an aquifer protection zone and vehicle maintenance is prohibited on the site. CT Water will verify that this is an active field.
- The feasibility study for the Westbrook property is being finalized.

- The Electrification project at the existing facility is moving forward. HVAC and Fire Engineers are reviewing fire protection at the location. The goal is to have the ability to charge the entire fleet at this location.
- A committee has been formed to discuss with the Mayor of Middletown a DOT funded study of an alternate site in Middletown. This study will add up to 3 years to the project.

Charlie Norz made a motion to accept the Facilities Committee report as presented. Karl Kilduff seconded the motion. The motion passed with Joan Gay abstaining from the vote.

Finance

- The Finance Committee reviewed the financial reports in depth. Cash flow is “healthy” and operating figures are in order. The receipt of grants is anticipated in the near future.
- More detailed information on the status of grants and grant management will be forwarded to board members and included in Halyna’s monthly report. This document is titled RVT Funds by Grant.

Joan Gay made a motion to accept the Finance Committee report as presented. Jim Irish seconded the motion. The motion passed unanimously.

Marketing

Copies of marketing initiatives were distributed to Board members. Of note:

- Communications sent relative to route changes (emails, social media, apps)
  - New routes go into effect Monday, October 16, 2023.

A motion was made and duly seconded to accept the Marketing Committee report as presented. The motion passed unanimously.

Legislative – Joan reported:

- The Legislative Breakfast will be held in January at the Middletown office. Newly elected officials will be invited to attend the breakfast and RVT meetings.

Jim Irish made a motion to accept the Legislative Committee report as presented. Karl Kilduff seconded the motion. The motion passed unanimously.

Transit Advisory– minutes from the recent Transit Advisory meeting were included in the Board’s packet. The next meeting is scheduled for December.

Karl Kilfuff made a motion to accept the Transit Advisory Committee report as presented. Beverly Lawrence seconded the motion. The motion passed unanimously.

Service Study - None.

Personnel – None.

COG Update – Brendan reported:

- The THRIVE grant scope/application is being finalized. This is a Federal Grant focusing on train stations including the Middletown Terminal.

- The District was represented at the Southern New England Conference and did a presentation on the recent merger. This presentation was well received.

Karl Kilduff made a motion to accept the COG Update as presented. Tim Griswold seconded the motion. The motion passed unanimously.

EXECUTIVE DIRECTOR’S REPORT

Joe reported:

- The new buses have arrived and are being fitted with equipment including fare boxes, radios, etc. The manufacturer will inspect the vehicles and they should be in use in the near future.
- The new trolley is going to the outfitter today to have “trolley embellishments” and the new logo installed. This vehicle will replace the existing Clinton trolley and may be used in other areas during the holidays.
- The phone project is complete.
- The new customer management software allows for feedback online, via email and telephone. The software tracks the issue until it is resolved.
- The District attended an Expo Event and discovered new features offered by our current vendors.
- Joe attended the pre-production meeting on the electric buses. The buses are scheduled for production in June 2024 and delivery in August 2024.
- Joe is working with the DOT to charge the buses, temporarily across the street. The buses will be able to maneuver on this site.
- If approved, adding Sunday service on Rte. 641 will have to go to a Public Hearing.
- The State received funding for on demand programs (The District had 3 proposals for expanding service with this money).
- The “kinks” are being worked out relative to the switch to the new Extra Mile software program.
- Shoreline East service cuts/changes – The District may be asked to operate bus service if/when service cuts are implemented vis a vis Shoreline East trains. The DOT may fund a study to look at bus transportation on the shoreline.
- The State received a Smart Grant to design an app to be used throughout the State. The District has been asked to “pilot” this program.

Karl Kilduff made a motion to accept the Executive Director’s report as presented. Tim Griswold seconded the motion. The motion passed unanimously.

TRANSIT PLANNER’S REPORT

RVT Ride Guide – A copy of the RVT Ride guide, including updated routes, was included in the Board’s packet and screenshared. This information is on the District’s website and is offered in Spanish. As previously discussed, the new routes go into effect on Monday, October 16<sup>th</sup>. Brendan was available to address questions/comments posed by Board members. In addition, the Passio upgrades are being installed.

Karl Kilduff made a motion to accept the Transit Planner’s report as presented. Charlie Norz seconded the motion. The motion passed unanimously.

FINANCE DIRECTOR’S REPORT

Budget vs. Actual, Cash Flow reports were included in the Board packet, screen shared and reviewed by Finance Committee. Halyna was available to address questions/comments posed by Board members.

The auditors will begin work within the next week or two.

Karl Kilduff made a motion to accept the Finance Manager’s report as presented. Tim Griswold seconded the motion. The motion passed unanimously.

OPERATIONS DIRECTOR’S REPORT

- Ridership has declined since fares were reinstated (overall, down approx. 18% from pre Covid). XMile has seen a 12 to 13% decrease since the fare was initiated and ADA, as the most expensive trip, is down 40%.
- The Token Transit app is well used. Approximately 28% of riders used Token Transit on the fixed routes.

A motion was made and duly seconded to accept the Operations Manager’s report as presented. The motion passed unanimously.

MAINTENANCE DIRECTOR’S REPORT

- Contacts were made for parts, etc. at the Expo.
- Triennial findings – Pat is working with contractors to meet maintenance deadlines and to “close out” the findings from the Triennial review.

Karl Kilduff made a motion to accept the Maintenance Director’s report as presented. Tim Griswold seconded the motion. The motion passed unanimously.

NEW BUSINESS

Borrowing Resolution – Tim Griswold read the following:

**ESTUARY TRANSIT DISTRICT  
BORROWING RESOLUTION  
ESSEX SAVINGS BANK**

**CERTIFICATION:**

I, Timothy C. Griswold, Secretary of the Estuary Transit District, do hereby certify that the following is a true and correct copy of a resolution adopted on October 13th, 2023, in which a quorum was present and acting throughout and that the resolution has not been modified, rescinded, or revoked and is at present in full force and effect.

**RESOLVED**, that any two (2) of the following the Chairman, Leslie B. Strauss, or in her absence or inability to act, the Vice Chairman, Joan Gay or Treasurer, Charles Norz, be and hereby are, authorized on behalf of the Estuary Transit District:

1. To borrow money and obtain credit, at any time and from time to time, in any form on behalf of the Estuary Transit District from ESSEX SAVINGS BANK.
2. To pledge, mortgage, grant a security interest in, endorse, assign and deliver, any property held by or belonging to the Estuary Transit District, as security for money borrowed or credit obtained and as a condition of the right to receive such money, or to obtain such credit, with full authority to execute,

endorse, guarantee, assign and deliver any document or instrument on behalf of the Estuary Transit District, as the bank October also require in connection therewith.

3. To discount any bill receivable, instrument or paper held in the name of or by the Estuary Transit District, with full authority to endorse the same in the name of the Estuary Transit District.

I/we further certify that said officers of the Estuary Transit District so authorized are: Leslie B. Strauss Chairman and Joan Gay Vice Chairman, and Charles Norz Treasurer. This authority shall remain in full force and effect until revocation in writing is received by the bank and the bank shall be entitled to presume that the above-named signatories remain authorized until receipt of written notice to the contrary.

**FURTHER RESOLVED**, that such indebtedness as has been heretofore contracted, any security interest granted the bank (including without limitation, any mortgages) and any contracts or agreements heretofore made with the bank on behalf of the District in connection with the loan documents or said contracts or agreements, are hereby ratified, approved and confirmed.

Karl Kilduff made a motion to accept the above resolution as presented. Joan Gay seconded the motion. The motion passed unanimously.

OLD BUSINESS – None.

CHAIR COMMENTS

Leslie reported that Ralph Eno, former Lyme First Selectman and former Board member passed away suddenly. The District sent a gift basket to his wife expressing condolences.

Leslie reported:

- Merger documents were signed with the DOT 2 years ago. To date, many commitments made by the DOT remain unfulfilled.
- As previously discussed, Joe Comerford has accepted the position of Executive Director of RVT, effective 12/1/23. First Transit will no longer manage the District.
- Triennial Review Report – The Triennial Report was received and as discussed above; maintenance findings are being addressed. The new facility, when completed, will allow space to perform bus maintenance entirely in house.
- Durham and Middlefield must pass resolutions withdrawing from the Middletown district.
- Tim Griswold will Chair an Expansion Committee to reach out to surrounding towns relative to membership in RVT. DG Fitton will serve on this committee. One more board member is needed to serve on the committee and interested parties should reach out to Joe, Leslie, or Tim.

BOARD MEMBER COMMENTS

Joan Gay thanked Brendan for participating in a Committee on Aging meeting last month. His presentation was helpful and well received by participants.

EXECUTIVE SESSION – None.

ADJOURNMENT

A motion was made and duly seconded to adjourn the meeting at 10:30 a.m. The motion passed unanimously.

Next Meeting – November 17, 2023

Respectfully Submitted,

Suzanne Helchowski  
Clerk



THESE MINUTES ARE SUBJECT TO APPROVAL AT THE NEXT  
ESTUARY TRANSIT DISTRICT BOARD MEETING

ESTUARY TRANSIT DISTRICT  
FACILITIES COMMITTEE MEETING  
ETD OFFICES, 91 N. Main Street, Middletown, CT with Remote Options  
TUESDAY, OCTOBER 24, 2023, AT 2:00 P.M.

CALL TO ORDER

The meeting was called to order by Joan Gay, Chair, at 2:06 p.m.

ROLL CALL

Committee members present: Joan Gay, Karl Kilduff, and Angus McDonald

Also in attendance: Staff: Joe Comerford and Christina Denison

Board Members: Leslie Strauss, ETD Board Chair and Charles Norz, ETD Board Member, Old Saybrook

CT DOT: Maureen Lawrence, CT Transit & Transit District Agreements Transit Manager

Guest: Dennis Law, RVT intern

FACILITIES PLAN WITH DOT

A copy of the Facilities Progress Plan was included in the meeting packet.

Joe Comerford reported:

Architecture & Engineering

Facilities Master Plan –

- The search for approximately 5,000 cubic yards of compensatory fill to raise 110 N. Main Street above the 100-year flood plain continues.
- Electrification of buses – no update on the electrification study. Work continues on fire protection. Lawrence will provide an update on the Statewide electrification study at the next meeting.
- The space design for 110 N. Main Street was reviewed. Comerford and McDonald met with representatives from DOT and Michael Baker International, consultants, to discuss the program in detail and made some suggestions regarding layout. The property provides adequate space for the District’s needs.
- The Title VI and NEPA are still being reviewed.

Right of Way Acquisition

Middletown Maintenance Facility –

- The space design for 91 N. Main Street was reviewed. Generator capacity to do some level of charging of the fleet is being looked at in all 3 facilities.

Shoreline Facility –

- The space design for the Westbrook location was reviewed. McDonald reported that there is more than adequate room to meet the District’s current needs but also offers room to expand

as the District grows and electrifies. He urged designing and building the facility with the future in mind.

- Soil tests will be conducted.

Middletown Terminal Renovation –

- Comerford and a select group of Board members are scheduled to meet with the Mayor later in the week to discuss the terminal location.

EXECUTIVE DIRECTOR’S REPORT

None.

ADJOURNMENT

The meeting was adjourned at 2:43 p.m.

Next Meeting—The next meeting will be November 28, 2023, at 2:00 p.m.

Respectfully submitted,

Christina Denison  
Clerk



U.S. Department of Transportation  
**Federal Transit Administration**

REGION 1  
Connecticut, Maine,  
Massachusetts,  
New Hampshire,  
Rhode Island, Vermont

Volpe Center  
55 Broadway, Suite 920  
Cambridge, MA 02142-1093  
617-494-2055  
617-494-2865 (fax)

October 11, 2023

Ms. Leslie Strauss  
Board Chair  
Estuary Transit District  
91 North Main Street  
Middletown, CT 06457

**Re: Fiscal Year 2023 Federal Transit Administration (FTA) Triennial Review – Final Report**

Dear Ms. Strauss:


I am pleased to provide you with a copy of this Federal Transit Administration (FTA) report as required by 49 U.S.C. Chapter 53 and other Federal requirements. The enclosed final report documents the FTA’s Fiscal Year (FY) 2023 Triennial Review of Estuary Transit District (ETD) in Centerbrook, Connecticut. Although not an audit, the Triennial Review is the FTA’s assessment of ETD’s compliance with Federal requirements, determined by examining a sample of award management and program implementation practices. As such, the Triennial Review is not intended as, nor does it constitute, a comprehensive and final review of compliance with award requirements.

Due to the Coronavirus 2019 (COVID-19) Public Health Emergency, a virtual site visit was conducted for this Triennial Review. In addition, the review was expanded to address ETD’s compliance with the administrative relief and flexibilities FTA granted and the requirements of the COVID-19 Relief funds received through the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) of 2021, and the American Rescue Plan (ARP) Act of 2021.

The Triennial Review focused on ETD’s compliance in 23 areas. Deficiencies were found in one area: Maintenance. ETD had one repeat deficiency from the Fiscal Year 2019 Triennial Review in the Maintenance area.

Thank you for your cooperation and assistance during this Triennial Review. If you need any technical assistance or have any questions, please do not hesitate to contact Alex Hammond, General Engineer, at (617) 494-2304 or by email at alex.hammond@dot.gov.

Sincerely,  
PETER  
SHANNON  
BUTLER

 Digitally signed by PETER  
SHANNON BUTLER  
Date: 2023.10.11 13:23:18  
-04'00'

Peter S. Butler  
Regional Administrator  
FTA Region 1

- cc: Matthew Keamy, Director, Program Management and Oversight, FTA
- Alex Hammond, General Engineer, FTA
- Bert Pechhold, General Engineer, FTA
- Joe Comerford, Executive Director, ETD
- Keith Carlson, Lead Reviewer, AdSTM

Enclosure

**FINAL REPORT**

**FISCAL YEAR 2023  
TRIENNIAL REVIEW**

of

**Estuary Transit District  
(ETD)  
Centerbrook, Connecticut 06409  
Recipient ID: 7324**

*Performed for:*

**U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL TRANSIT ADMINISTRATION  
REGION I**

*Prepared By:*

**Advanced Systems Technology & Management, Inc.  
under subcontract to Qi Tech, LLC**

**Scoping Meeting Date: February 24 & 27, 2023  
Virtual Site Visit Entrance Conference Date: March 28, 2023  
Virtual Site Visit Exit Conference Date: August 10, 2023  
Final Report Date: October 11, 2023**

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## I. Executive Summary

This report documents the Federal Transit Administration’s (FTA) Triennial Review of the Estuary Transit District (ETD) of Centerbrook, Connecticut. The FTA wants to ensure that awards are administered in accordance with the requirements of Federal public transportation law 49 U.S.C. Chapter 53. The review was performed by Advanced Systems Technology & Management, Inc. under subcontract to Qi Tech, LLC. During the virtual site visit, the reviewer discussed the administrative and statutory requirements and reviewed recipient documents.

Due to the Coronavirus 2019 (COVID-19) Public Health Emergency, the FTA conducted a virtual site visit for this Triennial Review. In addition, the FTA expanded the review to address ETD’s compliance with the administrative relief and flexibilities that the FTA granted, and the requirements of the COVID-19 Relief funds received through the Coronavirus Aid, Relief, and Economic Security (CARES) Act, Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) of 2021, and the American Rescue Plan (ARP) Act of 2021. The FTA also requested the ETD share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The FY2023 Triennial Review focused on ETD’s compliance in 23 areas. Deficiencies related to the COVID-19 Relief funds have been clearly identified as part of the deficiency description in the respective review area. There was one repeat deficiency from the FY 2019 Triennial Review in the Maintenance area.

A deficiency was found in the area listed below.

Review Area	Deficiencies	
	Code	Description
Maintenance	M2-1*	Late vehicle/vessel preventive maintenance

\* Denotes repeat deficiency

## II. Review Background and Process

### 1. Background

The Triennial Review includes a review of the recipient’s compliance in 23 areas. The basic requirements for each of these areas are summarized in Section IV. The FTA contracts with experienced reviewers to lead and conduct the Triennial Reviews, in partnership with the staff of the regional office.

This report presents the findings from the Triennial Review of the recipient. The review concentrated on procedures and practices employed since the recipient’s previous Triennial Review in 2019; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of award funds. The specific documents reviewed and referenced in this report are available at the FTA’s Region 1 office or the recipient’s office.

### 2. Process

The Triennial Review includes a pre-review assessment, a desk review and scoping meeting with the FTA regional office, and a site visit to the recipient’s location. Due to the COVID-19 Public Health Emergency, a virtual site visit was conducted of each recipient. In addition, the review was expanded to address the recipient’s compliance with the administrative relief and flexibilities FTA granted and the requirements of the COVID-19 relief funds received through the CARES Act, CRRSAA of 2021, and the ARP Act of 2021. The FTA also requested that the recipient share if and/or how it suspended, deviated from, or significantly updated or altered its transit program due to the public health emergency.

The fiscal year (FY) 2023 process began with the regional office transmitting a notification of the review and a Recipient Information Request (RIR) to the recipient on November 23, 2022, indicating a review would be conducted. While the recipient prepared its response to the RIR, the regional office and review team conducted the scoping meeting on February 24 and 27, 2023. Regional office staff provided electronic files as necessary to the reviewers who also accessed recipient information in the FTA electronic award management (TrAMS) and oversight (OTrak) systems. Following the desk review and scoping meeting, the reviewer and the recipient corresponded and exchanged information and documentation in preparation for the virtual site visit. Prior to the virtual site visit, the reviewer sent to the recipient on June 28, 2023, an agenda package indicating the issues that would be discussed, records to be reviewed, and interviews to be conducted.

The virtual site visit portion of the review began with an entrance conference on March 28, 2023, at which the reviewer and regional staff discussed the purpose of the Triennial Review and the review process. The reviewer conducted additional interviews and reviewed documentation to evidence the recipient’s compliance with FTA requirements

Upon completion of the virtual site visit, the reviewer and the FTA regional office staff provided a summary of preliminary findings to the recipient at the exit conference on August 10, 2023. Section VI of this report lists the individuals participating in the site visit.



### 3. Metrics

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are:

- *Not Deficient*: An area is considered not deficient if, during the review, nothing came to light that would indicate the requirements within the area reviewed were not met.
- *Deficient*: An area is considered deficient if any of the requirements within the area reviewed were not met.
- *Not Applicable*: An area can be deemed not applicable if, after an initial assessment, the recipient does not conduct activities for which the requirements of the respective area would be applicable.

### III. Recipient Description

#### 1. Organization

ETD was formed in 1981 by the nine towns of the Connecticut River Estuary region, which includes Clinton, Chester, Deep River, Essex, Killingworth, Lyme, Old Lyme, Old Saybrook, and Westbrook. On July 1, 2022, the towns of Middletown, Middlefield, and Durham joined the district as it took over services and assets formerly operated by the Middletown Transit District. In addition, service is provided on a contracted basis to the towns of East Hampton, East Haddam, Haddam, and Portland. ETD is governed by a Board of Directors made up of representatives from each of the twelve member towns, each having a weighted vote based on the population of the town they represent. The Directors serve in a voluntary capacity to adopt bylaws, set policy, and direct the activities of the Executive Director. The Executive Director, in turn, directs the daily activities of ETD and is responsible for the overall management of ETD and its employees. ETD contracts with First Transit, a private transit management firm, to provide the Executive Director. ETD’s mission is to provide local, coordinated public transportation for the residents of the Estuary region.

ETD’s public transportation service provides fixed-route, deviated fixed-route, Dial-A-Ride, on-demand microtransit, and ADA paratransit service. Most services, except ADA paratransit, are open to the general public with no age or disability restrictions. Fixed-route and deviated fixed-route services consist of twelve routes operating on a published route and schedule. Deviated routes also provide off-route service, up to three-quarters of a mile on either side of the route, with advance notice. ETD’s routes serve 17 towns and offer connections to three neighboring bus systems, Shoreline East commuter rail, Amtrak passenger rail, passenger ferry service, and Greyhound intercity bus service.

ETD’s demand-response Dial-A-Ride service provides door-to-door transportation anywhere within the Estuary region. Dial-A-Ride services are open to the general public, with priority given to trips not along a deviated fixed-route. ADA Paratransit, an origin-to-destination service, is for individuals of any age with a physical or cognitive disability that prevents them from using the ETD fixed-route system. Trips that qualify as ADA Paratransit must have origins and destinations that are within 3/4 of a mile of a fixed-route and occur with the same hours and days of operation.

The standard fare for the service is \$1.75. Senior citizens, Medicare card holders, and the disabled with I.D. cards pay a reduced fare of \$0.85. The fare for ADA paratransit and Dial-A-Ride service is \$3.50 per one-way trip.

ETD’s fleet consists of 14 FTA-funded 30- and 35-foot transit buses and 24 FTA-funded mini-buses used in demand-response service.

ETD has two FTA-funded bus garages located at 91 North Main Street and 80 Pease Avenue, both in Middletown, CT. An FTA-funded transit center is located at 340 Main Street, Middletown, CT.

## 2. Award and Project Activity

Below is a list of ETD’s open awards at the time of the review.

Award Number	Award Amount	Year Executed	Description
CT-2017-018	\$1,973,000	2017	2017 Capital Program
CT-2019-008	\$392,000	2019	ETD Capital Equipment 2019
CT-2018-017	\$857,600	2018	2018 Capital Program
CT-2017-002	\$377,405	2017	Madison to Middletown Bus Service
CT-2020-013	\$2,600,000	2021	Estuary Transit Section 5307 CARES ACT Operating, Capital and Preventative Maintenance
CT-2021-012	\$1,384,000	2021	FFY 20 & 21 Capital Program
CT-2022-007	\$1,500,000	2022	Estuary Transit Section 5307 ARP Operating Assistance
CT-2023-003	\$2,856,000	2023	FFY 2022 Capital program
CT-2023-004	\$3,185,651	2023	Merging MAT Grants
CT-2023-009	\$5,640,000	2023	Estuary Transit District CRRSAA

ETD received Supplemental Funds for operating assistance in award numbers CT-2022-007, CT-2020-013, and CT-2023-009. This is not ETD’s first time receiving operating assistance from the FTA.

### Projects Completed

In the past few years, ETD completed the following noteworthy projects:

- Completed the transfer of all Middletown Transit District assets and services to the Estuary Transit District on July 1, 2022. The past three years were spent largely preparing for the transfer including performing marketing studies, fare studies, and acquiring equipment to make one seamless system.
- Launched a microtransit pilot project in May 2019, which has become a permanent service due to its popularity.

### Ongoing Projects

ETD is currently implementing the following noteworthy projects:

- Implementing systemwide recommendations from a 2019 comprehensive operational analysis, which indicated system wide service changes to improve routing and scheduling.
- In the process of changing the fare structure to be uniform across all services.

**Future Projects**

ETD plans to pursue the following noteworthy projects in the next three to five years:

- Construct new facilities to accommodate the system’s larger fleet. CTDOT will be responsible for procuring property, architecture and engineering services, and building the facilities.
- Renovate and expand a passenger terminal in Middletown. The current facility is over 40 years old and requires renovations and expansion of parking facilities to remain viable. CTDOT has conducted a feasibility study to determine if the parking area expansion could occur at the existing site and is determining the best path forward. CTDOT will be the recipient for any renovation or expansion project.

## IV. Results of the Review

### 1. Legal

Basic Requirement: The recipient must promptly notify the FTA of legal matters and additionally notify the USDOT Office of Inspector General (OIG) of any instances relating to false claims under the False Claims Act or fraud. Recipients must comply with restrictions on lobbying requirements.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Legal.

### 2. Financial Management and Capacity

Basic Requirement: The recipient must have financial policies and procedures; an organizational structure that defines, assigns, and delegates fiduciary authority; and financial management systems in place to manage, match, and charge only allowable costs to the award. The recipient must conduct required Single Audits, as required by 2 CFR Part 200, and provide financial oversight of subrecipients.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Financial Management and Capacity.

### 3. Technical Capacity – Award Management

Basic Requirement: The recipient must report progress of projects in awards to the Federal Transit Administration (FTA) and close awards timely.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Technical Capacity – Award Management.

### 4. Technical Capacity - Program Management & Subrecipient Oversight

Basic Requirement: States must document and follow a public involvement process for the development of the long-range statewide transportation plan and State Transportation Improvement Program (STIP). Designated recipients of Sections 5310, 5311, and 5339 funds must develop and submit a State Management/Program Management Plan to the FTA for approval. Recipients must enter into an agreement with each subrecipient, obtain required certifications from subrecipients, report in the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) on subawards, and ensure subrecipients comply with the terms of the award.

This section only applies to recipients that have subrecipients; therefore, the related requirements are not applicable to the Triennial Review of ETD.

## 5. Technical Capacity – Project Management

Basic Requirement: The recipient must be able to implement the FTA-funded projects in accordance with the award application, the FTA Master Agreement, and applicable laws and regulations using sound management practices.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Technical Capacity – Project Management.

## 6. Transit Asset Management

Basic Requirement: Recipients must comply with 49 CFR Part 625 to ensure public transportation providers develop and implement transit asset management (TAM) plans.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Transit Asset Management.

## 7. Satisfactory Continuing Control

Basic Requirement: The recipient must ensure that FTA-funded property will remain available to be used for its originally authorized purpose throughout its useful life until disposition.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Satisfactory and Continuing Control.

## 8. Maintenance

Basic Requirement: Recipients must keep federally-funded vehicles, equipment, and facilities in good operating condition. Recipients must keep Americans with Disabilities Act (ADA) accessibility features on all vehicles, equipment, and facilities in good operating order.

Finding: During this Triennial Review of ETD, a deficiency was found with the FTA requirements for Maintenance.

Deficiency Description:

***Late vehicle/vessel preventive maintenance (M2-1)***

FTA C. 5010.1E requires that recipients develop and implement maintenance procedures adequate to keep federally assisted property in good condition. Recipients must keep satisfactory records pertaining to the use of federally assisted property and submit to FTA, upon request, such information as may be required to assure compliance with federal requirements. A recipient is deficient if examination of preventive maintenance records shows that the recipient is not performing on-time preventive maintenance in accordance with its program at least 80 percent of the time.

An examination of selected preventive maintenance records for fixed-route and demand-response vehicles revealed the ETD is only completing on-time preventive maintenance in accordance with its vehicle maintenance plan 40% of the time.

This is a repeat deficiency from ETD’s FY 2019 Triennial Review.

Corrective Actions and Schedule: For the deficiency *Late vehicle/vessel preventive maintenance (M2-1)*, by January 16, 2024, ETD must submit to the FTA regional office procedures for completing vehicle preventive maintenance inspections on time.

By April 15, 2024, ETD must submit monthly reports signed by the chief executive officer or other senior management designee on preventive maintenance results until the data demonstrate the recipient has conducted 80 percent of its preventive maintenance on time for three consecutive months. For each vehicle that received a preventive maintenance inspection during the month, the recipient must include with the submittal to the FTA regional office:

- A report that lists the vehicle number, date of the inspection, mileage of the current inspection, mileage of the previous inspection, and the mileage interval between the two inspections for each vehicle that received a preventive maintenance inspection during the month. List the percentage of the inspections performed on time.
- Back-up documentation for each vehicle (e.g., copy of work order, printout from the maintenance management system) documenting the date and mileage of the inspection.

**9. Procurement**

Basic Requirement: The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, and conform to applicable Federal law and the standards identified in 2 CFR Part 200. State recipients can use the state’s overall policies and procedures. When applied to Federal procurements, those policies and procedures must still be compliant with all Federal requirements as applied to non-state recipients. The flexibility afforded by 2 CFR Part 200 should not be misconstrued as absolving a state from Federal requirements. For example, the FTA does not require each State DOT to have policies and procedures separate from the state education department.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Procurement.

**10. Disadvantaged Business Enterprise (DBE)**

Basic Requirement: Recipients must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of USDOT-assisted contracts. Recipients also must create a level playing field on which DBEs can compete fairly for USDOT-assisted contracts.

Finding: During this Triennial Review of ETD, no deficiencies were found with the US DOT requirements for DBE.

**11. Title VI**

Basic Requirement: The recipient must ensure that no person shall, on the grounds of race, color, or national origin, be excluded from participating in, or be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance without regard to whether specific projects or services are federally funded. The recipient must ensure that all transit services and related benefits are distributed in an equitable manner.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Title VI.

**12. Americans with Disabilities Act (ADA) – General**

Basic Requirement: Titles II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.

Finding: During this Triennial Review of ETD, no deficiencies were found with the US DOT requirements for ADA – General.

**13. ADA – Complementary Paratransit**

Basic Requirement: Under 49 CFR 37.121(a), each public entity operating a fixed-route system shall provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system. “Comparability” is determined by 49 CFR 37.123-37.133. Requirements for complementary paratransit do not apply to commuter bus, commuter rail, or intercity rail systems.

Finding: During this Triennial Review of ETD, no deficiencies were found with the US DOT requirements for ADA – Complementary Paratransit.

**14. Equal Employment Opportunity**

Basic Requirement: The recipient must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age or disability be excluded from participating in, or denied the benefits of, or be subject to discrimination in employment under any project, program or activity receiving Federal financial assistance under the Federal transit laws.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Equal Employment Opportunity.



**15. School Bus**

Basic Requirement: Recipients are prohibited from providing school bus service in competition with private school bus operators unless the service qualifies and is approved by the FTA Administrator under an allowable exemption. Federally-funded equipment or facilities cannot be used to provide exclusive school bus service.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for School Bus.

**16. Charter Bus**

Basic Requirement: Recipients are prohibited from using the FTA-funded equipment and facilities to provide charter service that unfairly competes with private charter operators. Recipient may operate charter only when the service meets a specified exception defined in rule.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Charter Bus.

**17. Drug Free Workplace Act**

Basic Requirement: Recipients are required to maintain a drug free workplace for all award-related employees; report any convictions occurring in the workplace timely; and have an ongoing drug free awareness program.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Drug-Free Workplace Act.

**18. Drug and Alcohol Program**

Basic Requirement: Recipients receiving Section 5307, 5309, 5311, or 5339 funds that have safety-sensitive employees must have a drug and alcohol testing program in place for such employees.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Drug and Alcohol Program.

**19. Section 5307 Program Requirements**

Basic Requirement: The recipient must participate in the transportation planning process in accordance with FTA requirements and the metropolitan and statewide planning regulations.

Recipients shall develop, publish, afford an opportunity for a public hearing on, and submit for approval, a program of projects (POP).

Recipients are expected to have a written, locally developed process for soliciting and considering public comment before raising a fare or carrying out a major transportation service reduction.

For fixed-route service supported with Section 5307 assistance, fares charged seniors, persons with disabilities or an individual presenting a Medicare card during off peak hours will not be more than one half the peak hour fares.

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for Section 5307 Program Requirements.

**20. Section 5310 Program Requirements**

Basic Requirement: Recipients must expend Section 5310 funds on eligible projects that meet the specific needs of seniors and individuals with disabilities. Projects selected for funding must be included in a locally developed, coordinated public transit-human services transportation plan. Recipients must approve all subrecipient leases of Section 5310-funded vehicles. Leases of Section 5310-funded vehicles must include required terms and conditions. Either the recipient or subrecipient must hold title to the leased vehicles.

This section only applies to recipients that receive Section 5310 funds directly from FTA; therefore, the related requirements are not applicable to the Triennial Review of ETD.

**21. Section 5311 Program Requirements**

Basic Requirement: States must expend Section 5311 funds on eligible projects to support rural public transportation services and intercity bus transportation.

This section only applies to recipients that receive Section 5311 funds directly from FTA; therefore, the related requirements are not applicable to the Triennial Review of ETD.

**22. Public Transportation Agency Safety Plan (PTASP)**

Basic Requirement: Recipients must comply with the Public Transportation Agency Safety Plan (PTASP) regulation (49 CFR Part 673) to ensure public transportation providers develop and implement an Agency Safety Plan (ASP).

Finding: During this Triennial Review of ETD, no deficiencies were found with the FTA requirements for PTASP Requirements.

### 23. Cybersecurity

Basic Requirement: Recipients that operate rail fixed guideway public transportation systems must certify compliance with the requirements for establishing a cybersecurity process under 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).

This section only applies to recipients that operate rail fixed guideway public transportation systems; therefore, the related requirements are not applicable to the Triennial Review of ETD.

## V. Summary of Findings

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
1. Legal	ND				
2. Financial Management and Capacity	ND				
3. Technical Capacity – Award Management	ND				
4. Technical Capacity – Program Management and Subrecipient Oversight	NA				
5. Technical Capacity – Project Management	ND				
6. Transit Asset Management	ND				
7. Satisfactory Continuing Control	ND				
8. Maintenance	D	M2-1*: Late vehicle/ vessel preventive maintenance	<p>ETD must submit to the FTA regional office procedures for completing vehicle preventive maintenance inspections on time.</p> <p>ETD must submit monthly reports signed by the chief executive officer or other senior management designee on preventive maintenance results until the data demonstrate the recipient has conducted 80 percent of its preventive maintenance on time for three consecutive months. For each vehicle that received a preventive maintenance inspection during the month, the recipient must include with the submittal to the FTA regional office:</p> <ul style="list-style-type: none"> <li>• A report that lists the vehicle number, date of the inspection, mileage of the current inspection, mileage of the previous inspection, and the mileage interval between the two inspections for each vehicle that received a preventive maintenance inspection during the month. List the percentage of the inspections performed on time.</li> <li>• Back-up documentation for each vehicle (e.g., copy of work order, printout from the maintenance management system) documenting the date and mileage of the inspection.</li> </ul>	<p>January 16, 2024</p> <p>April 15, 2024</p>	

Review Area	Finding	Deficiency Code(s)	Corrective Action(s)	Response Due Date(s)	Date Closed
9. Procurement	ND				
10. Disadvantaged Business Enterprise	ND				
11. Title VI	ND				
12. Americans with Disabilities Act (ADA) - General	ND				
13. ADA – Complementary Paratransit	ND				
14. Equal Employment Opportunity	ND				
15. School Bus	ND				
16. Charter Bus	ND				
17. Drug Free Workplace Act	ND				
18. Drug and Alcohol Program	ND				
19. Section 5307 Program Requirements	ND				
20. Section 5310 Program Requirements	NA				
21. Section 5311 Program Requirements	NA				
22. Public Transportation Agency Safety Plan	ND				
23. Cybersecurity	NA				

The metrics used to evaluate whether a recipient is meeting the requirements for each of the areas reviewed are: Deficient (D)/Not Deficient (ND)/Not Applicable (NA)

\* Denotes repeat deficiency

## VI. Attendees

Name	Title	Phone Number	E-mail Address
<b><i>Estuary Transit District</i></b>			
Joeseph Comerford	Executive Director	860-510-0429 ext. 101	jcomerford@estuarytransit.org
Christina Denison	Executive Assistant/ADA Assessor	860-510-0429 ext. 104	cdenison@estuarytransit.org
Mutez Ennab	Procurement/Grants Specialist	860-510-0429 ext. 131	mennab@estuarytransit.org
Halyna Famiglietti	Finance Director	860-510-0429 ext. 103	hfamiglietti@estuarytransit.org
Lisa Gibson	Human Resources Manager	860-510-0429 ext. 130	lgibson@estuarytransit.org
Patrick Hevrin	Maintenance Director	860-510-0429 ext. 124	phevrin@estuarytransit.org
Leslie Strauss	ETD Board Chair	860-510-0429	lstrauss69@gmail.com
<b><i>FTA</i></b>			
Peter Butler	Regional Administrator	617-494-2729	peter.butler@dot.gov
Michelle Muhlanger	Deputy Regional Administrator	617-494-2630	michelle.muhlanger@dot.gov
Alex Hammond	General Engineer	617-494-2304	alexander.hammond@dot.gov
Bert Pechhold	General Engineer	617-494-4914	bert.pechhold@dot.gov
Nathaniel Fowler	Program Analyst	202-366-3232	nathaniel.fowler@dot.gov
<b><i>AdSTM, Inc. &amp; Qi Tech, LLC</i></b>			
Keith Carlson	Lead Reviewer	608-780-8141	keith.carlson@adstm.com
Olivia Fonseca	Reviewer	916-261-2246	olivia_fonseca@qitechllc.com

# VII. Appendices



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION

Section V, Item 2.



2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546  
Phone: (860) 594-2834

November 14, 2023

Estuary Transit District (RVT)  
Attn: Joe Comerford, Executive Director  
91 N Main Street  
Middletown, CT 06457

Dear Mr. Comerford:

**Subject: RFP# OTR0126-23-R-12883:** Connecticut Department of Transportation Microtransit Pilot Program

Thank you for your participation via your company’s response to the Request for Proposal (RFP) referenced above. Our evaluation committee has conducted a comprehensive review of the proposals received and has evaluated each in accordance with the criteria outlined in the RFP.

**Congratulations; your organization has been selected to participate in the CTDOT Microtransit Pilot Program.** The Estuary Transit District (RVT) will receive a maximum award of **\$3,151,750** to provide microtransit service as proposed.

Mark Goodale will contact you shortly to discuss the next steps for the contract process. If you have any questions regarding this correspondence, please feel free to contact me. We are looking forward to a successful working relationship with your company.

In addition, the CTDOT is taking steps to strengthen its support for microtransit. As part of this effort, it is making resources from its statewide Travel Demand Management Program (TDM) CTrides available to all microtransit operators in Connecticut. CTrides can offer valuable assistance in marketing, communications, and outreach to promote your microtransit program. It has already supported successful initiatives such as River Valley Transit XtraMile service and Norwalk Transit Wheels2U program.

Sincerely,

*Lisa Rivers*  
Digitally signed  
by Lisa Rivers  
Date:  
2023.11.14  
08:50:00 -0500

Lisa Rivers  
Public Transit Administrator  
Bureau of Public Transportation

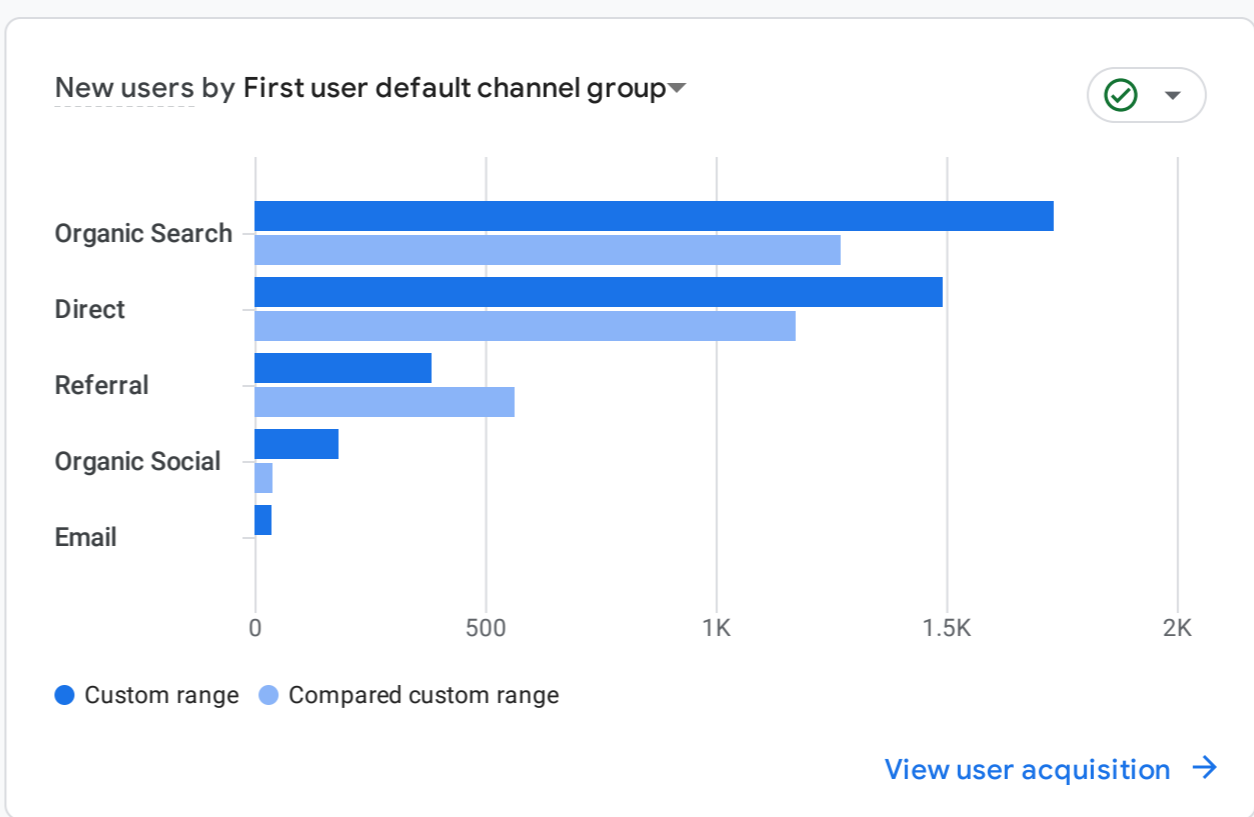
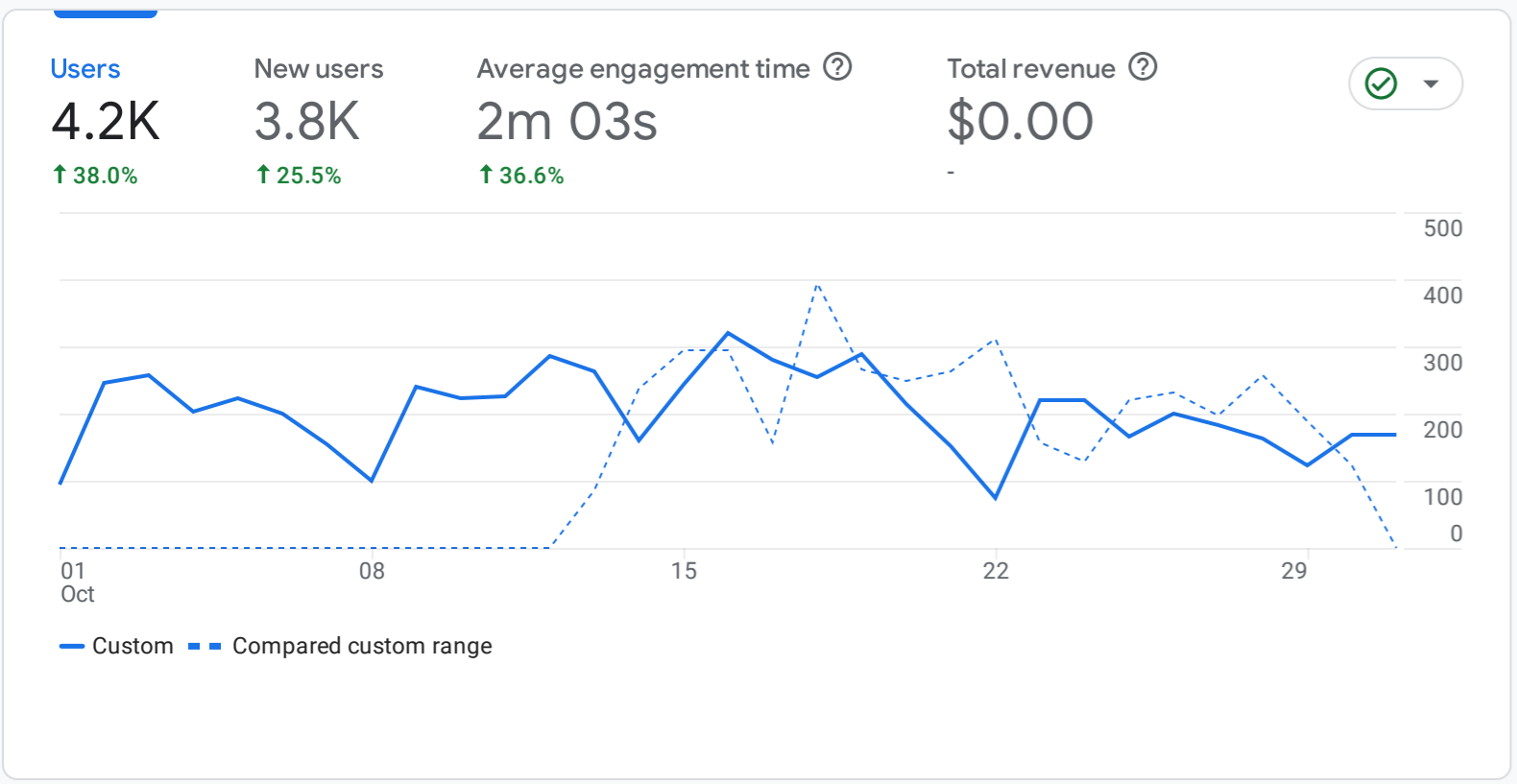
cc: Mark Goodale, Transportation Supervising Planner  
Tricia Chastanet, Bureau of Public Transportation



All Users [Add comparison](#)

Custom Oct 1 - Oct 31, 2023  
Compare: Sep 1 - Sep 30, 2023

### Reports snapshot

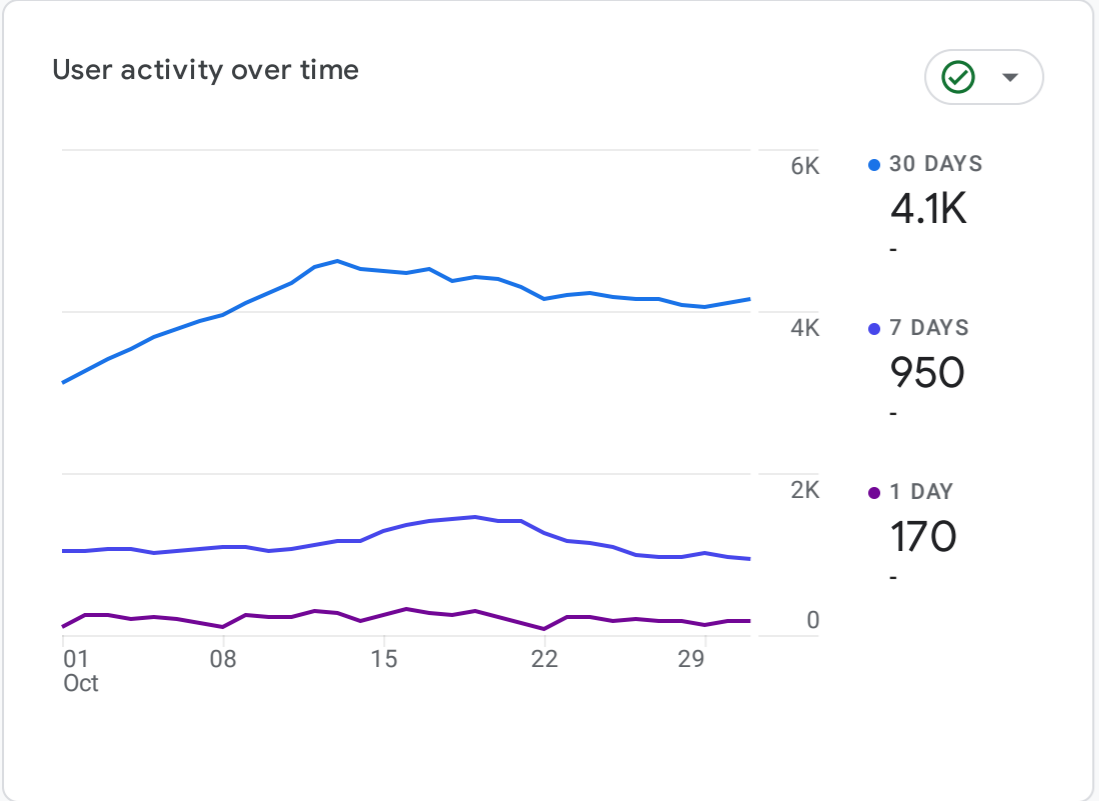


**Sessions by Session default channel group**

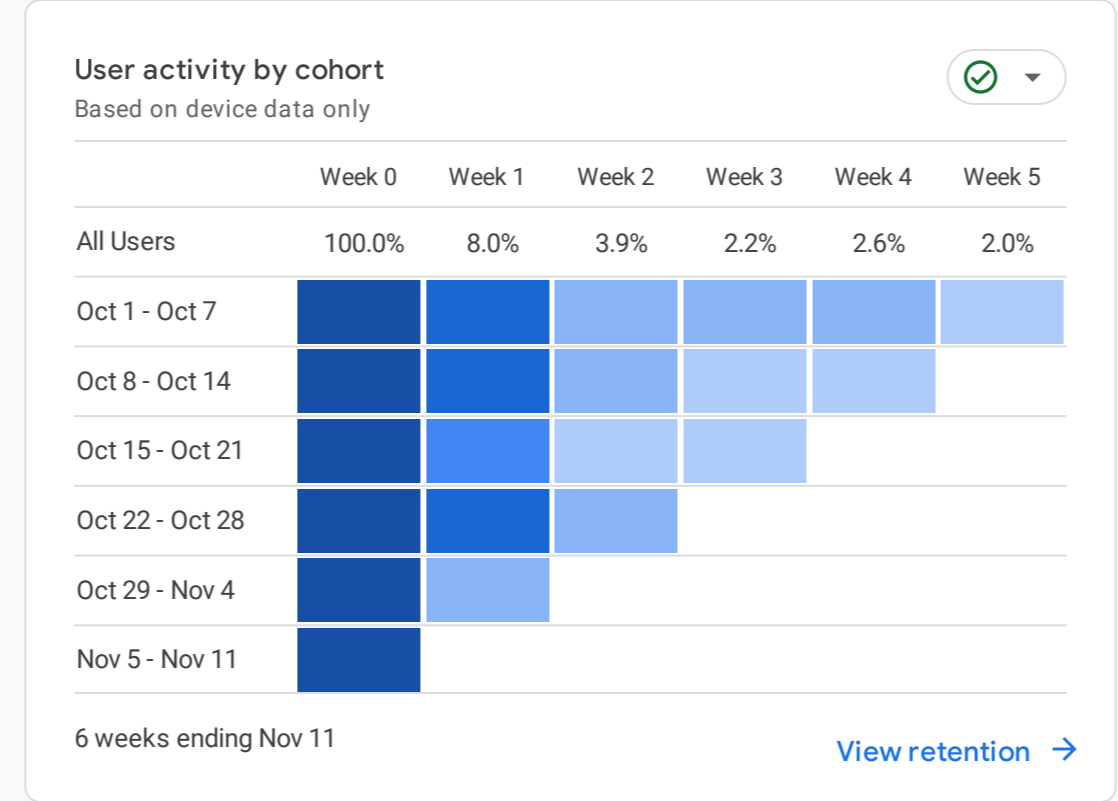
SESSION DEFAULT CHANN...	SESSIONS	Change
Organic Search	5.7K	↑ 108.4%
Direct	2.9K	↑ 58.6%
Referral	1.2K	↓ 12.8%
Organic Social	230	↑ 389.4%
Email	41	-
Unassigned	21	↑ 75.0%

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Schedules Archive - River Val...	7.7K	↑ 122.3%
Home - River Valley Transit	4.7K	↑ 60.1%
Saybrook Road - River Valley ...	1.6K	↑ 61.7%
Meriden/Middletown - River ...	1.5K	↑ 146.9%
Page not found - River Valley ...	415	↓ 75.8%
Newfield Street - River Valley...	1.3K	↑ 85.1%
Westlake Drive - River Valley ...	1.3K	↑ 90.5%

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EVENT NAME	EVENT COUNT	Change
page_view	27K	↑ 77.0%
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session_start	10K	↑ 68.2%
first_visit	3.8K	↑ 25.5%
scroll	3.4K	↑ 48.3%
click	1.4K	↓ 0.1%
file_download	1.1K	↑ 168.1...

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