

MAINE STATE LEGISLATURE

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Maine Turnpike Authority

2360 Congress Street
Portland, Maine 04102

Daniel E. Wathen, Augusta, Chairman
Diane M. Doyle, Saco, Vice Chairman
Robert D. Stone, Auburn
Gerard P. Conley, Sr., Portland
John E. Dority, Augusta
James F. Cloutier, Portland
Bruce A. Van Note, Deputy Commissioner DOT, ex officio

Peter Mills, Executive Director
Peter S. Merfeld, P.E., Chief Operations Officer
Douglas Davidson, Treasurer & Director of Finance
Jonathan Arey, Secretary & General Counsel

January 31, 2013

The Honorable Justin L. Alford
President of the Maine Senate
3 State House Station
Augusta, ME 04333-0003

The Honorable Mark W. Eves
Speaker of the House of Representatives
2 State House Station
Augusta, ME 04333-0002

Dear President Alford and Speaker Eves,

Please accept this letter as the report required by 5 M.R.S.A. § 12023 regarding the adoption and implementation of certain policies and procedures required by 5 M.R.S.A. § 12022.

General

The MTA is required by its bond resolution to have an annual financial audit conducted by an independent firm. We are also required by statute (23 M.R.S.A. 1964-A) to have an ongoing compliance audit by an independent firm to test staff compliance with MTA policies and procedures. The annual financial audit is available on our website and the Compliance Auditor's findings are reported on a quarterly basis to the MTA Board and to the Transportation Committee.

Specific Policy and Procedure Requirements

5 M.R.S.A. 12022 requires written policies and procedures regarding the following three categories of expense.

Selection of Vendors: The MTA has been statutorily required to use competitive procurement since the spring of 2011. On December 20, 2012 the MTA's board adopted amendments to the MTA Procurement Policy which cause that policy to be fully compliant with the requirements of 5 M.R.S.A. 12022.

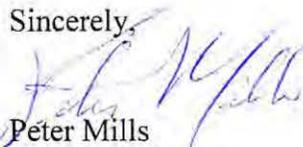
Contributions: In the spring of 2011, the MTA Board passed two resolutions, one to ban donations to outside organizations and the second to adopt a list of those organizations approved for MTA membership along with a detailed annual budget for membership costs. These costs are reviewed by the Board at least annually.

Travel, Meals and Entertainment: The MTA's current Travel Policy covers the first three requirements of 5 M.R.S.A. 12022 (5). The MTA's accounting procedures satisfy the fourth requirement - that travel, meal and entertainment costs are budgeted and accounted for separately from other expenditures. The MTA's Bond Resolution satisfies the fifth requirement by mandating that the board annually approve the MTA Operating Budget, which includes the annual budget for travel, meals and entertainment expenses broken down by department. The board receives annual reports on actual expenses and the Chairman receives monthly reports on the same.

Lobbyists

The MTA has not employed any person, other than MTA staff, for the purpose of lobbying since March, 2011.

Questions on this report may be directed either to myself or to Dan Morin who may be reached at 207-871-7154 or DMorin@maineturnpike.com.

Sincerely,

Peter Mills
Executive Director

(207) 858-6400