



Connecticut Department of Transportation  
**Office of Contract Compliance**

# **Title VI Update & Accomplishment Report**

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# Title VI Program Summary

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## Introduction

### I. Title VI Plan – (Agency Responsibility)

The Connecticut Department of Transportation (CTDOT) is a recipient of federal financial assistance. As a federal-aid recipient, CTDOT will ensure full compliance with *Title VI of the Civil Rights act of 1964*, as amended (referred to as Title VI) and related statutes and regulations in all CTDOT programs and activities. Specifically, Title VI provides that *no person in the United States shall, on the ground of race, color or national origin be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.*

The Office of Contract Compliance (OCC) has the primary responsibility for implementing CTDOT's Title VI Program. The OCC Manager administratively reports to the Bureau of Finance and Administration, Director of Special Projects and periodically briefs the Commissioner's Office regarding Title VI issues in the role of CTDOT Title VI Coordinator. As the CTDOT's Title VI Coordinator, the OCC Manager initiates and monitors the department's Title VI activities, processes Title VI and Title VIII complaints, and prepares requisite reports. The CTDOT's Commissioner has delegated the responsibility for the Title VI implementation to each Bureau Manager through the issuance of a Policy Statement and Assurance.

To assist the CTDOT Title VI Coordinator, each Bureau Manager has appointed a Title VI Liaison. This individual is responsible for performing periodic Title VI reviews within the Bureau and coordinates with the CTDOT Title VI Coordinator regarding Title VI Review observations/recommendations, data collection, and data reporting. The Title VI Liaison Designee will have a responsible position within the Bureau's program area and will have the support of the Bureau Manager when performing Title VI reviews and performing data collection, analysis and reporting. The Title VI Liaison will meet periodically with the CTDOT Title VI Coordinator; and will submit to the Title VI Coordinator periodic Title VI reports.

### II. Title VI Policy Statement and Assurances

Title VI Policy Statement (see Exhibit A) and Assurances – (see Exhibit B)

### III. Organization, Staffing and Structure

Organizational Chart – see Exhibit C

## IV. Title VI Compliance Procedures

### **Describe actions to promote Internal and External compliance with Title VI:**

The Department has developed a Title VI investigation process and tracking procedures for the processing of Title VI complaints filed with the Department that allege discrimination based on race, color or national origin that are related to the Department's services or benefits. The Department maintains a log of all Title VI investigations, complaints, or lawsuits filed with the agency.

The complaint process is posted on the Department's website and posters are located in common public areas. CTDOT will periodically physically inspect posting sites to insure that postings remain current and accessible. In order to further provide information to the public, the Department will make the Title VI brochures notifying beneficiaries of their Title VI protections and how to file a Title VI complaint available at public meetings and hearings.

During this reporting period, there were no complaints filed under Title VI.

### **Access to Services by Persons with LEP**

The Department and its subrecipients/grantees have undertaken public outreach and involvement activities to ensure that minority, low-income and Limited English Proficiency (LEP) persons had meaningful access to programs, services, and information. The Department has a policy that adheres to the Title VI requirements. The Department provides numerous opportunities for the public to be involved in the identification of impacts of proposed transportation decisions.

The department also developed various maps by using either U.S. Census 2010 or American Community Survey (ACS) 2007-2011 data. The data includes statewide Limited English Proficiency (LEP), Minority, and Poverty. The Statewide Language Groups with LEP maps were compiled by putting Safe Harbor Provision into consideration. These maps depicted all LEP language groups with either  $\geq 5\%$  of total population and/or more than 1000 people within the census tract. Only Spanish and Polish LEP population met both over 5% and greater than 1000 criteria. Because of the overlay problems on hardcopies, Spanish and Polish LEP maps were created separately. Other small LEP language groups only met the over 5% criterion. They were compiled into one map. Three language LEP maps were prepared.

The maps may be viewed at: <http://www.ct.gov/dot/cwp/view.asp?a=3529&q=305564&dotNav=1>

### **Promoting Public Participation (Information Dissemination)**

The Department has developed a *Public Involvement Guidance Manual* that includes tips for reaching out to low-income, minority, and LEP populations.

The Department has also developed *Public Involvement Procedures* (PIP) which establishes a proactive public involvement process that provides complete information, timely public notice,

full public access to key decisions, and supports early and continuing involvement of the public in developing plans and transportation improvement programs. This includes communities affected by Title VI, Executive Order 12898 (Environmental Justice), and individuals with Limited English proficiency. The document is included in the Statewide Transportation Planning document. The Connecticut General Assembly has established three advisory committees to provide input on transportation services, programs, and services. Information on the advisory committees is contained in the PIP.

The description of the steps the Department and its contractors have taken to promote public participation and examples of the information that is disseminated are contained in PIP.

The Department has updated its community outreach directory. CTDOT is also working to develop relationships with community based groups to assist in disseminating information to their constituents.

### **Notifying Beneficiaries of Protection under Title VI**

A Title VI Policy Statement has been developed that provides a description of the procedures that members of the public can follow in order to request additional information on the Department's nondiscrimination obligations. The Department notifies beneficiaries of their rights under Title VI and the procedures the public may follow to file a discrimination complaint on the Department's website [www.ct.gov/dot](http://www.ct.gov/dot) under Civil Rights and Accessibility. The Title VI protections and complaint procedures are also posted on bulletin boards throughout the agency and will be posted in public areas serving the beneficiaries of public transportation.

### **Affirmative Action Plan Reviews during this reporting period:**

There were a total of 1024 Affirmative Action Plans approved during this reporting period.

### **V. Title VI Compliant Process and Procedure**

There were no Title VI Complaints filed during this reporting period. There were several meetings with minority contractors and organizations representing minority contractors to discuss issues relevant to their access to Department opportunities.

### **Tracking and Investigating Title VI Complaints**

All Title VI complaints will be filed in accordance with the following Title VI Complaint Procedures:

Any person alleging to be aggrieved by a discriminatory practice may in person or through a legal representative, obtain a Title VI Complaint Reporting Form, and file the completed form with the Title VI Coordinator or Bureau Head within 180 days following the date of the alleged discriminatory action or the date when the person(s) became aware of the alleged discriminatory action. The Title VI Coordinator or Bureau Head may complete the Complaint Reporting Form and attach the Complainant's letter.

All complaints will be referred to the Department's Title VI Coordinator. The Title VI Coordinator will review the complaint and inform the appropriate program area designee. Complaints must be in writing, signed by the Complainant or a representative, and include the Complainant's name, address, and telephone number, or other means by which the Complainant may be contacted. Complaints shall explain as fully as possible the facts and circumstances surrounding the alleged discriminatory action, and identify the individual(s) and/or organization(s) responsible for the alleged discriminatory action. In cases where the Complainant will be assisted in converting an oral complaint into a written complaint, the Complainant is required to sign the written complaint. Signed allegations of discrimination received by facsimile or e-mail will be acknowledged and processed. Complaints received by telephone will be put in writing and provided to the complainant for confirmation, revision, and signature before processing.

The Title VI designee or the individual receiving the written complaint will review the complaint to ensure that the required information is provided, the complaint is timely, and is within the appropriate jurisdiction. The complaint will be accepted unless it is withdrawn, is not filed within the allowed time period, or the Complainant fails to provide required information after a written request for omitted/ additional information.

Issues that do not involve discrimination or are not based upon a protected basis pursuant to Title VI will not be processed as a Title VI complaint. Individuals will not be discouraged from filing a written complaint.

### **Internal Complaint Procedures**

Written complaints filed with the Department will be analyzed and investigated by the Title VI Coordinator. The Department will notify a Respondent named in a complaint by mail and the Respondent will be contacted for an interview. The complaint investigation will be completed within forty (40) days of the date of receipt of the complaint.

The Title VI Coordinator will prepare an investigative report (IR) after conducting the investigation and forward a copy of the complaint Civil Rights Specialist, within sixty (60) days of the date of receipt of the complaint.

A complaint log will be maintained for all complaints filed with and investigated by the Department. The Investigator will advise the Complainant of his/her rights under Title VI, and related statutes.

### **Investigation Process**

The Investigation Process includes the following:

- Investigative Plan
- Request for Information
- Conducting Interviews
- On-Site Visit
- Obtaining Evidence
- Analyzing Data
- Writing the Investigative Report

## **Investigative Plan**

The Investigative Plan is an internal document for use by the Investigator and their supervisor that will define the issues of the complaint. The following elements are contained in an Investigative Plan:

- 1) Complainant(s) Name and Address/Attorney For Complainant with Name and Address
- 2) Respondent(s) Name and Address/Attorney For Respondent with Name and Address
- 3) Applicable Law
- 4) Basis
- 5) Issue(s)
- 6) Background
- 7) Name of Person(s) to be Interviewed, including Questions for the Complainant, Respondent and Witness(es)
- 8) Evidence to be Obtained During the Investigation

## **Request for Information**

The Request for Information is sent to the appropriate official(s) at the respondent's facility. Contact is made with the Respondent to advise him/her of the complaint and to determine the appropriate official(s) to interview.

The cover letter to transmit the Request for Information should explain the process and provide information regarding any meetings that have been scheduled. Modify the cover letter to satisfy the circumstances. Provide the Request for Information to the Respondent prior to conducting the on-site visit. This will facilitate the availability of evidence during the on-site visit.

## **What is an Investigation:**

An investigation is an official inquiry for the purpose of determining whether there has been a violation of the laws or statutes and includes a determination of appropriate relief where a violation has been found. An investigation requires an objective gathering and analysis of the evidence, which will ensure that the final decision is as accurate as possible.

## **Role of the Investigator:**

The investigator is a neutral party provided by the agency to conduct an investigation of the issues raised in a complaint. The investigator's behavior, demeanor, and attitude reflect the agency and may affect the degree of cooperation received from the parties. The investigator has an obligation to identify and obtain relevant evidence from all available sources in order to resolve all of the issues under investigation. ***The investigator is not an advocate for the complainant or the respondent.*** The investigator is a neutral fact finder.

## **Responsibilities of the Investigator:**

The Investigator MUST:

- Never express his/her opinions;
- Never tell the parties that the complaint represents a good case or that the complaint is frivolous;
- Always remain NEUTRAL. DO NOT take sides;
- Write the FACTS. State what the facts are based upon the evidence or testimony;
- Stay in control at all levels of the process;

- Decide who is to be interviewed. If the Complainant or the Respondent is adamant about a witness interview, perform the interview;
- Decide when sufficient evidence has been gathered to begin writing the investigative report;
- Always remain professional and polite;
- Be patient; and
- Be a good listener.

### **Conducting Interviews**

Interviews are conducted of witnesses who can provide information that will either support or refute complaints. A list of major questions should be prepared that address the issues involved in the complaint. During the interview, the following steps are recommended:

- Introduce yourself and outline the interviewing process
- Place the person being interviewed at ease;
- Listen effectively;
- Differentiate factual information from opinions;
- Ask questions best worded to provide factual responses;
- Take clear and precise notes; and
- Obtain a signed statement from the person being interviewed.

**COMPLAINANT** – The purpose of interviews is to gain a better understanding of the situation outlined in the complaint of discrimination. The Investigator contacts the Complainant to ensure that he/she understands the Complainant's allegation(s). It is recommended that the Investigator interview the Complainant prior to preparing the Investigative Plan. If this is not possible, changes are made as appropriate to the Investigative Plan based upon any new information provided by the Complainant.

**RESPONDENT** – Respondents are interviewed to provide an opportunity to respond to the allegations raised by the Complainant as well as to provide the Investigator the opportunity to understand the Respondent's operation or policies that Complainant cites in the complaint. You will need to discuss the Request for Information with the Respondent and be able to explain the need for requesting any document on the list. The Respondent is informed of their right to submit a formal position statement addressing the Complainant's allegations. The Investigator may also question the Respondent regarding possible settlement opportunities.

**WITNESSES** – The Complainant or Respondent may request that additional persons be interviewed. Determine what relevant information, if any, a witness has to provide prior to conducting an interview. Only interview persons who have information relevant to the allegations raised in the complaint of discrimination.

### **On-Site Visit**

An On-Site visit will be conducted when:

- Personal contact with the Complainant and the Respondent may yield information and clarification that might not otherwise be discovered by only reviewing the written documents or by telephone contacts;
- It is necessary to review the physical environment;

- More effective communication can be established with representatives and witnesses of the Complainant and Respondent; and
- Documentation can only be examined on-site for reasons of convenience, cost, format, or volume.

### **Obtaining Evidence**

Evidence requested should be related to issues cited in the complaint. An evidence request should contain some or all of the following:

- The policies and procedures regarding the practice that Complainant has alleged;
- All documents relating to the Respondent's dealing with the Complainant in the situation described in the complaint;
- Documents which exhibit how others, not in the Complainant's group, were treated under similar circumstances;
- Respondent's reason(s) for the action taken; and
- A formal position statement from Respondent addressing Complainant's allegations.

The Types of Evidence includes the following:

- **CIRCUMSTANTIAL EVIDENCE** – Includes facts from which may be inferred intent or discriminatory motive and proves intent by using objectively observable data;
- **COMPARATIVE EVIDENCE** – A comparison between similarly situated individuals;
- **DIRECT EVIDENCE** – Related to the Respondent's motive, it is defined as any statement or action by an official of the Respondent that indicates a bias against members of a particular group;
- **DOCUMENTARY EVIDENCE** – Written material which is generated during the course of normal business activity;
- **STATISTICAL EVIDENCE** – Statistics, facts, or data of a numerical type, which are assembled, classified, and tabulated so as to present significant information about a given subject; and
- **TESTIMONIAL EVIDENCE** – Evidence that is provided orally.

### **Analyzing Data**

Data will be analyzed to determine whether a violation has occurred. When analyzing data you must:

- Review what happened to the Complainant
- Compare the Complainant's treatment with the appropriate policies and procedures;
- Compare the Complainant's treatment with others in the same situation;
- Review the Respondent's reason(s) for the treatment afforded the Complainant; and
- Compare the Respondent's treatment of the Complainant with the treatment afforded others.

## Writing the Investigative Report

The Investigative Report (IR) will contain the following sections:

### Theories of Discrimination:

*A Theory of Discrimination* refers to the *Type of Discrimination*:

- INTENTIONAL DISCRIMINATION/DISPARATE TREATMENT – The decision maker was aware of the complainant's race, color, national origin, sex, age, or disability and acted at least in part because of that information. The action was taken because of the complainant's race, color, national origin, sex, age, or disability;
- DISPARATE/ADVERSE IMPACT – Discrimination which occurs when a neutral policy or procedure has a disproportionate impact on a protected class. The practice, even though applied equally to all, has the effect of excluding or otherwise adversely affecting a particular group; and
- RETALIATION – Discrimination against persons because of the filing of a complaint, participation in an investigation, or opposing a practice made unlawful pursuant to the laws.

### Elements of Proof:

How does the investigator prove discrimination?

- Establish a Prima Facie Case – The complainant has the responsibility of initially establishing a prima facie case of discrimination. A prima facie case means that the complainant has provided information, which contains all of the elements necessary for a complaint of discrimination. Establishing a prima facie case requires the following elements:
  1. Complainant is a member of a protected group;
  2. Complainant was harmed by some decision; and
  3. Similarly situated persons of a different group were not or would not have been harmed under similar circumstances.

These elements constitute an ideal complaint of discrimination and establish a prima facie case. However, in many situations, the Investigator will not initially have all of these elements. It is the Investigator's responsibility to obtain from the complainant all missing information.

- During the investigation – One of the first items that must be determined by the Investigator from the Respondent, are the reasons for the Respondent's actions against the Complainant. In other words, establish the Respondent's legitimate non-discriminatory reasons for the actions taken against the Complainant. The Investigator must also obtain evidence to determine whether the Respondent's reasons are true based upon the evidence or whether the reasons are an excuse (pretext) to discriminate against the Complainant.
- Obtaining the evidence -- During the investigation, the Investigator should obtain the following types of evidence:
  1. Respondent's policies and procedures;
  2. Evidence establishing actions taken against the Complainant;

3. Evidence establishing how others, not in the Complainant's group, were treated in similar situations;
4. Evidence establishing the normal policies and procedures and how the Respondent followed or did not follow the normal policies and procedures when making the decision or taking action involving the Complainant;
5. Evidence establishing whether the Respondent followed the normal policies and procedures for similarly situated persons; and
6. A position statement from the Respondent outlining the reasons for the action taken against the Complainant.

### **Examples of Elements of Proof:**

#### Intentional Discrimination –

- Complainant is a member of a protected group;
- Complainant was excluded from participation in or denied the benefits of a program or activity receiving federal financial assistance;
- Complainant was rejected despite his/her eligibility;
- Respondent selected applicants, whose race, color, national origin, sex, age, or disability were different from the Complainant; or
- The Program remained open and the Respondent continued to accept applications from applicants of a different race, color, national origin, sex, age, or disability than the Complainant.

#### Disparate/Adverse Impact –

- Respondent has a facially neutral policy or practice that has affected the Complainant;
- The policy or practice operates to disproportionately exclude members of the protected group;
- The policy or practice is a business necessity; or
- There is an effective business alternative with a less adverse impact.

#### Retaliation –

- Complainant opposed any policy or practice made unlawful or participated in any manner in an activity pursuant to the laws prohibiting discrimination;
- The individual who allegedly retaliated against Complainant knew or should have known of the opposition or participation;
- An adverse action was taken against the Complainant subsequent to the protected activity;
- There was a **\*causal connection** between the opposition or participation and the decision made involving the Complainant;
- There was a legitimate non-discriminatory reason for the action taken; or
- The articulated reason is a pretext for retaliatory discrimination.

#### **\*Causal Connection:** To establish a causal connection, establish the following –

- Did the treatment of the Complainant change after the protected activity;
- Time line: How long after the initial protest did the adverse action occur; and
- Compare the Complainant's treatment with others who were not engaged in the protected activity.
  - Complainant(s) Name and Address

- Respondent(s) Name and Address
- Applicable Law
- Basis
- Issues
- Findings for each issue with a corresponding conclusion for each issue
- Recommended Decision
- Recommendations (If Applicable)

## Program Area Reports

The following information describes the location of the major program functions with (Agency Name) and identifies accomplishments, applicable operational guidelines, process, and responsibilities of the various sections.

### A. Planning

#### a-1. Describe the planning activities that are performed?

Develops program and policy direction to address the State's transportation needs. Evaluates improvements and their impacts upon the State's socio-economic and environmental resources and assists in the development of the Department's capital program to best address the needs within financial constraints. Provides administrative direction for the operation of the Bureau.

#### Policy and Planning – Thomas J. Maziarz

Directs and coordinates the activities of the Office of Policy and Planning.

#### Office of Policy and Planning – Robbin L. Cabelus

Directs and coordinates the activities of the Divisions of Roadway Information Systems; Coordination, Modeling & Crash Data; Strategic Planning & Projects; Environmental Planning; and Highway Safety.

#### Division of Roadway Information Systems – Michael J. Connors

Collects, processes, stores, and distributes Connecticut roadway traffic volumes associated with State and local public roadways. These data are utilized for program and project development, for input to various federal, State, municipal, and other public- and private-sector reports, and form the basis for developing traffic projections. In addition, weigh-in-motion is performed using permanent and portable sensors which are used to collect information relative to the weight of the trucks using the State's roadway system.

Prepares forecasts of travel demand based upon socioeconomic, demographic, and transportation system characteristics; analyzes the current and future levels of service/congestion, transit usage, air quality, and traffic volume based upon existing and future transportation plans and programs; determines and maintains the functional classification of the State road system; provides computer support to the Bureau and geographic information systems services to the Department.

### **Division of Coordination, Modeling, & Crash Data – Maribeth C. Wojenski**

Develops, maintains, and coordinates federal approval of the State Transportation Improvement Program and periodic revisions; coordinates the development of air quality conformity reports with regional planning organizations and local officials. Reviews and coordinates comments on state transportation –related legislation and regulations.

Coordinates the regional planning organizations' planning efforts to insure that the planning process is conducted in accordance with the requirements of federal laws and regulations. Coordinates the development of transportation plans and programs with the regional planning organizations. Coordinates the department's review and provision of input on draft plans developed by other state agencies, municipalities and by neighborhood revitalization zone committees.

Prepares forecasts of travel demand based upon socioeconomic, demographic and transportation system characteristics; analyzes the current and future levels of service/congestion, transit usage, air quality, traffic volume based upon existing and future transportation plans and programs; determines and maintains the functional classification of the state road system; provides computer support to the Bureau and geographic information systems services to the Department.

Collects, processes, stores and distributes Connecticut roadway accident data associated with state and local public roadways. These statistics are utilized for program and project development, for input to various federal, state, municipal and other public- and private-sector reports, and form the basis for developing traffic projections.

### **Division of Strategic Planning & Projects – Colleen A. Kissane**

Develops Department-wide policies, principles, and best practice methods for improving resource allocation and utilization decisions; implements Transportation Asset management principles, practices and policies to effectively and efficiently maintain, preserve, manage and upgrade Connecticut's transportation infrastructure; prepares and posts quarterly performance measures for all Bureaus; compiles an inventory from all operating Bureaus in order to analyze the condition of the Department assets, including but not limited to roadways, structures, capital facilities, rail, bridges, ports, rest areas, and commuter lots. Analysis could include tracking the performance/deterioration of resources, researching strategic tradeoffs between preservation, operations, and capacity expansion, choosing materials, construction methods, and preservation/maintenance approaches. Reviews State and federal transportation-related legislation and regulations; develops, publishes, and distributes the State Long-range Transportation Plan.

Prepares forecasts of travel demand based upon socioeconomic, demographic and transportation system characteristics; analyzes the current and future levels of service/congestion; transit usage; traffic volumes based upon existing and future transportation plans and programs; and administers the expansion and maintenance of the Department's commuter parking lot program.

Performs studies on all modes of transportation and oversees the Transportation

Enhancement and Safe Routes to School programs. The transportation modes include transit, highway, aviation, maritime, freight, and bicycle and pedestrian. Conducts corridor needs assessments and alternatives analyses for all transportation modes, and develops near- and long-term implementation plans that can guide Connecticut's transportation infrastructure improvements over the next 20 years; prepares and evaluates highway location conceptual plans and layouts; conducts transit planning studies; evaluates transit alternatives; conducts port and ferry studies; plans and coordinates the development of bicycle and pedestrian facilities; develops master plans for state-owned airports and conducts other aviation planning activities.

### **Division of Environmental Planning – *Mark Alexander***

Develops and administers policy on environmental issues (e.g., noise, climate change, cultural, natural and water resources) affecting the Department's programs and projects; prepares and oversees environmental documents required by the State and federal laws and regulations. These documents include transportation, noise, and historic/archaeological studies; State and federal water resources permit applications for Department projects. This office also performs environmental surveillance of construction activities to ensure compliance with permits; acts as liaison with State and federal regulatory agencies regarding environmental issues and the State Historic Preservation Office regarding cultural resources.

#### **a-2. Describe action taken to promote Title VI compliance regarding planning activities, including monitoring and review processes, and their outcome or status.**

The Department has requested that the MPOs emphasize/reemphasize Title VI as a task item in their UPWPs. The MPOs are required in their regularly scheduled quarterly reports submitted to the Department to provide report on Title VI, EJ and LEP endeavors. Each MPO has also been instructed to forward a copy of this report to the Department Title VI coordinators. When reviewing the Triennial Certification process in the TMAs, the Department will also review and update each RPO's Title VI process.

#### **a-3. How many consultant projects for planning were awarded during this reporting period and the dollar value?**

No. of consultant contracts for planning were awarded during FFY13 – 1 value \$1.9m  
No. of consultant projects for planning were awarded during FFY13 – 23 (task based) value \$4.210m

#### **a-4. Describe efforts made to utilize minority and female consultants and sub-consultants in federally-assisted contracts?**

It is the policy of CTDOT to comply with 49 Code of Federal Regulations, Part 26, to ensure that Disadvantaged Businesses, including minorities and women, have an equal opportunity to receive and participate in federally assisted contracts. CTDOT does not exclude any person from participation in, deny any person the benefits of, or otherwise discriminate in connection with the award or performance of any contract covered by 49 CFR Part 26 on the basis of race,

color, sex, or national origin. Efforts made to use minority and female consultants during FY 20-- include the following outreach activities:

- **Disadvantaged Business Enterprise (DBE) Goals.** As part of CTDOT outreach efforts to use minority and female consultants, when appropriate, proposals include a Disadvantaged Business Enterprise (DBE) goal. Certified DBE firms can encompass small, minority and women-owned firms. As a condition of award, the successful bidder must make good faith efforts to meet this DBE goal. The proposer establishes good faith efforts when it documents that it has obtained enough DBE participation to meet the DBE goal; or documents that it has made adequate efforts to do so although unsuccessful.

- **Consultants Selection Procedures.** The Connecticut Department of Transportation's (Department) process for obtaining professional consulting services is in accordance with Sections 13b-20b through 13b-20k of the Connecticut General Statutes (CGS) and all applicable Federal laws, regulations and policies. This process is intended to permit the Department to select Consultants and award contracts for various professional services on an impartial, equitable and rational basis.

#### Federal Compliance

This process is in compliance with the following Federal laws and regulations:

- Federal Law 40 USC 1101 through 1104 (Brooks Act);
- Federal Law 23 UCS 112; and
- Federal Regulation 23 CFR 172

and as such, ensures that the Department advertises for professional consultant services, reviews and ranks the responses received, and selects consultants based on demonstrated competence and qualifications for the type of engineering and design related services being procured where cost is not a part of the selection process consistent with the required Quality Based Selection requirements as stipulated in the Federal regulations, laws and policies. Any modifications to this document must be coordinated through the Federal Highway Administration.

#### Consultant Prequalification

Every year, in accordance with CGS Section 13b-20e, the Department publishes notice in newspapers with a statewide circulation and various national trade publications soliciting firms to become prequalified in technical categories that there is an expected need for in the upcoming year. A Technical Qualifications Panel typically consisting of the Chief Engineer, the Engineering Administrator, and the Construction Administrator reviews all submittals and recommends prequalification in the categories that they deem a firm is technically capable.

#### **a-5. Have studies been conducted which provide data relative to minority persons, neighborhoods, income levels, physical environments, and travel habits?**

The agency will continue to review all proposed projects for their potential to have a disproportionate impact on low-income and minority populations that are subject to additional consideration in accordance with applicable Title VI and Environmental Justice provisions through the Environmental Review process.

**a-6. List the number of public meetings and hearings held during the reporting period. What efforts were utilized to insure public participation in the hearings, particularly minorities and women? Were minorities and women, both individually and through their organizations, represented in the public participation effort? How many, and in what capacity?**

Each proposed transportation project is reviewed during the initial environmental review and or planning study for any adverse impacts to minorities or areas of low income, using census data in conjunction with the project description and any design plans that are available at this stage. If any adverse impacts are anticipated, the project manager will contact the Department's Title VI coordinator, Debra Goss, for further coordination efforts. Additionally, the project manager will be alerted if the project takes place in a census tract that is home to ethnic populations with significant (5% or greater) limited English proficiency. This may require the project manager to conduct any required public outreach in a manner that will best reach these types of populations. This can involve publishing notices in newspapers printed in different languages or reserving a translator for public hearings or public meetings.

**a-7. Is there effective public involvement/participation within the planning process?**

Yes. Federal Statewide Planning and Metropolitan Planning Regulations (23 CFR Part 450 and 500 & 49 CFR Part 613, February 14, 2007) require that state transportation agencies and Metropolitan Planning Organizations (MPOs) develop public involvement procedures. Pursuant to these regulations, the Connecticut Department of Transportation (Department) has established and implemented a Public Involvement Plan and Public Involvement Guidance Manual. This process is available on our website and approved by FHWA and FTA in December 2009.

**a-8. Is input from affected groups/persons adequately considered within the Planning Process?**

Yes. This is outlined in the Public Involvement Procedures document and the Public Involvement Guidance Manual.

**a-9. Is there coordination with Native American tribal governments in statewide metropolitan transportation planning?**

Yes – The Southeastern Connecticut Council of Governments includes, as non-voting affiliate members, two federally recognized Native American Tribes.

**a-10. Are the collection/data analysis processes sufficiently inclusive to identify community boundaries, and to effectively assess demographic groups, income levels/property taxes, and community services/schools/hospitals/shopping areas?**

During the environmental review process each project is examined for any socioeconomic impacts. Census data and Geographic Information Systems are used to determine if projects have the potential to cause disproportionate impacts to any minority or low income population.

**a-11. Are Social Economic and Environmental (SEE) effects and impacts identified, described and analyzed?**

Yes, every project undergoes an Environmental Review to determine if any significant social, economic, and environmental impacts are present. If the project requires an environmental document such as an EIE, EA, or EIS, these effects are analyzed in greater depth.

**B. Environmental**

**b-1. Are Social, Economic, and Environmental (SEE) impacts adequately identified?**

Yes, every project undergoes a comprehensive Environmental Review to determine if the proposed undertaking will have any Social, Economic, or Environmental impacts. This process identifies impacts to minority or low-income populations, public parks/recreation areas, scenic highways, bicycle routes, historic/archaeological resources, water/natural resources, endangered species, noise, and air quality.

**b-2. Is the potential for disproportionate or discriminatory impacts adequately addressed?**

Yes, each project is examined for any disproportionate impacts to any minority/low-income population or those populations having Limited English Proficiency during the Environmental Review Process. Current data is gathered using GIS / Census data and project engineers are notified to contact CTDOT's Title VI coordinator if there appears to be disproportionate impact to any of these populations. This office also reviews all Environmental Justice Sections of any Environmental Document (EA, EIS, EIE), etc.

**b-3. Describe action taken to promote Title VI compliance regarding environmental affairs, including monitoring and review processes and their outcomes or status.**

All projects are reviewed for disproportionate impacts to populations sensitive to Environmental Justice as noted in b-1, and b-2 above. The Title VI coordinator is notified of projects that may impact EJ populations. In addition, the Title VI coordinator is forwarded the Socio-Economic/Environmental Justice sections of any environmental documents to review and comment.

**b-4. List the employees in the Environmental program, including the Titles, Ethnicity, and Gender.**

Stephen Delpapa	Transportation Supervising Planner	Male	White
Thomas Doyle	Transportation Planner 2	Male	White
Kevin Fleming	Transportation Planner 2	Male	White

Mandy Ranslow	Transportation Planner 1	Female	White
Mark McMillan	National Register Specialist	Male	White
C. Scott Speal	National Register Specialist	Male	White
Paul Corrente	Transportation Supervising Planner	Male	White
Andrew Piraneo	Transportation Planner 2	Male	White
D. Paul Dickey	Transportation Planner 2	Male	White
Christine Tedford	Transportation Planner 1	Female	White
Andrew Davis	Transportation Supervising Planner	Male	White
Ryan Apanovitch	Transportation Planner 2	Male	White
Amanda Saul	Transportation Planner 1	Female	White
Chris Samorajczyk	Transportation Planner 1	Male	White
Kevin Carifa	Transportation Planner 2	Male	White
Mark Alexander	Transportation Assistant Planning Director	Male	White

**b-5. Were there any EA/EIS/CE conducted during the reporting period? If so, how many were conducted?**

<b>Environmental Impact Statement</b>	0
<b>Environmental Assessment</b>	2 – Terminal B Bradley Airport NHHS Rail
<b>Categorical Exclusions</b>	82 – FHWA 3 - FTA

**b-6. Is public involvement adequately solicited, considered, and documented during the Project Development Process?**

Yes, public involvement is an important aspect of every project. Depending on the nature of the project, public involvement can be accomplished through formal public hearings, less formal public information meetings, or through public notices, etc. During the Environmental Review phase, it is noted whether the proposed project takes place in an area with Limited English Proficiency and notices are posted in appropriate languages, as well as, having an interpreter present at any meeting or hearing that may be attended by individuals with Limited English Proficiency. Notices for meetings/public involvement appear in newspapers, on the CTDOT website, etc. Also, notices may be given to community organizations, community liaisons, etc. that can get the information to the affected population. All public involvement measures are documented with the project engineer.

**C. Research**

**c-1. What factors does CTDOT utilize when selecting Universities, Consultants, or other Researchers? How does CTDOT ensure diversity in the selection of universities/consultants?**

The Department currently conducts research in one of four ways: in-house, through the University of Connecticut (UConn), through the New England Transportation Consortium (NETC), or via the FHWA pooled fund process. The Department does not have a process by which it openly solicits or procures research contractors or consultants.

When the Department utilizes UConn for research, a Memorandum of Understanding (MOU) is executed between the two state entities. For NETC projects, the work is performed by one of the six New England land grant universities. All six state universities, including UConn, support diversity. FHWA manages the Research Pooled Fund program and has direct knowledge of procurement and diversity policies.

In addition to the specific process outlined above, the Research section considers the social, environmental, and economic implications of its work in all aspects of research operations.

**D. Right of Way**

**d-1. Does ROW have a policy requiring records to be kept of parcels having minority and female owners/tenants, including residential and commercial properties?**

No.

**d-2. If so, which ROW division is responsible for maintaining these records?**

Not applicable.

**d-3. Who is ROW Office Title VI Liaison? What are the responsibilities of the Title VI Liaison?**

The Title VI Liaison for the Office of ROW is Jennifer Trio, she is responsible for collecting data from our office in order to ensure compliance with the Title VI Program.

**d-4. After the data is collected, how is the data analyzed to ascertain acts of discrimination, if any? How is the record document prepared?**

Any information would have been collected by the Administrator's office and forwarded to Debra Goss. The Office of Contract Compliance will perform an analysis and provide recommendations for ensuring that the processes and procedures are being consistently followed and that there aren't any barriers that will result in variances in opportunities in any program or services.

**d-5. How does ROW identify and communicate with persons of Limited English Proficiency (LEP)?**

The Department has developed LEP maps that identify populations. Our initial contact with a property owner or displacee is where we would identify LEP individuals. This could also be ascertained when the Stage Relocation Survey is being done. We utilize people who work in the Department as interpreters, if available. If not, we can hire a translator through a service. Notices will go out in languages identified using the maps.

**d-6. During the reporting period, did the State receive any civil rights complaints in the following Right-of-Way functional areas?**

Yes/No

▪ Appraisals	No
▪ Negotiations	No
▪ Relocation Assistance and Payments	No
▪ Property Management	No

If Yes, please explain:

*(Appraisals/Appraisal Review)*

**d-7. Does the Division of Appraisals contract out appraisal assignments to fee appraisers?**

Yes. See attachment "Contract Fee Appraisers."

**d-8. If so, does the Division of Appraisals maintain a list of acceptable fee appraisers?**

Yes. See attachment "Contract Fee Appraisers."

**d-9. If so, how does the Division of Appraisals solicit interest for fee appraisers to be included on the list?**

An RFP is prepared at least every five years. It is sent to all the certified General Appraisers licensed by Consumer Protection in this State. A mailing was sent in the fall of 2013.

**d-10. Is this solicitation of interest provided to the Screening Committee with a DBE contract Goal assigned for review and concurrence?**

We went before the DBE committee in 2011 and have a DBE goal of zero.

**d-11. How is a fee appraiser chosen to perform a given appraisal assignment?**

Assignments are made based upon past performance, turnaround time, and competitive bid.

**d-12. How is a fair market value estimate appraisal performed? Is the value arrived at utilizing a non-discriminatory process (including adjustments to comparable sales)?**

All appraisals are prepared to the standards of the Uniform Standards of Professional Appraisal Practice (USPAP) which is Federal Law. Further, we prepare our appraisals in compliance with the Uniform Act (CFR 49). The process is nondiscriminatory.

**d-13. Is the review appraiser process non-discriminatory in its application?**

Yes. The review appraiser process is always done by a CTDOT employee, not outside contractors. The Supervisor of the Appraisal Section assigns review assignments based upon workload and due dates. The person preparing the review must have a Certified General Appraiser License. All the members of the Appraisal staff at CTDOT carry this license.

**d-14. How many fee appraisers were utilized during the reporting period? How many were minorities or women?**

Six (6) fee appraisers received assignments. One (1) was a woman.

***(Acquisition)***

**d-15. How does the Division of Acquisition/Relocation initiate negotiations with a property owner?**

Property owners, or their documented representatives, are offered the opportunity to meet with our negotiators in person. If they do not wish to meet "face to face," the Department's initial offer of just compensation is made by USPS Priority Mail.

**d-16. What efforts are made to negotiate for required property before filing for condemnation?**

The Office of Rights of Way conducts meaningful, bona fide negotiations with all property owners. Acquisitions via the Commissioner's authority to condemn are considered as a tool of last resort.

**d-17. Are property owners afforded a minimum period of time to negotiate regardless of race, color, national origin, sex, age and disability? (Please note the total amount of time will depend on the situation).**

All property owners are provided a reasonable amount of time to negotiate. Approximately thirty days has been deemed reasonable in most instances.

**d-18. How does the Division of Acquisition/Relocation perform bona fide negotiations? Does the Division of Acquisition/Relocation perform bona fide negotiations with all property owners?**

With respect, integrity, and professionalism. The Section of Acquisition/Relocation performs negotiations according to their policies and procedures and adheres to the regulatory requirements.

**d-19. Does the Division of Acquisition/Relocation offer at least the amount of the fair market value estimate as the offer of just compensations?**

Yes.

**d-20. How does the Division of Acquisition/Relocation process administrative settlement requests from property owners? Is this performed in a non-discriminatory manner?**

Potential settlements are predicted on the support (market data) provided by the owner. A settlement statement is then prepared by the Division of Rights of Way that outlines the details, rationale and support for the settlement. The statement is forward as necessary to secure the administrative approvals needed to consummate the agreement. Settlements are performed in a non-discriminatory manner and in compliance with Title VI and Title VIII.

**d-21. Describe your agency Real Estate services responsibility in the Title VI Plan.**

It is our responsibility to ensure that discrimination on the grounds of race, color, national origin, disability/handicap, sex, age, or income status shall not occur in consideration of the programs or activities receiving financial assistance from the USDOT, and we ensure that no person legally in the United States shall, on the grounds of race, color, national origin, sex, age or disability, be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination under any program or activity receiving federal assistance from the USDOT.

**d-22. How many negotiations were made during the reporting period?**

318.

**d-23. Were there disparities in contract negotiations between minorities and non-minorities?**

Notwithstanding the term "contract negotiations," there were no disparities noted in any of our rights of way negotiations, regardless of status.

**d-24. Where there any concerns raised by minorities or women concerning their options in the negotiation phase?**

No.

### ***(Relocation)***

**d-25. What relocation advisory assistance services does the Division of Acquisition/Relocation make available to relocates? Are relocation advisory assistance services available to all relocates?**

All relocation assistance is carried out as necessary to satisfy Title VI and Title VIII requirements. These efforts include, but are not limited to, the following: advanced determination of replacement dwellings/sites availability; interviewing the "relocates" to determine their relocation needs; explaining the available benefits pursuant to the Uniform Act (UA); supplying information on available replacement sites, Federal and State housing programs; transportation to inspect replacement dwellings; advice on available assistance such as planning, industry specialists; etc.

**d-26. How does the Division of Acquisition/Relocation solicit information regarding whether an owner/tenant is lawfully present in the United States?**

Primarily with a "face to face" interview, at which time the necessary documentation is requested.

**d-27. For eligible relocates, how does the Division of Acquisition/Relocation evaluate replacement housing to ascertain whether the housing is decent, safe and sanitary? Is this process applied regardless of the person's race, color, national origin, sex, age, and disability? Are safe and sanitary inspection standards consistently applied?**

In accordance with the standards set forth by Department Policy (E&C – 43). Yes, all individuals are afforded the same application of process, regardless of race, color, national origin, sex, age, or disability. Yes, pursuant to policy E&C – 43.

**d-28. How does the Division of Acquisition / Relocation process relocation appeals, including Title VIII (fair housing) complaints?**

In accordance with C.G.S. Section 8.278. We have not had a relocation appeal in the past 11 years; and have never had a Title VIII complaint to the best of my knowledge.

**d-29. How does the Division of Acquisition/Relocation identify the eligibility of relocatees?**

Based on the definition of a "Displaced Person" as identified by the implementing regulation of the UA § 24.2 (9). This includes persons that do not meet certain occupancy requirements that determine certain benefits, or persons that move as a result of receiving notice of intent to acquire.

**d-30. How does the Division of Acquisition/relocation establish the amount of relocation benefits available to relocatees for the following items:**

- a) Replacement Housing Payment?**
- b) Rental Assistance?**
- c) Mortgage Differential Payment?**

Items (a), (b) and (c) are based on the implementing regulation of the UA §24.401, §24.402 and §24.403.

**d) Moving Expenses?**

Based on the implementing regulation of the UA §24.301.

**d-31. How does the Division of Acquisition/Relocation notify the relocatees of the benefits for which the relocatees are eligible? When are the relocatees notified of their eligibility for benefits?**

The Rights of Way representative typically meets with the "relocatees" wherein a comprehensive explanation of the relocation benefits and the available advisory assistance are provided.

**d-32. How are relocatees notified of the date required to vacate the property? Are all relocatees provided at least 90 days from the initiation of negotiations date?**

Yes.

**d-33. Are all relocatees provided at least 90 days from the initiation of negotiations date?**

Yes.

**d-34. How does the Division of Acquisition/Relocation determine when to utilize the Housing of Last Resort? Is this process applied uniformly?**

Based on the implementing regulation of the UA 24.402 and in accordance with Department policy (E&C – 43).

**d-35. Number of relocations during the reporting period:**

<b>Number of relocations?</b>	<b>24</b>
<b>Minority relocations?</b>	<b>N/A *</b>
<b>Female relocation?</b>	<b>N/A *</b>
<b>Elderly?</b>	<b>N/A *</b>
<b>Handicap?</b>	<b>N/A *</b>

\* Please see response to question d-1.

**d-36. Were any concerns raised by minorities or women on replacement housing, referral housing, etc.?**

No.

**d-37. Opportunities for minorities and women to obtain contracts awarded for providing relocation assistance.**

To the best of my knowledge, no private vendor (consultant) contracts were solicited for the sole purpose of providing relocation assistance. All relocation assistance activities/programs were administered by the Department of Transportation Division of Rights of Way during the timeframe being reported on.

**d-38. Number of complaints filed during this reporting period.**

Zero (0).

**d-39. List the employees in the Relocation program, including the Titles, Ethnicity, and Gender.**

James I. Mason	Supervising Property Agent	African American male
Lorna Bennett	Property Agent 2	African American female
Thomas Melzen	Property Agent 1	Caucasian male
Joseph Scalise	Property Agent 1	Caucasian male

## ***(Property Management)***

### **d-40. How does the Division of Property Management provide maintenance and repair work on ConnDOT-owned improved properties?**

The Connecticut Department of Administrative Services (DAS) administers statewide contracts for the purchase of supplies, equipment and contractual services in accordance with Chapter 58 of the Connecticut General Statutes (C.G.S.). The Section of Property Management (Section) is required to use these DAS contracts, when available, to provide maintenance and repair services. Examples of goods and services provided under DAS contracts include oil delivery, tree removal, and trade labor. If there is no DAS contract available to provide a need, the Division contacts vendors directly as per General Letter Number # 71 (GL 71).

### **d-41. If contractors are utilized how does the Division of Property Management award specific work to individual contractors?**

The Section generally attempts to obtain (3) three separate competitive quotes for work needed. After all quotes are obtained by the property agent the job is awarded to the lowest qualified bidder.

### **d-42. How does the Division of Property Management insure that DBE firms are provided an opportunity to perform the necessary work?**

DBE contractors are included under DAS contracts. For informational purposes, the Section tracks the number of DBE contractors used in its monthly report.

### **d-43. Are ConnDOT-owned improved properties maintained and repaired uniformly, regardless of race, color, national origin, sex, age and disability of occupants?**

Yes, ConnDOT-owned improved properties are maintained and repaired uniformly, regardless of race, color, national origin, sex, age and disability of occupants. In addition, Pursuant to Section 17b-656 of the C.G.S., the Division uses the Connecticut Community Providers Association to have maintenance services performed by disabled workers when appropriate.

### **d-44. How does the Division of Property Management calculate the rent applied to each tenant? Is this process non-discriminatory?**

For tenants occupying property when it is acquired by ConnDOT, the rent normally continues to be the same rent that the tenant was paying the former owner. For former owners occupying ConnDOT, the rent is calculated based on a percentage of the sales price by the Acquisition/Relocation Section. After a period of time, the rent may be increased based on market conditions. When renting out a vacant unit to new tenants, the bid process is used and the rent is established by the highest qualified bid. The process is non-discriminatory.

**d-45. Concerning the collection of delinquent rentals, how does the Division of Property Management verify to ascertain whether a reassessment or relocation payment is pending prior to referring the case to a staff or fee attorney for collection?**

For original Use and Occupancy tenants, the Section would check with Acquisition/Relocation to see if there are any payments pending prior to referring the case to the Attorney General's Office for collection. However, pursuant to the "Uniform Relocation Assistance and Real Property Acquisition Policies Act" of 1970, as amended, reassessment or relocation payments cannot be withheld to collect delinquent rentals.

## **E. Consultant Design**

**e-1. How many consultant firms have design contracts? How many contracts are held by minority firms and women owned firms during the reporting period?**

Seventeen (17) new design contracts were awarded from 6/1/12 to 9/30/13. Two (2) DBE's were selected as primes.

**e-2. What efforts were made to increase minority and female participation in obtaining consultant contracts?**

- **Procurement Information System**

Please refer to the attached Screening Committee process *(to be attached by the Office of Contract Compliance)*.

- **Advertisement in local papers and agency procurement website**

CTDOT solicits for consulting services on the State of Connecticut Department of Administrative Services (DAS) State Contracting Portal, which can be accessed either directly through DAS or through the CTDOT website. On the State Contracting Portal, the search criteria can be narrowed to include contracts with DBE requirements or contracts with SBE/MBE requirements.

- **The scope, size and duration of these contracts vary in size to promote diversity in the number and size of firms competing for these awards.**

Please refer to the attached Unbundling of Contract Work process *(to be attached by the Office of Contract Compliance)*.

- **What are the requirements, when advertising with the towns? Does CTDOT post in certain newspapers, media outlets?**

For State projects being advertised for construction, advertisements soliciting bids are posted on the DAS State Contracting Portal, which can be accessed either directly through DAS or through the CTDOT website. Contractors can sign up to receive e-mail notifications through DAS and through Bid Express, CTDOT's electronic bidding partner.

For Town advertised projects, a municipality is required to publish an advertisement soliciting bids in at least one newspaper that has substantial circulation in the area

and is encouraged to post the advertisement on their municipal website as well. In addition, many municipalities post advertisements on the DAS State Contracting Portal. A minimum of 21 days is required for the advertising period, but 28 days is the typical timeframe between advertising and bid opening.

**e-3. Were any public hearings held during the design phase of any highway?**

The following public hearings were held:

- Project #165-393 – Bradley International Airport New Terminal Facility and Associated Improvements: EA public hearing 8/2/12; no Title VI comments.
- CEPA document hearing for Stamford Transit Oriented Development (TOD): this hearing was coordinated by the Bureau of Policy and Planning and occurred on 9/20/12.

**e-4. Were there any public meetings held? What was the outreach to Community Based Organizations?**

Approximately 150 projects were completed in design and advertised for construction bids between 6/1/12 and 9/30/13. All of these projects would have had some level of public involvement. The special circumstances and complexities involved with each project help to define the level and type of public participation needed on a project-by-project basis.

For State administered projects, information is published on CTDOT's website to inform the public of upcoming public meetings and a Legal Notice/Display Ad is typically placed in two different newspapers, the first being the largest daily newspaper in the project area and the second determined through coordination with the town. If CTDOT's Office of Environmental Planning (OEP) has identified a LEP population, consideration is given to running a Legal Notice in a local publication that is in the predominant language of the area. Notices indicate that individuals requiring language assistance or special accommodations should contact CTDOT in advance of the meeting so that the necessary arrangements can be made.

Town administered projects are handled similarly to State administered projects, except that information is generally not published on CTDOT's website. If CTDOT's OEP has identified a LEP population, the Town is informed that this must be addressed when preparing for and holding the public meeting.

**e-5. List the employees in the Design program area, including Title, Ethnicity, and Gender.**

Please refer to the Excel file, attached, with filename "BOEC Staff as of 09-30-13." This file contains employee information on separate worksheets for the three distinct areas within the Bureau of Engineering and Construction: Design, ROW, and Construction.

**e-6. Were there any complaints filed in the Design program area? If so, provide summary, with basis, status and action taken.**

No.

## **F. Construction**

### **f-1. Do barriers exist in the following processes: pre-qualification, approval of subcontractors, bonding, and licensing?**

No. The Office of Construction follows a uniform approval process for all requests to sublet on construction contracts. The same documentation and requirements are applied to all subcontract approval requests.

### **f-2. Does uniformity in application exist concerning approval of plan changes and supplemental agreements?**

Yes. Any changes to the plans or contracts are approved through changes orders issued to the prime contractor on the contract. Each change order is based on conditions encountered in the field during construction, or through changes in the original design of the work as initiated by the Bureau of Engineering and Construction. The approval is based on the written process that is outlined in the Construction Manual, Chapter 8 and our Standard Specifications Form 816, Section 1.04.05.

### **f-3. Provide a summary of efforts made by the Title VI Coordinator to encourage the use of minority individuals, firms or agencies to obtain Contracts or Agreements.**

Reminders to the contractor at each pre-construction meeting and site record review meeting regarding the requirements for work force utilization.

### **f-4. What are your procedures reviewed to assure subcontract agreements, material supply and lease agreements during the reporting period?**

A certain percentage of subcontract agreements are required to be submitted with the request to sublet. Those contracts are reviewed for compliance with state and federal regulations.

### **f-5. Provide a list any significant accomplishments and/or action items for the following year.**

Construction is monitoring the new DBE specification that has been incorporated into new construction contracts. Construction has continued the outreach efforts to the contracting community for conformance to the DBE specification.

### **f-6. Does uniformity in application exist in the assessment of sanctions, liquidated damages, withholding payments, suspension/termination of contracts, and decertification?**

Yes. Sanctions, liquidated damages and other types of withholding are performed in accordance with contract specifications and the Construction Manual and are applied without prejudice.

## G. Contracts

g-1. Are appropriate contract provisions incorporated in all federal aid contracts?

Yes.

g-2. Provide a listing of Civil Rights complaints that involve competitive bidding procedures.

None.

## H. Maintenance

h-1. Does CTDOT's monitoring/inspection of work performed result in disparate treatment of protected individuals/groups?

No.

h-2. Have required mitigation measures been effectively implemented (i.e., safety through construction zones, noise and air impacts, employment and contracting goals, etc.?)

Yes.

## I. Contract Compliance (Civil Rights)

i-1. Provide a listing of employees by ethnicity and gender in each of the Title VI Program Areas.

### Contract Compliance Programs

Debra Goss	Program Manager	Black/Female
Connie Miano	Secretary	Caucasian/Female

### DBE Program

Shari Pratt	EEO Specialist 2	Black/Female
George Edelman	Fiscal Administrative Officer	Caucasian/Male

### Contractor Compliance Program

Scott Hoffman	EEO Specialist 1	Caucasian/Male
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### OJT Program

Phylisha Coles	EEO Specialist 1	Black/Female
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**Title VI Program**

Irma Reyes

EEO Specialist 1

Hispanic/Female

**Affirmative Action**

John Hayward

EEO Assistant

Black/Male

**i-2. Summarize all activities undertaken during the reporting period which provide for Assurances of Title VI compliance included in all contracts and consultant agreements. (Were reviews made to ensure contractors and consultants are adhering to the Title VI requirements; are contractors and/or consultants appraised of the Title VI implications and issues, etc.)?**

Identify mitigation measures for minorities and low income persons; and when possible determine the effectiveness of such measures.

Initiate ongoing meetings and maintain communication with the department units, i.e., Bureau Chiefs and Title VI Liaisons responsible for the implementation of the Title VI Program.

Participate in obtaining public involvement announcements, especially as it pertains to minority and low income areas.

Attend statewide/regional planning and project meetings/hearings involving Title VI issues or where Title VI impacts have been identified.

Verify that the Title VI language and Assurances are incorporated in all contracts and agreements.

Review internal operational procedures, guidelines, directives and policies to ensure compliance with Title VI requirements.

Ensure that prime contractors with DBE requirements award previously committed work to proper DBEs and that DBEs actually perform a commercially useful function on contracts.

Conduct Title VI training for program constituents, including Title VI Liaisons, sub-recipients, and other key personnel.

Develop Title VI informational materials for dissemination to the general public

Develop and disseminate Title VI and Limited English Proficiency (LEP) resources and contacts, and provide technical assistance to all Title VI Liaisons, LEP Liaisons, sub-recipients, and other program constituents

Develop actions and procedures to identify and eliminate discrimination if found to exist.

Review and approve notices for Contractor Affirmative Action approvals and verify DBE Certification for all Pre-award documents and verify Civil Rights and Title VI Assurance language on all Con-128 Agreements.

## **J. Education and Training**

### **j-1. List any Training provided during the reporting period and provide ethnicity and gender of attendees.**

See attachment:

### **j-2. Identify staff responsible for training by Job Title, Ethnicity and Gender.**

Susan Baillargeon – Curriculum Manager – w/f  
Michael Bright – Curriculum Manager – w/m  
Lisa Cheesbro – Administrative Assistant – w/f  
David Maher – Management Analyst 3 – w/m

### **j-3. Are existing procedures that encourage participation by women and minorities in the educational/training courses/programs offered by and/or through CTDOT Office of Human Resources' Training Center? If so, how is the effectiveness of the training and participation by women and minorities tracked?**

The Connecticut Department of Transportation has a Policy Statement entitled "Policy on Personnel Education and Training Opportunities" which essentially says that the Department encourages and will provide education and training opportunities for all its employees. This includes improving employment related skills, keeping employees current in their fields of endeavor, and assisting employees in achieving career development goals. In addition, the Department's Affirmative Action Policy includes training in its principle of equal employment opportunity and affirmative action. The Department also has introduced an Individual Development Plan (IDP) Program which provides opportunities for all employees to explore training areas of interest and career development. The Department's Affirmative Action Division has access to the training history records of all Department employees and is able to track training participation by females and minorities. In addition, the Division of Training and Staff Development submits Tuition Reimbursement and Career Counseling information and related employee information to the Affirmative Action Division on an annual basis.

### **j-4. What are the types of NHI sponsored or co-sponsored courses/programs offered to CTDOT employees?**

There are a variety of NHI sponsored courses and programs offered to Department employees. The courses offered vary somewhat from year to year based on funding and individual Bureau needs. Types of course categories held for the reporting period include Construction Zone Safety; Bridge Safety, Construction and Inspection; Design Build; Weather Management;

Geotechnical LRFD; NEPA and Transportation Decision Making; TCCC Pavement Preservation; Construction Inspection; Geometric Design; Asset Management; and Work Zone Traffic Control. These categories of courses include approximately 30 specific NHI Courses which are each attended by between 20 and 27 Department employees. The number of minorities and females trained would vary from year to year. Training needs for each year are received from each of the Bureaus. A roster of employees scheduled to attend each particular course is submitted to the Division of Training and Staff Development by the corresponding Bureau/Office prior to the course taking place.

**j-5. Does CTDOT provide opportunities for women and minorities to work in the Office of Human Resources' Training Center?**

The Department does provide opportunities for females and minorities to work in the Division of Training and Staff Development. Whenever a vacancy exists and it has been determined that the vacant position can be refilled, females and minorities can apply for the position. As is the case with filling other positions within the Department, the exam for the position would be open and competitive. The key would be whether the employee has met the minimum qualifications of the job specification.

**j-6. Does CTDOT provide opportunities to women and minority owned consultants when contracting out educational/training courses/programs? How is this done?**

The Division of Training and Staff Development has not been able to contract out educational training courses and programs for several years based on budget constraints. Instructors/consultants for NHI courses are assigned by NHI. A mandated Diversity training module is one area of training for the New Employee Orientation Program where an outside consultant is utilized. A consultant for this training is obtained through the Connecticut Department of Administrative Services' approved vendor list. Given the opportunity to contract out for educational training courses and programs in the future, a competitive bidding process could be utilized which would provide opportunities for female and minority owned consultants to openly bid on a particular training need.

**j-7. Does CTDOT provide educational/training courses/programs oriented towards women and minority advancement within CTDOT federal-aid Programs? If so, how does CTDOT ensure effectiveness and participation?**

NHI training courses are the only federally funded courses offered at the Training Center. Each of these courses is content specific where the training topic is specific to a certain area(s) within the Department. Females and minorities who are employed in these particular areas where the corresponding training is being held are given opportunities to participate and gain additional knowledge in their fields.

**j-8. Does CTDOT provide educational/training courses/programs specifically targeted to Title VI implementation within each federal-aid Program area (i.e., Rights-of-Way, Environment, Planning, Construction, etc.)? If so, identify the courses programs?**

Educational training courses and programs do not specifically target Title VI implementation within each federal-aid Program area. Employees who work within these Program areas attend scheduled training sessions based on their work duties and responsibilities and corresponding training needs.

**j-9. Has CTDOT received any civil rights regarding the provision of education/training courses/programs to employees? If so, what corrective actions, if any, have been implemented?**

No civil rights complaints have been received at the Training Center regarding the provision of education training courses and programs to employees.

## **Title VI Program Area Summary**

### **Training**

In order to provide technical assistance, guidance and awareness of the Title VI Program, the Office of Contract Compliance provides continuous training to sub-recipients and agency employees in compliance with 23 CFR 200.9.

On April 15, 16, 17, 2013, a four hour sub-recipient Title VI training workshop was conducted by the Department's Title VI Coordinator and Associate Title VI Coordinator.

The training was held at the Connecticut Department of Transportation and over 91 sub-recipients attended the workshop. The topics that were covered include the following:

#### **Title VI Overview**

- What is Title VI
- Brief History
- Regulations and Authorities

#### **FTA Requirements**

- Who is required to have a Title VI Program
- General Elements of a Plan

#### **Limited English Proficiency (LEP)**

- What is LEP
- Four Factor Analysis
- Safe Harbor
- Vital Documents

## **Public Involvement and Participation**

- Proactive Strategies
- Procedures

## **Environmental Justice (EJ)**

- Executive Order 12898

## **Minimize and Mitigate Disparate Impacts**

- Intentional/Non-Intentional Discrimination

## **Monitoring and Reporting Requirements**

- Annual Compliance Assessments

We subsequently provided one-on-one training to a few sub-recipients that asked for training after the workshop. On September 26, 2013 we had a small group come in for training, and a presentation was provided to them. Agency employees are invited to attend all Title VI Training that is conducted throughout the year.

The training guide may be viewed at:

[http://www.ct.gov/dot/lib/dot/documents/ddbe/title\\_vi\\_training\\_booklet.pdf](http://www.ct.gov/dot/lib/dot/documents/ddbe/title_vi_training_booklet.pdf)

## **Environmental Planning:**

A Title VI Program Review meeting was conducted with the Office of Environmental Planning. The Office of Contract Compliance interviewed the Environmental Planning staff and discussed the Environmental Analysis (EA), Environmental Impact Statements (EIS) and Categorical Exclusions (CE). There were 2 EA's and 82 CE's completed during the reporting period. The Office of Contract Compliance reminded Environmental Planning to continue to submit the EA's to the Title VI Coordinator for review.

The Office of Contract Compliance also interviewed Environmental Planning on public involvement procedures during the project Development Process. Given the fact that there are various phases of project planning process, the Office of Contract Compliance explained that the Public Involvement process should be constant and continuous throughout the project development.

The Environmental planning unit utilizes a standard listing of community based organizations for public participation and outreach. The Office of Contract Compliance recommended the use of the Community Based Organization listing that was developed by the Office of Contract Compliance which also includes Faith Based Organizations, sorted by town, and by languages spoken at each organization.

The Office of Contract Compliance requested that our office be engaged in development of the Public Involvement Plan (PIP) when it is time to make revisions or updates to the plan.

## Maps/Charts

Various demographic and socio-economic data maps/layers were developed by using either U.S. Census 2010 or American Community Survey (ACS) 2007-2011 data.

The data includes statewide Limited English Proficiency (LEP), Minority, and Low-Income. The maps may be viewed at <http://www.ct.gov/dot/cwp/view.asp?a=3529&q=305564&dotNav=>

**Table of Exhibits – see attached:**

Exhibit A – Title VI Policy Statement
Exhibit B – Title VI Assurances
Exhibit C – Organizational Listing
Exhibit D – Contract Fee Appraisers
Exhibit E – Request for Proposal
Exhibit F – Appraisal Fee Schedule
Exhibit G – Employee Listing for Design
Exhibit H – Employee Listing for ROW
Exhibit I – Employee Listing for Construction
Exhibit J – Construction Contract Provisions



## CONNECTICUT DEPARTMENT OF TRANSPORTATION

# POLICY STATEMENT

POLICY NO. EX.O.-27  
April 10, 2013

SUBJECT: Title VI

The Connecticut Department of Transportation (Department) will effectuate the provisions of Title VI of the Civil Rights Act of 1964, as amended (42 USC Section 2000d), 49 CFR Part 21, and 23 CFR Part 200, FTA Circular 4702.1.B and other nondiscrimination directives. The Department prohibits discrimination on the basis of race, color, or national origin and will ensure that no person is excluded from participation in, denied the benefits of, or is otherwise subjected to discrimination under any program or activity receiving Federal financial assistance from the United States Department of Transportation. The Airport and Airway Improvement Act of 1982 (49 U.S.C. § 47123) added "sex" and "creed" as protected status in all Federal Aviation Administration activities. The Department further assures every effort will be made to ensure nondiscrimination in all of its programs and activities, whether those programs and activities are federally funded or not. The Department has developed a Title VI discrimination complaint process that is compliant with the Title VI requirements.

Special emphasis areas include the following programs:

Construction/Maintenance  
Design  
Planning and Research  
Contract/Agreement Processing, Prequalification, and Award  
Rights of Way  
Environmental Planning  
Education and Training  
Transit and Ridesharing  
Rails

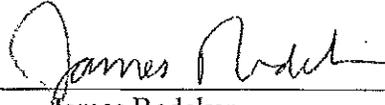
The Commissioner, as Chief Executive Officer of the Department, has the overall responsibility for carrying out the Department's commitment to the Title VI Program. The Title VI Program is a Department wide initiative, and all managers, supervisors, and employees share the responsibility of ensuring compliance.

The Title VI Program implementation responsibilities have been delegated to the Department's Bureau Chiefs. The Bureau Chiefs will designate Title VI Liaisons who will be responsible for the day-to-day collection, analysis, and reporting of Title VI related data. The Title VI Liaisons will conduct compliance and program reviews to ensure that the Department is adhering to the procedures outlined in the Department's Title VI Implementation Plan.

The Office of Contract Compliance is responsible for the Department's Title VI Program activities, including coordinating procedures, overseeing implementation, and monitoring and reporting progress. The Manager of the Office of Contract Compliance has been designated as the Department's Title VI Coordinator, and can be reached at (860) 594-2169. The Office of Contract Compliance is located at 2800 Berlin Turnpike, Newington, CT 06131.

As Commissioner of this Department, I am personally committed to the effective implementation of the Department's Title VI Program. It is expected that all agency personnel will fully cooperate with the Title VI Coordinator in the implementation of the procedures outlined in the Title VI Implementation Plan.

(This Policy Statement supersedes Policy Statement No. EX.O.-27 dated November 8, 2011).

A handwritten signature in cursive script, appearing to read "James Redeker", is written above a horizontal line.

James Redeker  
Commissioner

## AUTHORITIES

- Title VI of the Civil Rights Act of 1964, as amended (42 USC 2000d to 2000d-4);
- Federal Transit Laws, as amended (FTA C 4702.1A) – This Circular delineates the Federal Transit Administration’s (FTA) Title VI requirements;
- Title VIII of the Civil Rights Act of 1968, as amended (42 USC 3601-3619) – This Act is known as the *Fair Housing Act* and Title VIII of this Act prohibits discrimination with respect to the sale or renting of housing;
- Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (42 USC 4601-4655) – This Act is known as the Uniform Act and provides for the uniform and equitable treatment of persons displaced from their homes, businesses, or farms by Federal and federally assisted programs and establishes uniform and equitable land acquisition policies for Federal and federally assisted programs;
- Section 504 of the Rehabilitation Act of 1973, as amended (29 USC 794) – *No otherwise qualified individual with a disability in the United States shall, solely by reason of his or her disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance (cite taken from 49 CFR 27.1);*
- 23 USC 109(h) – Requires the promulgation of guidelines intended to ensure that *possible adverse economic, social, and environmental effects relating to any proposed project on any Federal-aid system have been fully considered in developing such project, and that the final decision on the project are made in the best overall public interest....;*
- 23 USC 324 – Prohibits discrimination on the basis of sex;
- 23 CFR 200 – This part delineates the Federal Highway Administration’s (FHWA) Title VI regulation;
- 23 CFR 450 & 49 CFR 613 – “Planning Assistance and Standards” (October 28, 1993, unless otherwise noted);
- 23 CFR 771 – Joint FTA/FHWA regulation: “Environmental Impact and Related Procedures” (August 28, 1987);
- 28 CFR 42, Subpart F (Department of Justice regulation) – “Coordination of Enforcement of Nondiscrimination in Federally-Assisted Programs” (December 1, 1976, unless otherwise noted);
- 49 CFR 21 – “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act of 1964, as amended” (June 18, 1970, unless otherwise noted);
- DOT Order 5610.2 – “U.S. DOT Order on Environmental Justice to Address Environmental Justice in Minority Populations and Low-Income Populations” (EJ) (April 15, 1997);
- DOT Policy Guidance Concerning Recipients’ Responsibilities to Limited English Proficient Persons (LEP) (December 14, 2005).

## TITLE VI CONTRACTOR ASSURANCES

For this document Contractor means Consultant, Consulting Engineer, Second Party, or other entity doing business with the State and Contract shall mean the same as Agreement.

During the performance of this Contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "Contractor") agrees as follows:

1. **Compliance with Regulations:** The Contractor shall comply with the regulations relative to nondiscrimination in federally assisted programs of the United States Department of Transportation (hereinafter, "USDOT"), Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time (hereinafter referred to as the "Regulations"), which are herein incorporated by reference and made a part of this contract.

2. **Nondiscrimination:** The Contractor, with regard to the work performed by it during the Contract, shall not discriminate on the grounds of race, color, national origin, sex, age, or disability in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by Subsection 5 of the Regulations, including employment practices when the Contract covers a program set forth in Appendix B of the Regulations.

3. **Solicitations for Subcontracts, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the Contractor of the Contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, national origin, sex, age, or disability.

4. **Information and Reports:** The Contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Connecticut Department of Transportation (ConnDOT) or the Funding Agency (FHWA, FTA and FAA) to be pertinent to ascertain compliance with such Regulations, orders, and instructions. Where any information required of a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to ConnDOT or the Funding Agency, as appropriate, and shall set forth what efforts it has made to obtain the information.

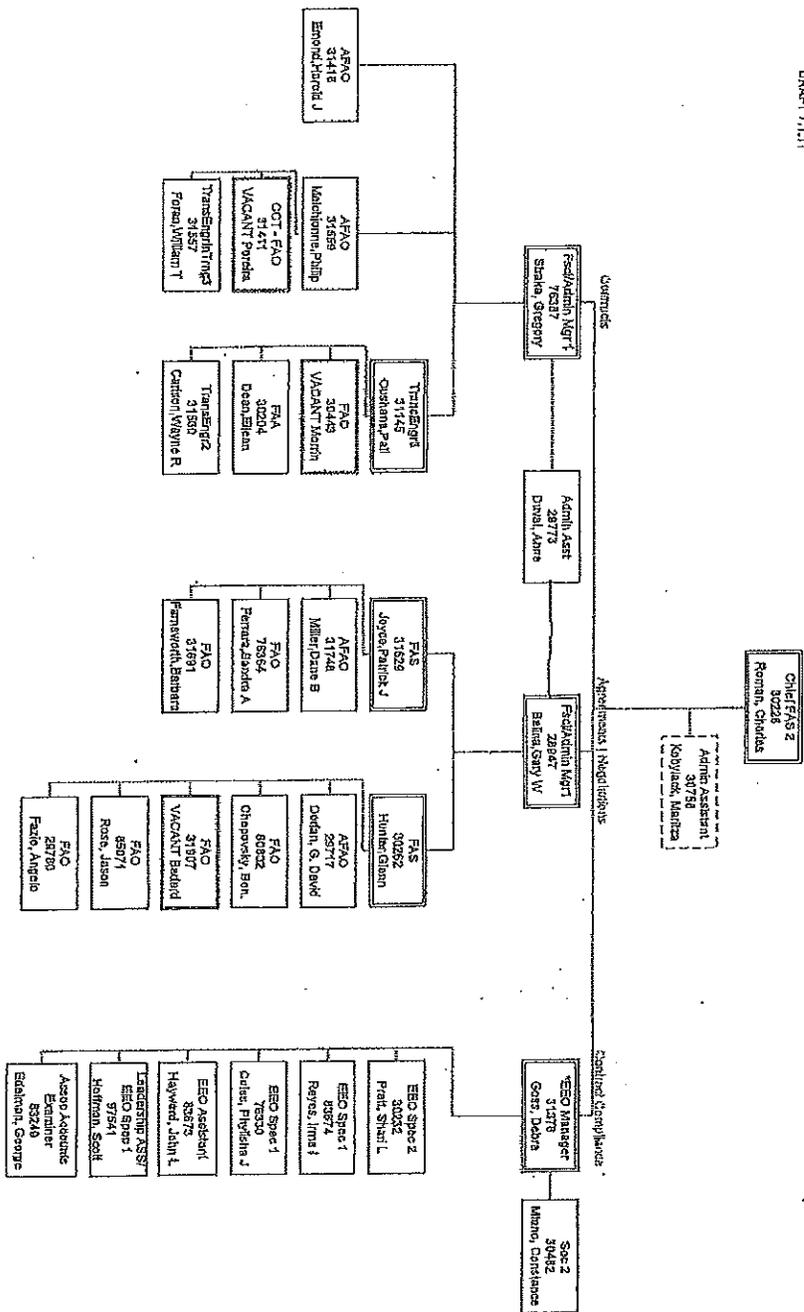
5. **Sanctions for Noncompliance:** In the event of the Contractor's noncompliance with the nondiscrimination provisions of this Contract, the ConnDOT shall impose such sanctions as it or the Funding Agency may determine to be appropriate, including, but not limited to:

- A. Withholding contract payments until the Contractor is in-compliance; and/or
- B. Cancellation, termination, or suspension of the Contract, in whole or in part.

6. **Incorporation of Provisions:** The Contractor shall include the provisions of paragraphs 1 through 5 in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as the ConnDOT or the Funding Agency may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, however, that in the event a Contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the Contractor may request the ConnDOT to enter into such litigation to protect the interests of the Funding Agency, and, in addition, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

# Exhibit C - Organizational Listing

Contract Compliance, Contracts and  
 Office of Contract Management  
 Org Chart  
 DBCT 7/1/11



\*Serves as DBE Liaison Officer with direct, independent access to the Commissioner on all DBE program matters.

3	Managers
1	Supervisors
25	F.S. Asst
2	Clerical

NEW Position  
 VACANT Post R/P

**Department of Transportation  
Contract Fee Appraisers**

Exhibit D – Contract Fee Appraisers

12/2/2013

*(Please notify supervisor of any changes.)*

<b>Enviroval, Inc.</b>				Per Day Late Fee:	\$100
Appraiser:	Benedict	Norman R.	MAI	Agreement No.:	
Supplementals:	N.R. Benedict, Jr.			Expiration Date:	6/30/2017
Mailing Addr.:	2795 Whitney Avenue			Fax No.:	(203) 248-7771
	Hamden	CT	06518	E-Mail:	EnviroVal@aol.com
Phone:	(203) 248-5511			Other	

<b>Robert Galullo</b>				Per Day Late Fee:	\$100
Appraiser:				Agreement No.:	12.14-01(12)
Supplementals:	None			Expiration Date:	11/30/2013
Mailing Addr.:	130 Mount Vernon Avenue			Fax No.:	203-575-9579
	Waterbury	CT	06708	E-Mail:	robert.galullo@snet.net
Phone:	203-592-0299			Other	203-757-2835

<b>R.F. Hagearty &amp; Associates, Inc.</b>				Per Day Late Fee:	\$100
Appraiser:	Hagearty	Richard F.	SRA	Agreement No.:	
Supplementals:	None			Expiration Date:	8/31/2016
Mailing Addr.:	P.O. Box 280125, 92 Conn. Blvd.			Fax No.:	(860) 282-9522
	East Hartford	CT	06128-0125	E-Mail:	info@hagearty.com
Phone:	(860) 282-0851			Other	

<b>Hunter Associates, LLC</b>				Per Day Late Fee:	\$100
Appraiser:	Bruce	Hunter		Agreement No.:	3.16-07(12)
Supplementals:				Expiration Date:	1/13/2017
Mailing Addr.:	772 Farmington Avenue			Fax No.:	(860) 676-9459
	Farmington	CT	06032	E-Mail:	bruceh@hunterllc.com
Phone:	(860) 677-9646			Other	

<b>Kerin and Fazio, LLC</b>				Per Day Late Fee:	\$100
Appraiser:	Christopher	Kerin, MAI		Agreement No.:	1.08-01(13)
Supplementals:	Michael Fazio, MAI			Expiration Date:	12/31/2018
Mailing Addr.:	1129 Post Road			Fax No.:	203-259-9501
	Fairfield	CT	06824	E-Mail:	mfazio@ctvaluation.com
Phone:	203-259-9500 x301			Other	

<b>Walter J. Kloss Appraisal Services, LLC</b>				Per Day Late Fee:	\$100
Appraiser:	Kloss	Walter J.	RM	Agreement No.:	2.25-02(10)
Supplementals:				Expiration Date:	1/31/2015
Mailing Addr.:	185 Sandy Hill Road, P.O. Box 931			Fax No.:	(203) 598-0203
	Middlebury	CT	06762	E-Mail:	klossappraisal@gmail.com
Phone:	(203) 598-7211			Other	

**Department of Transportation  
Contract Fee Appraisers**

12/2/2013

*(Please notify supervisor of any changes.)*

<b>Liberty Unlimited, Inc.</b>				Per Day Late Fee:	\$100
Appraiser:	Girian	Timothy P.	MAI, ASA	Agreement No.:	11.17-01(11)
Supplementals:	None			Expiration Date:	11/30/2016
Mailing Addr.:	2 Sound View Dr., Suite 100 Greenwich CT 06830			Fax No.:	(203) 622-0321
Phone:	(203) 869-0100			E-Mail:	girian@lui.com
				Other	
<b>John Lo Monte Real Estate Appraisers &amp; Consultants</b>				Per Day Late Fee:	\$100
Appraiser:	Lo Monte	John	CCRA,GRI,CCIM	Agreement No.:	2.28-04(12)
Supplementals:	None			Expiration Date:	2/28/2014
Mailing Addr.:	39 West Wynd Terrace Middletown CT 06457			Fax No.:	(860) 635-3339
Phone:	(860) 635-7500/2289			E-Mail:	john_lo_monte@snet.net
				Other	
<b>MacCormack Appraisal Services</b>				Per Day Late Fee:	\$100
Appraiser:	MacCormack	Steven E.		Agreement No.:	
Supplementals:	None			Expiration Date:	1/31/2014
Mailing Addr.:	P.O. Box 1425 route 171 Woodstock CT 06282			Fax No.:	1-775-923-3933 (computer)
Phone:	860-202-8756			E-Mail:	maccormackserve@sbcglobal.net
				Other	
<b>Michaud Company</b>				Per Day Late Fee:	\$0
Appraiser:	Richard	Michaud		Agreement No.:	1.20-02(12)
Supplementals:	None			Expiration Date:	11/30/2016
Mailing Addr.:	431 Orange Street New Haven CT 06511			Fax No.:	203-789-1558
Phone:	203-789-1355 x11			E-Mail:	michaud@michaudcompany.com
				Other	
<b>Oles &amp; Jerram, Inc</b>				Per Day Late Fee:	\$100
Appraiser:	Oles	Arthur P.	MAI, SRA	Agreement No.:	8.23-03(12)
Supplementals:	Jim Jerram			Expiration Date:	5/31/2017
Mailing Addr.:	32 City Hall Avenue, P.O. Box 449 Torrington CT 06790-0449			Fax No.:	(860) 496-1694
Phone:	(860) 489-3236			E-Mail:	artoles@olesandjerram.com
				Other	
<b>B.J. Pape &amp; Co., Inc.</b>				Per Day Late Fee:	\$100
Appraiser:	Pape	Barbara J.		Agreement No.:	8.23-04(12)
Supplementals:	CORE# 06DOT0382AA			Expiration Date:	6/30/2017
Mailing Addr.:	4 Erdmann Lane Wilton CT 06897			Fax No.:	(203) 762-7791
Phone:	(203) 762-7762			E-Mail:	bjpape@optonline.net
				Other	

Department of Transportation  
Contract Fee Appraisers

12/2/2013

(Please notify supervisor of any changes.)

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Property Appraisal Services, Inc.

Per Day Late Fee: \$100

Appraiser:  
Supplementals: None  
Mailing Addr.: 261 City Island Avenue,  
Bronx NY 10464  
Phone: 718-885-3800

Agreement No.: 3.16-06(12)  
Expiration Date: 2/28/2017  
Fax No.: 718-885-9595  
E-Mail: www.pasinc.com  
Other

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Russ, LLC

Per Day Late Fee: \$100

Appraiser: Russ Howard B SRPA  
Supplementals: CORE# 08DOT0064AA  
6/1/07-5/31/12  
Mailing Addr.: P.O. Box One, 223 Boston Post Road  
Waterford CT 06385  
Phone: (860) 442-5719

Agreement No.: 8.15-01(12)  
Expiration Date: 5/31/2017  
Fax No.: (860) 443-6535  
E-Mail: Russappraisal@ct.metrocast.net  
Other

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Sheehy Associates, LLC

Per Day Late Fee: \$100

Appraiser: Donald R. Sheehy, Jr.  
Supplementals: None  
Mailing Addr.: 259 Coram Ave.  
Shelton CT 06484  
Phone: 203-924-8655

Agreement No.:  
Expiration Date: 12/30/2013  
Fax No.: 203-924-7466  
E-Mail: appraisal@sheehyassociates.com  
Other

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Total Number of Active Fee Appraisers: 15

STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION

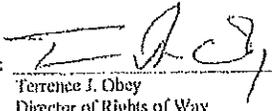
Subject Fee Appraisers Selection &  
Evaluation Guidelines

MEMORANDUM

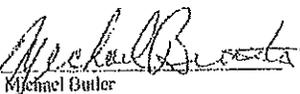
date September 3, 2013  
to Mr. Terrence J. Obey from Ann Marie Maynard  
Director of Rights of Way Assistant Director  
Appraisal Section

In an effort to bring uniformity and equity to the Fee Appraiser Assignment Process, our policies and procedures have been modified. Attached are copies (Fee Report Procedures, Corrective Actions for Non-Performance, Fee Appraiser Rating and Evaluation Report) of the revised proposals for your review and approval. The proposed changes have been highlighted in red. A summary of the changes made is as follows:

- The Fee Report Procedures have been updated to the Division of Rights of Way. The turnaround time on assignments has been changed from 45 to 30 days, and no extension of the due date language has been added.
- The language in the Corrective Actions for Non-Performance Section has been strengthened regarding the receipt of timely and accurate corrections from fee appraisers. This is the area where we have the most issues with fee appraisers.
- The Fee Appraiser Rating Form has been revised to be easier for the reviewer and Assignment Coordinator to complete. These revisions should, also, provide a more accurate rating of the fee appraiser.

Approval:  Date: 9/4/13  
Terrence J. Obey  
Director of Rights of Way

Approval:  Date: 9-9-2013  
Debra Goss  
Program Manager

Approval:  Date: 9/27/13  
Michael Butler  
ROW Team Leader - FHWA

Attachments

AMM/dvg

cc: Michael Butler  
Debra Goss  
James H. Norman  
Terrence J. Obey  
Ann Marie Maynard  
Brian Marchi

Fee Report Procedures in the Division of Rights of Way

1. The Assignment Coordinator will e-mail all fee appraisers interested in working in the project town, include the bid package attachment, and note the turnaround deadline for bid. The list of interested Fee Appraisers may be found on the "Fee Appraiser Territory Program" which is compiled and maintained by the Appraisal Section. Bid packages will contain the following documents as appropriate:
  - A. Acquisition Files: complete title search via e-mail attachment from Image Records Management System (IRMS); all available field cards; taking map.
  - B. Property Management Files: release or lease map; other available mapping to enable the appraiser to locate the State's property and the abutting property (if applicable).

The Assignment Coordinator shall request all Fee Appraisers to submit a bid to prepare an appraisal for an update to condemnation in addition to their bid for the original assignment. Then, if a condemnation update is required, the Fee Report can immediately be prepared.

2. Bid proposals must be received within five (5) business days from the date the e-mail bid package is sent to the Fee Appraiser. If no response is received within five business days from the e-mailing, the proposal process will require a new request for bids. The criteria for selection of a Fee Appraiser as a successful bidder on an assignment is based on past performance, turnaround time and competitive bid (please refer to the "Fee Appraiser Rating and Evaluation Report"). Periodically, our approved Fee Appraisers will be checked for debarment (three or four times per year). Only one bid will be accepted per assignment per Fee Appraiser. If more than one bid is submitted for any one assignment by any one Fee Appraiser, the first bid will be the bid considered in the selection process. Rebids may occur when new information arises. If there is a need for a rebid, it will be to all the Fee Appraisers who elect to work in that town. All rebids will be initiated by DOL.

A bid letter is prepared which details the terms of the assignment. If any Fee Appraiser does not conform to the bid letter instructions, that bid may be disregarded. This determination will be made by the Supervising Property Agent of the Appraisal Section.

3. The Assignment Coordinator will prepare a Fee Report and have it budget cleared by the Fiscal Section. The Fee Report is then given to the Reviewer who will review the Fee Report and forward it to the Supervisor. The Supervisor will review the Fee Report, sign it, and forward it to the Assistant Director who, in turn, will review the report for final concurrence and signature. If the lowest bid is not chosen for an assignment for any reason, the Fee Report must be forwarded from the Assistant Director to the Rights of Way Director for signature and approval.
4. After the Fee Report receives final signature and approval, it is returned to the Assignment Coordinator. The Assignment Coordinator will note the due date on a tracking calendar and then prepare the Letter of Appraisal Assignment and Acceptance. All assignments will be due in thirty (30) days or less. The Assistant Director signs the letter and copies are distributed to the Assistant Director, Supervisor, Reviewer and Assignment Coordinator and a copy is filed in Appraisal Control. The original Letter of Appraisal Assignment and Acceptance (on DOT letterhead) and a colored copy, with the distribution list, are then mailed to the Fee Appraiser. Additionally, the Fee Appraiser will be e-mailed the Letter of Appraisal Assignment and Acceptance to expedite the turnaround of the assignment. The Fee Appraiser **MUST** sign and date the colored copy of the Letter of Appraisal Assignment and Acceptance and return it to DOT within five (5) business days of receipt which constitutes acceptance of the assignment.
5. Critiques of the Plaintiff's appraisal report that are four hundred dollars or less do not require a Fee Report and can be assigned directly to the Fee Appraiser who prepared the update for condemnation. Appraisals that require revision due to a change in the assignment or a map revision where the fee is five hundred dollars or less do not require a Fee Report. This applies only when the assignment is being made to the same Fee Appraiser who prepared the original report.
6. No extensions will be granted unless there are extenuating circumstances. In extreme cases, an extension may be requested. The letter **MUST** include the reasons the extension is needed. The letter will be presented to the Assistant Director for approval. The Fee Appraiser will be notified by letter with respect to the disposition of the request.
7. When the appraisal reports are received, the Assignment Coordinator will hold the invoice until the appraisal has been reviewed and has passed through the Appraisal Review Panel. Once the file has been approved, the invoice date and number are recorded onto the Fee Report. The invoice is then presented to the Supervisor for approval of payment.

8. The Supervisor signs and returns the invoice to the Assignment Coordinator, who then forwards it to the Fiscal Section. The Fee Report is then filed, thus completing the assignment process.

### Corrective Actions for Non-Performance

The Appraisal ~~Section~~ ~~Division~~ will maintain an updated Fee Appraiser Rating and Evaluation Report for each fee appraiser that performs assignments. The Assignment Coordinator is responsible for updating the "Fee Appraiser and Evaluation Matrix" quarterly. Supervisors are responsible for monitoring the fee appraisers' scores and will notify the Manager, in writing, when a fee appraiser's score falls below the minimum acceptable score. A minimum acceptable score is ~~initially~~ set at 70. Once a fee appraiser's overall score falls below the minimum acceptable score, the Manager will notify the fee appraiser of the areas of deficiency in writing. The fee appraiser will be given an opportunity to improve upon the deficiencies noted in the letter. If the deficiencies continue in future reports, the Manager will send a letter of correction/suspension to the fee appraiser indicating that he/she will not receive work for the next ~~three (3)~~ ~~six (6)~~ months. A maximum of two reports or a term of three months, whichever comes first, will be allowed to correct the deficiencies noted in the letter prior to suspending the fee appraiser from the list for three (3) months.

If the fee appraiser fails to deliver the appraisal report per the agreed due date, a fine will be imposed, per master contract language, the day after the date due and for each subsequent day the report is late. For example, if a report has the standard maximum ~~Thirty (30)~~ ~~forty-five (45)~~ day turnaround and the report does not arrive on the due date, it will be considered late and a fine will commence on the ~~thirty-first (31)~~ ~~forty-sixth (46)~~ day. Fining will continue each business day the report is late.

If the fee appraiser fails to comply with the requirements of the Letter of Appraisal Assignment and Acceptance, the invoice will be held for payment until the fee appraiser's original report meets the contract requirements. ~~Immediately upon identifying the failure to comply, the Assignment Coordinator will notify the fee appraiser by letter indicating the deficiencies to be addressed and that the payment is being withheld. Additionally, if a continual lack of cooperation is shown when submitting corrections or if corrections are not submitted in a timely manner, invoices will be held for payment until satisfactory corrections are received.~~

The failure to deliver the appraisal report corrections that are deemed acceptable within ~~ten (10)~~ business days two weeks from notification by the reviewer or the failure to deliver any corrections at all will result in notification by letter from the Manager indicating that any outstanding future if invoice payments for the assignment will not be processed until ~~ALL~~ corrections are received. Additionally, if a fee appraiser fails to submit corrections within 10 business days or requests extensions on assignments, where the end result is that the due date for completion set at the Appraisal/Project Coordinator meeting cannot be met, the Manager and or Supervisor may remove the appraiser from consideration on future assignments.

## FEE APPRAISER RATING AND EVALUATION REPORT

(Check only those items that apply)

Fee Appraiser: \_\_\_\_\_  
 Project & Serial Number: \_\_\_\_\_  
 Property Owner: \_\_\_\_\_

ASSIGNMENT EVALUATION - (25%) Date: \_\_\_\_\_ Staffer: \_\_\_\_\_

1) COMPLIANCE WITH INSTRUCTIONS

- a) The report complied with the assignment letter in all respects. 10
- b) The report did not fully comply with the assignment letter. (Invoice to be filed until compliance) 0

2) COOPERATION

- a) The appraiser's level of cooperation was: (Rate 1-5) 5

3) TIMELINESS

- a) The report arrived on or before the original due date. 10
  - b) The report was received late and a fine was imposed. 0
  - c) The appraiser failed to deliver the report or withdrew from the assignment after its award. -5
- (This does not apply if beyond the appraiser's control - rating will be voided but kept on file.  
 If so applies, proceed no further on this form other than "Staff Comments" section below.)

Staff Comments: \_\_\_\_\_

Preliminary Compliance - Approval for Payment  Reviewer: \_\_\_\_\_ Compliance Date: \_\_\_\_\_

REVIEWER EVALUATION (75%) Reviewer: \_\_\_\_\_ Review Date: \_\_\_\_\_

6) COMPLIANCE OF REPORT TO DOT, FHWA, & USPAP REQUIREMENTS

- a) The report complies with DOT, USPAP, & FHWA requirements in ALL respects. <sup>\*\*</sup> 20
- b) The report does not comply, requiring revisions to be made. 0

7) QUALITY OF REPORT

- a) The appraisal was thorough & well-documented with non-substantive<sup>\*\*</sup> corrections needed & provided. 40
- b) The appraisal was lacking documentation, was ambiguous and/or needed substantive<sup>\*\*\*</sup> corrections. 20
- c) The appraisal was unacceptable. (An unacceptable report is returned to the appraiser w/o payment) 0
- d) Corrections were received within ten business days 10

Date Requested: \_\_\_\_\_ Date Received: \_\_\_\_\_

8) COOPERATION

- a) The appraiser's level of cooperation was: (Rate 1-5) 5

COMMENTS: \_\_\_\_\_

* Comments required for those ratings ** Of little or no importance to the integrity of the valuation estimate *** Essential in importance to the integrity of the valuation estimate
---

HCS/0011

ORIGINAL

**FEE APPRAISER RATING AND EVALUATION REPORT**

(Check only those items that apply)

Fee Appraiser: \_\_\_\_\_

Project & Serial Number: \_\_\_\_\_

Property Owner: \_\_\_\_\_

Supervisor: \_\_\_\_\_

**ASSIGNMENT PERSON EVALUATION**

Date: \_\_\_\_\_

Fee Assignment Processor: \_\_\_\_\_

**1) BIDS**

- a) The appraiser's bid was at or below the fee schedule.
- b) The appraiser's bid was ≤25% above the schedule.
- c) The appraiser's bid was > 25% above the fee schedule.

**2) SERVICE**

- a) The appraiser was willing to adhere to a 45-day completion date.
- b) The appraiser initially requested > a 45-day completion date - (no > 60 days allowed.)

**3) COMPLIANCE WITH INSTRUCTIONS**

- a) The report complied with the assignment letter in all respects.
- b) The report did not fully comply with the assignment letter.\* (Invoice to be held till compliance)

**4) COOPERATION**

- a) The appraiser was agreeable and easy to work with during the assignment process.
- b) The appraiser was disagreeable and/or difficult to work with during the assignment process.\*

**5) TIMELINESS**

- a) The report arrived on or before the original due date.
- b) The report arrived on or before the extended due date.
- c) The appraiser requested an extension at least 7 calendar days prior to the original due date.
- d) The appraiser did not request the needed extension at least 7 calendar days prior to the original due date.
- e) The appraiser failed to deliver the report or withdraw from the assignment after its award.\* (This does not apply if beyond the appraiser's control - rating will be voided but kept on file. If so applies, proceed no further on this form other than "Comments" section below.)

**REVIEWER EVALUATION**

Date: \_\_\_\_\_

Reviewer: \_\_\_\_\_

**6) COMPLIANCE OF REPORT TO DOT, FHWA, & USPAP REQUIREMENTS**

- a) The report complies with DOT, USPAP, & FHWA requirements.
- b) The report does not comply, requiring revision to be usable.\*

**7) QUALITY OF REPORT**

- a) The appraisal was thorough & well-documented with no, or non-substantive\*\* corrections needed & provided.
- b) The appraisal was complete but not well documented, ambiguous and/or needed substantive\*\* corrections.
- c) The appraisal was unacceptable.\* (An unacceptable report is returned to the appraiser without payment.)

Corrections: \_\_\_\_\_ Date Requested: \_\_\_\_\_ Date Received: \_\_\_\_\_

**8) COOPERATION**

- a) The appraiser was agreeable and easy to work with during the review process.
- b) The appraiser was disagreeable and difficult to work with during the review process.\*

**COMMENTS:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* Comments required for this rating  
 \*\* Of little or no importance to the integrity of the valuation estimate  
 \*\*\* Essential in importance to the integrity of the valuation estimate

Exhibit E - Request for Proposal

STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION

subject Request for Proposal  
Results -- Fee Appraisers

MEMORANDUM

date September 20, 2011

to Thomas A. Harley, P. E.  
Chief Engineer  
Bureau of Engineering and Construction

from

Ann Marie Maynard  
Division Chief -- Appraisals  
Bureau of Engineering and Construction

The intent of this request was to obtain appraisers with the expertise to conduct real estate appraisals of property and submit reports to the Department of Transportation (DOT) in accordance with DOT requirements, when necessary.

A direct mailing was sent to all fee appraisers on the Certified General Appraiser License list issued by the Department of Consumer Protection. The only exception was those people already employed by the State of Connecticut, retirees from the State of Connecticut and fee appraisers already on the DOT approved list. This is in accordance with the approval received by memo on July 20, 2011 from the Office of Policy and Management. We received 36 responses to our request for proposal. Application packages were sent to each of the 36 applicants. The package requested education information, experience and references. In addition, we requested sample appraisal reports from each applicant. Two (2) new appraisers submitted applications. We, also, received two (2) requests to be on our approved list from appraisers who had previously been approved but let their contracts lapse. The two previously approved appraisers' names were sent to the Finance and Administration Unit to be reactivated on our approved Fee Appraiser list. The two new appraiser applicants were interviewed. The contract process has begun for all of the interested appraisers.

We presently have 19 fee appraisers on our approved Fee Appraiser list with the potential to increase that number by four due to the Request for Proposal. The invitation to be on our approved list does not close and any applicant who expresses interest in the future will be considered.

AMM/ammm/dg

cc: Thomas A. Harley - Rabih M. Barakat  
James Noonan  
Christine Harley  
Thomas J. O'Hala  
Ann Marie Maynard  
Brian Marchi  
Krisil-Lyn Purpora



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546

Phone: (860) 594-2416

July 29, 2011

SUBJECT: On-Call Appraisal Services

Dear Appraiser:

The Office of Rights of Way is soliciting Certified General Appraisers to provide on-call appraisal services. These services will be requested when the workload is too large for our staff to handle or when the Department is in need of a second opinion.

In order for an applicant to be considered, the Appraiser must possess a current State of Connecticut Certified General Appraiser License from the Department of Consumer Protection. In addition, the Appraisal Organization must maintain commercial general liability, automobile liability and workers' compensation insurance throughout the life of the contract. The limits are as follows: commercial general liability insurance must specify a minimum of \$750,000 per occurrence or an aggregate of \$1,500,000. Auto liability insurance must specify a minimum of \$500,000 per occurrence or an aggregate of \$1,000,000. Workers' compensation coverage is based on State Statute and limits should be discussed with appraiser's insurance company.

There will be an orientation meeting with any potential candidates to discuss the details regarding insurance, the required Affirmative Action Plan and the scope of our work. If you are approved, applicants may do work for other State Agencies as well as for the Department of Transportation.

All disadvantaged and/or minority applicants are encouraged to apply. Assistance will be provided to any disadvantaged and/or minority business with the paperwork necessary to become a certified DBB in the State of Connecticut.

The application process begins with a phone call to Ms. Kristi-Lyn Purpura at (860) 594-2407 to request an application package. If you have any questions concerning this matter, please contact Ms. Purpura.

Very truly yours,

A handwritten signature in cursive script, appearing to read "Ann Marie Maynard".

Ann Marie Maynard  
Division Chief  
Appraisal Division

REQUEST FOR PROPOSAL  
DEPARTMENT OF TRANSPORTATION  
APPRAISAL DIVISION  
OFFICE OF RIGHTS OF WAY

INTRODUCTION

The State of Connecticut, Department of Transportation, wishes to engage the services of firms, corporations, partnerships or individuals engaged in the business of appraisal of real estate to be placed upon their approved Fee Appraiser list.

SPECIFIC PROPOSAL REQUIREMENTS

The basis for awarding the contract will include but not be limited to:

1. Persons who hold a current Certified General Appraiser license issued by the State of Connecticut, Department of Consumer Protection.
2. Persons who have provided acceptable sample appraisal reports. This includes a residential (URAR or narrative), commercial (narrative with a completely developed income approach) and an industrial or feasibility study (narrative).
3. Applicants must agree to secure and maintain the minimum insurance liability requirements of the Department of Transportation.
4. Applicants must submit an Affirmative Action Plan.

INSTRUCTIONS

1. Questions regarding this request for proposal should be submitted via e-mail ([Kristi-Lyn.Purpura@dot.gov](mailto:Kristi-Lyn.Purpura@dot.gov)) or by telephone (860) 594-2407.
2. Applications and other pertinent information may be picked up at the Department of Transportation Office at 2800 Berlin Turnpike, Newington, between the hours of 8:00 am and 4:00 pm. Arrangements may be made to have the package mailed by contacting Kristi-Lyn Purpura.



STATE OF CONNECTICUT

DEPARTMENT OF TRANSPORTATION

2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546



Office of the  
Commissioner

July 5, 2011

An Equal Opportunity Employer

The Honorable Benjamin Barnes  
Secretary  
Office of Policy and Management  
450 Capitol Avenue  
Hartford, CT 06106

Dear Secretary Barnes:

Subject: Modification to the Request for Proposal Process

The Office of Policy and Management (OPM) has historically approved the Department of Transportation's (Department) use of a modified Request for Proposal (RFP) process whereby it was permitted to interview and employ any qualified certified general appraiser (CGA) interested in working for the Department. A copy of the previous request is enclosed. This practice allowed for fair bidding and diversity within the field of real estate fee appraisers. This approval is ending August 20, 2011, and renewal is now required.

The previous approval allowed the Department to utilize a direct mailing list to contact all CGA licensed in Connecticut by the Department of Consumer Protection. This provided a means to solicit interest in performing on-call appraisal work for the Department. This process replaced expensive advertising in news publications which had yielded little response in the past. This process is nondiscriminatory allowing all CGA's in the State of Connecticut to be contacted. The Department removed any current State employee from the direct mailing list as noted in the OPM contract guidelines. The direct mailing process was implemented and the results proved to be a success. The Department received far more responses than they had previously received from advertising in news publications. It should be noted that other State agencies and municipalities also use the list compiled by the Department to hire outside fee appraisers.

Due to the success of the process, we are requesting approval of this modified RFP process for another five-year period which would expire on August 20, 2016. We are proposing a five-year contract period for Corporations, Limited Liability Companies, Limited Partnerships and a one-year contract period for Individuals and Sole Proprietorships; and a \$75,000 limit per-year. This figure is based on previous year's contract expenditures. Your consideration in this matter is greatly appreciated.

Sincerely,

James Redeker  
Acting Commissioner

Enclosures

REQUEST FOR PROPOSAL  
DEPARTMENT OF TRANSPORTATION  
APPRAISAL DIVISION  
OFFICE OF RIGHTS OF WAY

INTRODUCTION

The State of Connecticut, Department of Transportation, wishes to engage the services of firms, corporations, partnerships or individuals engaged in the business of appraisal of real estate to be placed upon their approved Fee Appraiser list.

SPECIFIC PROPOSAL REQUIREMENTS

The basis for awarding the contract will include but not be limited to:

1. Persons who hold a current Certified General Appraiser license issued by the State of Connecticut, Department of Consumer Protection.
2. Persons who have provided acceptable sample appraisal reports. This includes a residential (URAR or narrative), commercial (narrative with a completely developed income approach) and an industrial or feasibility study (narrative).
3. Applicants must agree to secure and maintain the minimum insurance liability requirements of the Department of Transportation.
4. Applicants must submit an Affirmative Action Plan.

INSTRUCTIONS

1. Questions regarding this request for proposal should be submitted via e-mail ([Kristi-Lyn.Purpara@ct.gov](mailto:Kristi-Lyn.Purpara@ct.gov)) or by telephone (860) 594-2407.
2. Applications and other pertinent information may be picked up at the Department of Transportation Office at 2800 Berlin Turnpike, Newington, between the hours of 8:00 am and 4:00 pm. Arrangements may be made to have the package mailed by contacting Kristi-Lyn Purpara.



STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION



2800 BERLIN TURNPIKE, P.O. BOX 317546  
NEWINGTON, CONNECTICUT 06131-7546

Phone: (860) 594-2416

SUBJECT: On-Call Appraisal Services

Dear Appraiser:

The Office of Rights of Way is soliciting Certified General Appraisers to provide on-call appraisal services. These services will be requested when the workload is too large for our staff to handle or when the Department is in need of a second opinion.

In order for an applicant to be considered, the Appraiser must possess a current State of Connecticut Certified General Appraiser License from the Department of Consumer Protection. In addition, the Appraisal Organization must maintain commercial general liability, automobile liability and workers' compensation insurance throughout the life of the contract. The limits are as follows: commercial general liability insurance must specify a minimum of \$750,000 per occurrence or an aggregate of \$1,500,000. Auto liability insurance must specify a minimum of \$500,000 per occurrence or an aggregate of \$1,000,000. Workers' compensation coverage is based on State Statute and limits should be discussed with appraiser's insurance company.

There will be an orientation meeting with any potential candidates to discuss the details regarding insurance, the required Affirmative Action Plan and the scope of our work. If you are approved, applicants may do work for other State Agencies as well as for the Department of Transportation.

All disadvantaged and/or minority applicants are encouraged to apply. Assistance will be provided to any disadvantaged and/or minority business with the paperwork necessary to become a certified DBB in the State of Connecticut.

The application process begins with a phone call to Ms. Kristi-Lyn Purpura at (860) 594-2407 to request an application package. If you have any questions concerning this matter, please contact Ms. Purpura.

Very truly yours,

Ann Marie Maynard  
Division Chief  
Appraisal Division

Christine M. Harley

cc: Acting Comr. Redeker -- Dep. Comr. Martin

 Thomas A. Harley- Rubih Barakat

Charlene Casamento -- Robert Card

John Randazzo - Ann Marie Maynard

 Tina DiBacco-Christine M. Harley

JR

STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION

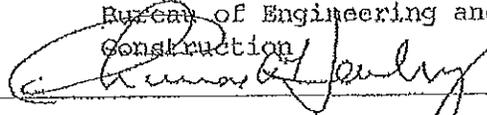
subject: Permission to Retain Services of  
Certified General Appraisers

memorandum

date: June 30, 2011

to: The Honorable James Redeker  
Acting Commissioner

from: Thomas A. Harley  
Chief Engineering  
Bureau of Engineering and  
Construction



Permission is hereby requested to contract with certified general appraisers to perform on-call appraisal services for the Department of Transportation (Department). Certified general appraisers are not considered professionals based on State Statute 13b-20b through 13b-20m and as such the Department's statutory procurement processes do not apply. Therefore, in the past the Department was allowed to utilize the Office of Policy and Management (OPM) contract guidelines for personal service contracts. Furthermore, OPM has allowed the Department to modify their Request for Proposal (RFP) process whereby the Department is permitted to interview and employ any qualified appraiser during an open ended RFP period. The practice allows for fair bidding and diversity within the field of real estate fee appraisers. Prior OPM approvals end August 20, 2011. Upon your approval, a request will be forwarded to OPM to gain their approval to continue this process. (draft attached)

The modified RFP process allowed the DOT to utilize a direct mailing list to contact all Certified Appraisers licensed in Connecticut by the Department of Consumer Protection. This provided a means to solicit interest in performing on-call appraisal work for the DOT. This process replaced expensive advertising in news publications which had yielded little response in the past. This process is nondiscriminatory allowing all certified appraisers in the State of Connecticut to be contacted. The direct mailing process was implemented and the results proved to be a success.

Scope of Services

The Office of Rights of Way, Appraisal Division, currently has On-Call Personal Service Agreements with qualified certified general appraisers. These services are requested when the workload of the Appraisal Division is too large for the staff to handle or when we are required to secure a second appraisal report because of requirements of Department of Transportation policy and/or Connecticut State Statute.

To: Commissioner Redeker -2-  
From: Thomas A. Harley  
Date: June 30, 2011

Permission to Retain  
Services of Certified  
General Appraisers

Appraisers are requested to prepare appraisal reports for use in conjunction with eminent domain matters or the release and/or lease of State properties. Appraisal reports must be prepared in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP), 49CFR (the Uniform Act), State Statutes and Department of Transportation policy.

It is recommended to continue to utilize Personal Service Agreements valued at \$75,000 per contract year. We are requesting a five year contract period for Corporations, Limited Liability Companies, Limited Partnerships and Partnerships and a one year contract period for Individuals and Sole Proprietorships.

A 0% DBE goal has been established on these Agreements.

A draft of the letter that will be sent to prequalified appraisers, who have expressed an interest in working for the Department, is attached.

Approved by:

  
James Redeker  
Acting Commissioner

Date:

7/5/11

Attachments

cc: Acting Comr. Redeker - Dep. Comr. Martin  
Charlene Casamento - Robert Card  
Richard Allen - John Randazzo - Ann Marie Maynard  
Wally Lugli-Mark Hayes-Tina DiBacco-Christine M. Harley

INTERDEPARTMENTAL  
MESSAGE

STATE OF CONNECTICUT

<i>To</i>	NAME, TITLE	DATE
	Mr. Phil Smith, Under Secretary	March 17, 2006
<i>From</i>	AGENCY, ADDRESS	
	Office of Policy and Management, Management Division, 450 Capitol Avenue, Hartford	
	NAME, TITLE	TELEPHONE
Richard C. Allen, Rights of Way Administrator	534-2378	
AGENCY, ADDRESS	Department of Transportation, 2800 Berlin Turnpike, Newington	

Subject: Personal Services Agreements – Contract Fee Appraisers  
Department of Transportation

On August 20, 2001, your Office approved modifications to the Request for Proposal (RFP) process whereby the Department of Transportation (DOT) was permitted to interview and employ any qualified Appraiser during the five year RFP period. This practice allowed for fair bidding and diversity within the field of real estate fee appraisers. This modification was approved for a five year period ending August 20, 2006.

The modification allowed DOT to utilize a direct mailing list to contact all Certified General Appraisers licensed in Connecticut by the Department of Consumer Protection. This provided a means to solicit interest in performing on-call appraisal work for the DOT. This process replaced expensive advertising in news publications which had yielded little response in the past. This process is nondiscriminatory which allowed all Certified General Appraisers in the State of Connecticut to be contacted. The DOT deleted any current State employee or retiree from the direct mailing list as noted in the Office of Policy and Management contract guidelines. The direct mailing process was implemented and the results proved to be a success. The Department received far more responses than they had previously from advertising in news publications. It should be noted that other State agencies and municipalities also use the list compiled by DOT to hire outside fee Appraisers.

The Department is requesting a \$75,000 contract limit per year. The figure is based on previous year's contract expenditures. We are requesting a five year contract period for Corporations, Limited Liability Companies, Limited Partnerships and Partnerships and a one year contract period for Individuals and Sole Proprietorships. Due to the success of the past five years, we are requesting another five year period which would expire on August 20, 2011. Your consideration in this matter is greatly appreciated.

Christine M. Harley/cmh  
cc: Richard Allen  
Brian Hanlon  
Thomas O'Hala-Tina DiBacco-Christine M. Harley  
Ann Marie Maynard

STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION

Subject Fee Appraiser Selection and  
Evaluation Guidelines

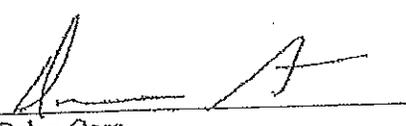
MEMORANDUM

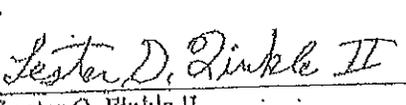
Date September 21, 2010  
From Ann Marie Maynard  
Division Chief  
Appraisal Division

To Mr. Richard C. Allen  
Rights of Way Administrator

In an effort to bring uniformity and equity to the Fee Appraiser Assignment Process, our policies and procedures have been modified. Attached are copies (Fee Report Procedures and Corrective Actions for Non-Performance) of the revised proposals for your review and approval. The proposed changes have been highlighted in pink.

Approval:  Date: 9/22/10  
Richard C. Allen  
Rights of Way Administrator

Approval:  Date: 9/24/10  
Debra Goss  
Program Manager

Approval:  Date: 9/28/10  
Lester G. Finkle II  
Transportation Specialist

Attachments

Ann Marie Maynard/dvg

cc: Lester G. Finkle II  
Debra Goss  
Richard C. Allen  
Ann Marie Maynard  
Brian C. Marchi

Fee Report Procedures in the Office of Rights of Way

1. The Assignment Coordinator will e-mail all fee appraisers interested in working in the project town, include the bid package attachment, and note the turnaround deadline for bid. The list of interested Fee Appraisers may be found on the "Fee Appraiser Territory Program" which is compiled and maintained by the Appraisal Division. Bid packages will contain the following documents as appropriate:
  - A. Acquisition Files: complete title search (acquisition files) via e-mail attachment from Image Records Management System (IRMS); all available field cards; taking map.
  - B. Property Management Files: release map; other available mapping to enable the appraiser to locate the State's property and the abutting property (if applicable).

The Assignment Coordinator shall request all Fee Appraisers submit a bid to prepare an appraisal for an update to condemnation in addition to their bid for the original assignment. Then, if a condemnation update is required, the Fee Report can immediately be prepared.

2. Bid proposals must be received within five (5) business days from the date the e-mail bid package is sent to the Fee Appraiser. If no response is received within five business days from the e-mailing, the proposal process will require a new request for bids. No bids will be accepted after the deadline. The criteria for selection of a Fee Appraiser as a successful bidder on an assignment is based on past performance, turnaround time, competitive bid and the Appraisal Fee Schedule (please refer to the "Fee Appraiser Rating and Evaluation Report"). Periodically, our approved Fee Appraisers will be checked for debarment (three or four times per year). Only one bid will be accepted per assignment per Fee Appraiser. If more than one bid is submitted for any one assignment by any one Fee Appraiser, the first bid will be the bid considered in the selection process. Rebids may occur when new information arises. If there is a need for a rebid, it will be to all the Fee Appraisers who elect to work in that town. All rebids will be initiated by CONNDOT.

A bid letter is prepared which details the terms of the assignment. If any Fee Appraiser does not conform to the bid letter instructions, that bid may be disregarded. This determination will be made by the Supervising Property Agent of the Appraisal Section.

3. The Assignment Coordinator will prepare a Fee Report and have it budget cleared by the Fiscal Section. The Fee Report and Letter of Appraisal Assignment and Acceptance refer to the class per fee schedule. This fee schedule is to be used as a guideline as it is only useful as support information in conjunction with this transparent bid process. The Fee Report is then given to the Reviewer who will review the Fee Report and forward it to the Supervisor. The Supervisor will review the Fee Report, sign it, and forward it to the Division Chief who, in turn, will review the report for final concurrence and signature. If the lowest bid is not chosen for an assignment for any reason, the Fee Report must be forwarded from the Division Chief to the Rights of Way Administrator for signature and approval.
4. After the Fee Report receives final signature and approval, it is returned to the Assignment Coordinator. The Assignment Coordinator will note the due date on a tracking calendar and then prepare the Letter of Appraisal Assignment and Acceptance. All assignments will be due in forty-five (45) days or less. The Division Chief signs the letter and copies are distributed to the Division Chief, Supervisor, Reviewer and Assignment Coordinator and a copy is filed in Appraisal Control. The original Letter of Appraisal Assignment and Acceptance (on CONNDOT letterhead) and a colored copy, with the distribution list, are then mailed to the Fee Appraiser. Additionally, the Fee Appraiser will be e-mailed the Letter of Appraisal Assignment and Acceptance to expedite the turnaround of the assignment. The Fee Appraiser **MUST** sign and date the colored copy of the Letter of Appraisal Assignment and Acceptance and return it to CONNDOT within five (5) business days of receipt which constitutes acceptance of the assignment.
5. Critiques of the Plaintiff's appraisal report that are four hundred dollars or less do not require a Fee Report and can be assigned directly to the Fee Appraiser who prepared the update for condemnation. Appraisals that require revision due to a change in the assignment or a map revision where the fee is five hundred dollars or less do not require a Fee Report. This applies only when the assignment is being made to the same Fee Appraiser who prepared the original report.
6. Only one two-week, due-date extension may be granted on a case-by-case basis provided a written justified request is submitted by the Fee Appraiser seven (7) calendar days prior to the due date (reference is made to the Personal Service Agreement that was signed with the State). The Supervisor will review the request and recommend an appropriate action to be taken by the Division Chief who, in turn, will approve or disapprove the request. The Fee Appraiser will be notified by letter with respect to the disposition of the request.

7. When the appraisal reports are received, the Assignment Coordinator, in conjunction with the Reviewer, should verify total compliance with the Letter of Appraisal Assignment and Acceptance. The invoice date and number are then recorded onto the Fee Report. The invoice is then presented to the Supervisor for approval of payment.
8. The Supervisor signs and returns the invoice to the Assignment Coordinator, who then forwards it to the Fiscal Section. The Fee Report is then filed, thus completing the assignment process.

### Corrective Actions for Non-Performance

The Appraisal Division will maintain an updated Fee Appraiser Rating and Evaluation Report for each fee appraiser that performs assignments. The Assignment Coordinator is responsible for updating the "Fee Appraiser and Evaluation Matrix" quarterly. Supervisors are responsible for monitoring the fee appraisers' scores and will notify the Manager, in writing, when a fee appraiser's score falls below the minimum acceptable score. A minimum acceptable score is initially set at 60. Once a fee appraiser's overall score falls below the minimum acceptable score, the Manager will notify the fee appraiser of the areas of deficiency in writing. The fee appraiser will be given an opportunity to improve upon the deficiencies noted in the letter. If the deficiencies continue in future reports, the Manager will send a letter of correction/ suspension to the fee appraiser indicating that he/she will not receive work for the next six (6) months.

If the fee appraiser fails to deliver the appraisal report per the agreed due date, a fine will be imposed, per master contract language, the day after the date due and for each subsequent day the report is late. For example, if a report has the standard maximum forty-five (45) day turnaround and the report does not arrive on the due date, it will be considered late and a fine will commence on the forty-sixth (46) day. Fines will continue each day the report is late.

If the fee appraiser fails to comply with the requirements of the Letter of Appraisal Assignment and Acceptance, the invoice will be held for payment until the fee appraiser's original report meets the contract requirements. Immediately upon identifying the failure to comply, the Assignment Coordinator will notify the fee appraiser by letter indicating the deficiencies to be addressed and that the payment is being withheld.

The failure to deliver the appraisal report corrections that are deemed acceptable within two weeks from notification by the reviewer or the failure to deliver any corrections at all will result in notification by letter from the Manager indicating that any future invoice payments will not be processed until ALL corrections are received.

Exhibit F - Appraisal Fee Schedule

STATE OF CONNECTICUT

APPRAISAL FEE SCHEDULE EFFECTIVE JULY 1, 2000

CLASS I VACANT LAND		Total Take		Partial Take	
		LAR	29FT	LAR	29FT
A. Residential/Agricultural					
1.	One building site including oversized lot	\$500	\$900	\$650	\$1,100
2.	More than one site	\$850	\$1,450	\$1,050	\$1,700
3.	Subdivisions		\$1,700		\$2,050
Note: For added work or agricultural, use fee for one of the above classifications plus an appropriate amount allowed under CLASS III, Special Parcels					

B. Commercial, Industrial, Institutional & Parks					
1.	Five acres or less, not more than one site	\$750	\$1,100	\$1,200	\$1,500
2.	Two or more sites or less than 10 acres	\$1,100	\$1,250	\$1,400	\$1,650
3.	Over 10 Acres	\$1,300	\$1,600	\$1,600	\$2,100
Note: For complex developments, use fee for one of the above classifications plus an appropriate amount allowed under CLASS III, Special Parcels					

CLASS II - IMPROVED LAND		Total Take		Partial Take	
		Sum	29FT	Sum	29FT
A. Residential					
1.	Single family dwelling	\$350		\$500	
2.	Two to four family dwelling	\$650	\$1,350	\$900	\$1,600
3.	Multiple family five to twenty-four units	\$1,200	\$1,900	\$1,400	\$2,300
Note: For special situations requiring additional work or exposure, use one of the above classifications plus an appropriate amount allowable under CLASS III Special Parcels					

B. Commercial, Industrial, Institutional, including office building					
1.	One - two stories with not more than 10,000 sq. ft. of building area		\$1,850		\$1,900
2.	One - two stories with more than 10,000 sq. ft. of building area but less than 75,000 sq. ft.		\$2,000		\$2,600
3.	One - two stories and not more than four apartments		\$1,800		\$2,200
4.	One or two stories and four to sixteen apartments		\$2,150		\$2,400
5.	Gasoline Service Stations		\$2,100		\$2,500
Note: More than two stories and/or more than sixteen apartments and/or greater than 75,000 sq. ft., use Class III applying an appropriate negotiated amount. Three or more story buildings not in above, use appropriate base Class plus Class III applying appropriate negotiated amount					

C. Agricultural Property					
1.	Farm land and buildings less than fifty acres		\$1,800		\$2,400
2.	Farm land and buildings more than fifty acres		\$2,000		\$2,600

Note: Summary (Sum) appraisal report formats include the URAR and Small Income Property Reports.

### CLASS III - SPECIAL PARCELS

All parcels in the preceding classes, when requiring extraordinary work described in those classes, shall be allotted an additional fee, negotiated on the basis of the amount of work required. Any parcels not fitting into Class I or Class II and the fee negotiated in accordance with the work required, the basis for each fee must be explained.

CLASS IV -      UPDATING OF APPRAISALS & RE-APPRAISALS REQUIRED BECAUSE OF REVISION OF TAKING      To be negotiated in accordance with the percentage of the original assignment required.

CLASS V -      ADDITIONAL WORK REQUIRED BY THE STATE THROUGH NO FAULT OF THE APPRAISER      To be negotiated on the basis of the amount of work required expressed as a percentage of fee in accordance with the percentage of the original assignment required.

CLASS VI -      VALUE FINDING APPRAISALS

	Residential	Commercial/Industrial
	\$350	\$500

### FOOTNOTES

1. Combination parcels, such as split zones of multiple use, shall be classified in accordance with the dominant zone of dominant use plus Class III additive appropriate to the amount of work required. When more than two zones or uses are involved, the negotiated fee shall not be less than seventy percent (70%), not more than ninety percent (90%) of the total of the combined applicable fees.

When only two classifications are involved, the total fee negotiated shall not be more than 1.8 times the fee for the dominant zone of dominant use.

2. Excess area appraisals and appraisals which require the evaluation of land beyond the minimum right of way line and within the area to be acquired shall be considered partial acquisition appraisals.

3. Pre-trial conferences shall be at the rate of \$100.00 per hour or part thereof. Time for pre-trial conferences shall be measured at the office of the person requesting the conference.

4. Court appearances shall be at the rate of \$400 per half day and \$700 for a full day.

5. Critiques shall be at the rate of \$100.00 per hour for a maximum of four hours. All other critiques prepared in excess of the maximum of \$400 shall be approved by an Assistant Attorney General with supporting documentation for the increase to the Agency Head.

6. In the event of five to ten similar appraisal assignments on the same project, the fee may be negotiated at a minimum discount of 3%, and over ten assignments at a rate of 10%, when the work of a Fee Appraiser may be facilitated or simplified by such multiple appraisal assignments.

7. When choosing a fee classification, it is important to remember that the property zoning classification is not the primary determinant of the Class. The Class chosen should reflect the appropriate Highest and Best Use, as determined in the report, and therefore gives direction as to the scope and amount of work necessary to write the appraisal report.

8. Time used for the determination of whether a report should be updated to the date of condemnation shall be \$100.00. If the report in fact needs updating (with a corresponding value change), a negotiated fee will apply based upon the amount of work to be accomplished, less the \$100.00 determination fee.

It is understood that this established Fee Schedule is intended only as a guide in the determination of a fair and equitable fee for the type of appraisal problem encountered and should in no way affect attitudes toward the assignments, appraisal methods and techniques, or choice of highest and best use.

Approved: \_\_\_\_\_ Date: \_\_\_\_\_  
Secretary,  
Office of Policy and Management

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd. Descr.	DeptID	Location	Location Descr.	Ethnic	Sex
416008	Harlow, Charles S	TranspDivChf	DOT57100	DOT102000	Traffic Administration	WHITE	M
494924	Babowicz, Jennifer G	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
064817	Baumner, Colin R	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
065696	Beaudoin, Roger E	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
135184	Brazaitis, Peter J	TransportationEngineer1(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
648628	Fatu, Natasha A	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	ASIAN	F
360968	Florah, Jasvinder S	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	ASIAN	M
468188	Greenalch, Gina M	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
599291	Kulakowski, Frederick L	TranspSupvsngEngr(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
553494	Lindeberg, Erika B	TranspSupvsngEngr(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
494485	Lussier, Kenneth A	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
052133	Mermelstein, Anna S	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
441403	Ouellette, Joseph P	TranspSupvsngEngr(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
598832	Pang, Julia Y	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	ASIAN	F
069596	Pfaffinger, Jeffrey R	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
416129	Ricozzi, Barbara B	TranspPrinEngr(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
039552	Schilling, Barry A	TranspEngr3(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
039607	Veronesi, Daniel J	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	M
440945	Walcunols, Linda A	Secretary2	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
039143	Watras, Catherine A	TransportationEngineer2(E)	DOT57100	DOT103000	Traffic Eng Unit Districts 3&4	WHITE	F
118391	Basic, Emin	TransEngrTrainee	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
494670	Cleri, Antony	TranspEngr3(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
144302	Corilla, Jonathan J.	TransEngrTrainee	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2		M
441153	Ezele, Sunny D	TranspSupvsngEngr(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	BLACK	M
416007	Fabry, David M	TranspSupvsngEngr(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
494597	Fogarty, Tracy L	TranspPrinEngr(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	F
130826	Haptas, Daniel K	TransEngrTrainee	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
052090	Mermelstein, Alex	TransportationEngineer2(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
440918	Ng, Yiu K	TranspEngr3(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	ASIAN	M
420048	O'Connor, Joy L	TransportationEngineer2(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	F
467411	Onwuazor, Patrick I	TranspEngr3(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	BLACK	M
056971	Palmer, Gregory R	TranspEngr3(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
062801	Richards, Jane T	Secretary2	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	F
124779	Simpkins, Donna L	TransportationEngineer1(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	F
130818	Vincent, Jason A	TransportationEngineer1(E)	DOT57100	DOT104000	Traffic Eng Unit Districts 1&2	WHITE	M
599082	Barlow, Malika L	TransportationEngineer2(E)	DOT57100	DOT105000	Traffic Electrical Unit	BLACK	F
494715	Bongiorno, Anna B.	TransportationEngineer2(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	F
494602	Chaudhry, Zahid R	TranspEngr3(E)	DOT57100	DOT105000	Traffic Electrical Unit	ASIAN	M
494920	Cholewa Jr, Richard J	TransportationEngineer2(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	M
494500	Cloutier, Michael J	Drafter2(Highway)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	M
494807	Conroy, Lisa N	TranspSupvsngEngr(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	F
494870	Fascione, Gerald M	Drafter2(Highway)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	M
521530	Ferrante, Paul S	TranspEngr3(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	M
055682	Julliano, Michael A	TransportationEngineer2(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	M
135426	Pollneni, Raja Kapil Dev	TransEngrTrainee	DOT57100	DOT105000	Traffic Electrical Unit	ASIAN	M
130201	Shehata, Mena S	TransEngrTrainee	DOT57100	DOT105000	Traffic Electrical Unit	BLACK	M
130165	Simon, Miguel M	TransEngrTrainee	DOT57100	DOT105000	Traffic Electrical Unit	BLACK	M
416604	Swinburne, Diane K	TransportationEngineer2(E)	DOT57100	DOT105000	Traffic Electrical Unit	WHITE	F
428517	Brown Jr, Edwin L	TranspEngr3(E)	DOT57100	DOT106000	Project Design Unit	BLACK	M
072321	Chachakis, Michael A	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
416122	Cohen, Phillip J	TranspSupvsngEngr(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
441503	Curley, Stephen P	TranspEngr3(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
056245	Fils, Oddler	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	BLACK	M
416144	Grasso, Joseph A	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd Descr	DeptID	Location	Location Descr	Ethnic	Sex
494546	James, Levarance H	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	BLACK	M
416137	Lalone, Michael W	TranspSupvsngEngr(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
357508	Makuch, Mark F	TranspPrinEngr(E)	DOT57100	DOT106000	Project Design Unit		M
073536	Mandler, Nicholas C	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit		M
441373	Massini, James A	TranspEngr3(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
055476	Meronnis, Claudel	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	BLACK	M
050221	Saykin, Yevgeniy	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
283671	Smith, Brian F	TranspEngr3(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
497312	Stoeffler, Brett M	TranspEngr3(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
055271	Tompkins, David J	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
598841	Wassmann, Scott J	TransportationEngineer2(E)	DOT57100	DOT106000	Project Design Unit	WHITE	M
360720	Harley, Thomas A	TransChiefofEngr&ConstrSvs	DOT57100	DOT111000	Bureau Chief (E&Con)	WHITE	M
204388	Norman, James H	TranspEngrAdmin	DOT57100	DOT111000	Bureau Chief (E&Con)	WHITE	M
331240	Young, Cynthia A	AdministrativeAssistant	DOT57100	DOT111000	Bureau Chief (E&Con)	WHITE	F
494712	Fallon, James A	TranspDivChf	DOT57100	DOT191000	Engineering	WHITE	M
441391	Hill, Scott A	TranspDivChf	DOT57100	DOT191000	Engineering	WHITE	M
360983	Wilson, Timothy M	TranspDivChf	DOT57100	DOT191000	Engineering	WHITE	M
467503	Annino, Julie M	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	F
494863	Bourgoin, Bruce R	TranspSupvsngEngr(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
055293	Calkins, Mathew J	TransportationEngineer2(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
441167	McDonnell, Annemarie H	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	F
468145	Oliveira, Dionysia F	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	ASIAN	F
440966	Pratt, William S	TranspPrinEngr(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
494800	Richard, Elaine H	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	F
494233	Rinaldi, John S	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
598825	Sardinskas, Gregory A	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
494666	Telfer, Ronald C	TranspSupvsngEngr(E)	DOT57100	DOT192000	Engineering Applications	WHITE	M
494825	Trico, Jennifer N	TranspSupvsngEngr(E)	DOT57100	DOT192000	Engineering Applications	WHITE	F
468157	Zimmerman, Kathleen A	TranspEngr3(E)	DOT57100	DOT192000	Engineering Applications	WHITE	F
482594	Bonsignore, Christopher J	TranspSupvsngEngr(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	M
494472	Dorosh, Gregory M	TranspPrinEngr(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	M
283915	Levesque, Roger J	TranspEngr3(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	M
494730	Maines, Amie G	TranspEngr3(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	F
543213	Mathieu, Felix	TranspEngr3(E)	DOT57100	DOT193000	Environmental Compliance	BLACK	M
494632	Nemecek, Judith A	TranspSupvsngEngr(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	F
136079	Portal, Jeffrey A	TransEngrTrainee	DOT57100	DOT193000	Environmental Compliance	WHITE	M
494843	Smith, Caswell K	TranspEngr3(E)	DOT57100	DOT193000	Environmental Compliance	BLACK	M
467436	Young, Denise A	TranspEngr3(E)	DOT57100	DOT193000	Environmental Compliance	WHITE	F
494591	Akosa, Emmanuel A	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	BLACK	M
054708	Basha, Sarwat A	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
416050	Brndlar, John G	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
467692	Cain Jr, Leo C	TranspSupvsngEngr(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
441436	Chavez, John C	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	HISPA	M
467824	Daigle Jr, John L	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
437187	Dattilo, Paul F	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
368605	Ferrara, Andrew R	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
494189	Finn, Eric E	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440703	Freeman Jr, William	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
494865	Garcia Jr, Alvaro	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	HISPA	M
056288	Gillis, Matthew D	TransportationEngineer2(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
495031	Holdridge, Michael D	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440534	Jantzen Jr, Ronald D	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
482601	Jaronczyk, Steven P	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
494168	Jones, James F	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	BLACK	M

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
467806	Juber, Stanley C	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
494815	Keedy, G S	TranspSupvsngEngr(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440796	Kowalski, Krzysztof G	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
468181	Lapierre, Theodore D	TranspSupvsngEngr(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
415965	Long, Michael J	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
441151	Matthews, Tracy E	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440599	McClave, Duncan	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
019753	Mirzaee, Shokrollah	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
467828	Pawlkowski, David	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
055549	Prescott Jr, Richard A	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
467362	Pucillo, Edward B	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
494988	Riemer, Karen M	TranspSupvsngEngr(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	F
402726	Seelen, Debra A	Administrative Assistant	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	F
468099	Sharon, Patrick A	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
441478	Silverio, Mark P	TransBridgeSafetyInspect3	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440566	Statchen, Ned T	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440637	Talmont, Dennis G	TransBridgeSafetyInspect3	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
360928	Tassavor, David R	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
495091	Venoutsos, Peter N	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
541672	Wang, Baihai	TranspEngr3(E)	DOT57100	DOT194000	Bridge Safety and Evaluation	ASIAN	M
468174	Weir, Kirk A	TranspBrgeSftyInsp2	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440555	Zaffetti, Robert P	TranspMgrBrgeSfty&Eval	DOT57100	DOT194000	Bridge Safety and Evaluation	WHITE	M
440849	Bacho, Louis D	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
598595	Baker, Mary E	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	F
494842	Barakat, Rabih M	TranspPrinEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
437186	Bhardwaj, Priti S	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	ASIAN	F
494480	Blasi, Kevin V	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
610824	Brako Frempong, Barak	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	BLACK	M
441170	Brown, Robert P	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
495123	Cardinal, Andrew J	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
050650	Cardone, Luke W	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
829375	Catalan, Jose R	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	ASIAN	M
327465	Cavanaugh, James M	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
071317	Cheng, Jeffrey P	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	ASIAN	M
052220	Chuong, Bao K	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	ASIAN	M
494507	Civiello, Brenda A	Administrative Assistant	DOT57100	DOT195000	Bridge Design	WHITE	F
598834	Crespo, Mac	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
437211	Cutler, David A	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
360960	Dally Jr, Ralph D	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
002209	Fadul, Francisco T	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	BLACK	M
272177	Fields, Timothy D	TranspPrinEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
146354	Funk, Gregory A	TransEngrTrainee	DOT57100	DOT195000	Bridge Design	WHITE	M
031892	Gruftadauria, David S	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
599048	Guzman, Juan F	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	HISPA	M
398304	Hager, Jon R	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
076383	Harris, Ricardo D	TransEngrTrainee	DOT57100	DOT195000	Bridge Design	BLACK	M
020639	Jamalipour, Alreza	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
091630	Kang, Jonathan W	TransEngrTrainee	DOT57100	DOT195000	Bridge Design	ASIAN	M
131613	Kempf, Jonathan J	TransEngrTrainee	DOT57100	DOT195000	Bridge Design	WHITE	M
441207	Kwolek, Ellen S	Secretary 2	DOT57100	DOT195000	Bridge Design	WHITE	F
046384	Lajole, Michael J.P.	Transportation Engineer 2(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
085256	Lessard, Derick M	TransEngrTrainee	DOT57100	DOT195000	Bridge Design	WHITE	M
494826	Libatique, Ranolfo P	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	ASIAN	M
494699	Lomotey, Sowatei K	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	BLACK	M

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
432525	Lynch,Michelle A	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	F
929739	Martin,Gayende K	TransportationEngineer2(E)	DOT57100	DOT195000	Bridge Design	BLACK	M
031114	Martin,Ryan David	TransEngnTrainee	DOT57100	DOT195000	Bridge Design	WHITE	M
360814	McCann,James C	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
055412	Plude,Ken-Taro	TransportationEngineer2(E)	DOT57100	DOT195000	Bridge Design	ASIAN	M
067494	Powell,Edward W	TransportationEngineer2(E)	DOT57100	DOT196000	Bridge Design	BLACK	M
416043	Reed,Bryan H	TranspSupvsngEngr(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
494818	Scalise,Joseph	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
148821	Shugrue,Madison M	TransEngnTrainee	DOT57100	DOT195000	Bridge Design	ASIAN	F
148636	Silva,Deborah C	TransEngnTrainee	DOT57100	DOT195000	Bridge Design	HISPA	F
068954	Ucar,Berk	TransportationEngineer2(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
416605	Whipp,Francis E	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	WHITE	M
598647	Wong,Mel W	TranspEngr3(E)	DOT57100	DOT195000	Bridge Design	ASIAN	F
440573	Afrazi,Sohrab	TranspPrinEngr(E)	DOT57100	DOT196000	Design Services	ASIAN	M
467548	Allegro,Louis	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
440832	Arzt,Glenn L	TransEngnTech	DOT57100	DOT196000	Design Services	WHITE	M
586107	Bansemer,Marjorie A.	Secretary2	DOT57100	DOT196000	Design Services	WHITE	F
441441	Block,Edgardo D	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	HISPA	M
437202	Brown,Derek J	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
494587	Burns,Monique G	TranspEngr3(E)	DOT57100	DOT196000	Design Services	HISPA	F
494801	Bustewicz,Glenn S	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
598810	Cai,Xiuyun	TranspEngr3(E)	DOT57100	DOT196000	Design Services	ASIAN	F
440690	Chhabra,Greg M	TranspEngr3(E)	DOT57100	DOT196000	Design Services	ASIAN	M
467477	Chow,Chong L	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	ASIAN	M
410968	Cianciolo,Neal M	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
416019	Colburn,Draw R	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
467336	Cormier,Michael J	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	M
316155	Derewianka,Michael	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	M
146278	Esposito,Andrew T.	CooperativeEducationIntern	DOT57100	DOT196000	Design Services	WHITE	M
467454	Foley,Robert D	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
440808	Fontaine,Leo L	TranspPrinEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
130489	Hare,Amy E	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	F
494949	Henault,John W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
441467	Hendrickson,Gregg W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
440565	Hogan,Michael E	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
435091	Hulme,Susan G	Secretary2	DOT57100	DOT196000	Design Services	WHITE	F
214298	Hunter,Rosanne	AdministrativeAssistant	DOT57100	DOT196000	Design Services	WHITE	F
494878	Kelley,Michael F	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
441019	Kilpatrick,David J	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
494829	Klebieka,Elizabeth M	Drafter2(Highway)	DOT57100	DOT196000	Design Services	WHITE	F
138264	Lee,Bryan D	TransEngnTrainee	DOT57100	DOT196000	Design Services	WHITE	M
437201	Lynch,Michael S	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
063453	Mahoney,Kevin M	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
494926	Mar-Mascoli,Pichay	TranspEngr3(E)	DOT57100	DOT196000	Design Services	ASIAN	F
384414	Masayda,Michael E	TranspPrinEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
467640	McDonnell,Michael F	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
101693	McKernan,Brett S	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	M
511754	Mohamood,All B	TranspEngr3(E)	DOT57100	DOT196000	Design Services	BLACK	M
326422	Montefiore,David W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
444417	Moriarty,Jeannine A	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	F
494552	Mroczkowski,Andrew J	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
494691	Mysilwicz,Andrzej	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services	WHITE	M
494473	Neville,Robert W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
494486	Pion,Robert A	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd Descr	DeptID	Location	Location Descr	Ethnic	Sex
494347	Piteo,Michael G	TranspSupvsngEngr(E)	DOT57100	DOT196000	Design Services		M
467941	Plocharczyk,James M	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	M
032802	Scharpf,Samantha Florence	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	ASIAN	F
494836	Song,Won S	TranspEngr3(E)	DOT57100	DOT196000	Design Services	ASIAN	M
494489	Stopper,Mark W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
440974	Von hone,Kurt W	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
440713	Wallace,Craig K	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
416548	Weiss,Jacob E	TranspEngr3(E)	DOT57100	DOT196000	Design Services	WHITE	M
035864	Zeltoun,Marcelle M	TransportationEngineer2(E)	DOT57100	DOT196000	Design Services	WHITE	F
000218	Andrews,Meredith L	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	F
494697	Antonlak,Yolanda M	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	F
001734	Aresco,Salvatore	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
416010	Armstrong,Richard B	TranspPrinEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
057334	Arsenault,Joseph D	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	NSPEC	M
494502	Barnes,Deloris	TranspLndscpDesn3	DOT57100	DOT197000	Highway Design	BLACK	F
067840	Bergeron,Norma C	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	ASIAN	F
360988	Borden,Thomas E	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
441181	Britnell,William W	TranspPrinEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
034536	Burch,Allison	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	F
416351	Burgess,Thomas C	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494488	Bushee,A S	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
057971	Byrnes,Marc P	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494760	Calabrese,Michael	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440788	Callin,Veronica M	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	F
599228	Cannamela,Sebastian A	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
055486	Cherpak,Michael S	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
360744	Cunningham,Brian T	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
048486	Darling,Jessica Elizabeth	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	HISPA	F
071938	Dean,Jonathan M	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
467711	Dudzinski III,John C	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
381553	Ellis,Peter	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440959	Estanislau,Anthony	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
416436	Faenza,Thomas J	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440881	Fesenmeyer,Andreas A	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
049577	Fledler,Susan L	TranspLndscpDesn3	DOT57100	DOT197000	Highway Design	WHITE	F
032037	Giorlando,Justin Michael	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494503	Grant,William E	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
109684	Hall,Stephen D	TransportationEngineer1(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494823	Hallock,Gabriele	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	F
494871	Harms,David W	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440946	Hayward,Hugh H	TranspPrinEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494545	Ingarra,Todd A	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
043920	Ivanoff,Nicholas Andrew	TransportationEngineer1(E)	DOT57100	DOT197000	Highway Design	WHITE	M
023952	Jain,Megha	TransEngrTrainee	DOT57100	DOT197000	Highway Design	ASIAN	F
633649	Jarboe,Erik A	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
064941	Kamali,Armin	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	NSPEC	M
494821	Kim,Byong K	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	ASIAN	M
441154	Larocca,Laurie I	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	F
437194	Leblanc,Adam J	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494868	Libatique,Susan M	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	ASIAN	F
546344	Mar,Piniith B	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	ASIAN	M
054748	Maura,Denise E	AdministrativeAssistant	DOT57100	DOT197000	Highway Design	WHITE	F
494541	Melsack Jr,Paul M	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
360745	Natwick,Brian J	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M

## EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd/Descr	Dept ID	Location	Location Descr	Ethnic	Sex
067850	Nikuln, Sergey	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494869	O'Keefe, Paul R	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
494554	Patel, Nilesh M	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	ASIAN	M
064908	Pike, Jordan D	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
129462	Pires, Manuel D	TransEngnTrainee	DOT57100	DOT197000	Highway Design	BLACK	M
036831	Pitcock, Gary S.	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
143789	Price Cornelio, Ajani	TransEngnTrainee	DOT57100	DOT197000	Highway Design	BLACK	M
467900	Reilly, Robert A	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440670	Roberts, Scott A	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
049570	Ruiz, Lesgle M	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	HISPA	F
050048	Rylander, Mark W	TranspLndscpDesn2	DOT57100	DOT197000	Highway Design	WHITE	M
055555	Sabourin, Edward B	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
468089	Saghir, Ahsan K	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	ASIAN	M
126792	Saldana, Michelle C	TransEngnTrainee	DOT57100	DOT197000	Highway Design	HISPA	F
131408	Samuels, Johari I	TransEngnTrainee	DOT57100	DOT197000	Highway Design	BLACK	F
494547	Servidons, Anthony	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
598968	Smith, Latoya W	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	BLACK	F
360626	Soja, Gregory J	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
553078	Sollmi, Michael J	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	M
058027	Staroverov, Vitalij V	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
062738	Stula, Amy E	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	F
494848	Sweeney, Jennifer J	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	F
440958	Talarico, Peter E	TranspSupvsngEngr(E)	DOT57100	DOT197000	Highway Design	WHITE	M
041407	Tanski, Jaymes N	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
416073	Taylor, Cathleen A	Secretary2	DOT57100	DOT197000	Highway Design	WHITE	F
494694	Trovato, John	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
599131	Vail, Matthew R	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	WHITE	M
440716	Wamuo, Ajalihu A	TranspEngr3(E)	DOT57100	DOT197000	Highway Design	BLACK	M
056297	Washburn, Marissa L	TransportationEngineer2(E)	DOT57100	DOT197000	Highway Design	WHITE	F
138223	Zuk, Camil	TransEngnTrainee	DOT57100	DOT197000	Highway Design	WHITE	M
444822	Andrews, Jon H	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
440785	Bear, Mark S	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
071935	Benson, Jesse A	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494782	Bergeron, Eric S	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494631	Bernick, John E	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
041376	Bordonaro, Joseph S	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494174	Chatman, Julianne	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	BLACK	F
599036	Cocozza, Frank	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
058454	Easdon, Matthew L	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
599030	Feldblum, Eric G	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
437210	Hall, Keith A	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
440876	Hanifin, John D	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494726	Kaminsky, Svetlana	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	F
599235	Kuljis, Jorge M	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	HISPA	M
441137	Majcherek, Edward W	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
050153	Mangiafico, Sebastiano L	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494963	Maynard Jr, Everett W	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
416139	Messina, Robert C	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
494798	Morneault, Susan L	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	F
379114	Morse, Carol M.	Secretary2	DOT57100	DOT198000	Facilities Design	WHITE	F
598393	Nezames, Theodore H	TranspPrlnEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
357723	Olmstead, Bruce A	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
044476	Phillip, Shinel M	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	BLACK	F
071473	Rigo, Zoltan	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M

EXHIBIT G - DESIGN STAFF

ID	Name	Job Cd Descr	Dept ID	Location	Location Descr	Ethnic	Sex
039651	Ross, Nicholas A	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
049930	Sawyer, Mark D	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	HISPA	M
494840	Strong, Michael J	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
368447	Waleszczyk, John W	TranspSupvsngEngr(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
041391	Walton, Samara K	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	BLACK	F
072189	Witlk, Michael P	TransportationEngineer2(E)	DOT57100	DOT198000	Facilities Design	WHITE	M
599020	Wyskiel, John	TranspEngr3(E)	DOT57100	DOT198000	Facilities Design	WHITE	M

EXHIBIT H - Rights of Way (ROW) Staff

ID	Name	Job C'd Descr	DeptID	Location	Location Descr	Ethnic	Sex
494513	Obey, Terrence J	TranspRtsOfWayDir	DOT57100	DOT121000	ROW Administrator	WHITE	M
436875	Rolando, Yofanda	AdministrativeAssistant	DOT57100	DOT121000	ROW Administrator	HISPA	F
316653	Aletta, Michael	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
317595	Carroll, Ann C	Secretary2	DOT57100	DOT122000	Div of Appraisals	WHITE	F
598671	Corazzelli, Michael J	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
401770	Decapua, Mark A	SupervisingPropertyAgent	DOT57100	DOT122000	Div of Appraisals	WHITE	M
285333	Delucco, Anthony J	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
326148	Fox, Thomas L	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
468072	Fraska, Kathleen M	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	F
207459	Gogulski, Diane V	Secretary2	DOT57100	DOT122000	Div of Appraisals	WHITE	F
599303	Goldberg, Kenneth N	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
598752	Kerr, John P	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
440631	Marchi, Brian C	SupervisingPropertyAgent	DOT57100	DOT122000	Div of Appraisals	WHITE	M
360292	Maynard, Annmarie	TranspRtsOfWayAsstDir	DOT57100	DOT122000	Div of Appraisals	WHITE	F
554520	Purpura, Kristi-Lyn	PropertyAgent1	DOT57100	DOT122000	Div of Appraisals	HISPA	F
092857	Sass Jr., Edward P	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
467342	Vitale, John A	PropertyAgent2	DOT57100	DOT122000	Div of Appraisals	WHITE	M
054442	D'Alesandris, Diane M	Secretary2	DOT57100	DOT123000	Div of Administration	WHITE	F
598748	Degen, Steven L	PropertyAgent2	DOT57100	DOT123000	Div of Administration	WHITE	M
598835	Deprey, Bryan J	UnitSupervisor	DOT57100	DOT123000	Div of Administration	WHITE	M
468136	Durling, John O	SupervisingPropertyAgent	DOT57100	DOT123000	Div of Administration	WHITE	M
416353	Hummel, Douglas M	PropertyAgent2	DOT57100	DOT123000	Div of Administration	WHITE	M
410503	Ike, Robert W	SupervisingPropertyAgent	DOT57100	DOT123000	Div of Administration	BLACK	M
036344	Ireland, Derrick P	PropertyAgent2	DOT57100	DOT123000	Div of Administration	WHITE	M
598757	Margary, Agustin E	PropertyAgent2	DOT57100	DOT123000	Div of Administration	HISPA	M
440792	Marzi, Michael L	PropertyAgent2	DOT57100	DOT123000	Div of Administration	WHITE	M
001544	Miller, Michelle A	CtCarTme(Engrng&Related)	DOT57100	DOT123000	Div of Administration	BLACK	F
360767	Ohala, Thomas J	TranspRtsOfWayAsstDir	DOT57100	DOT123000	Div of Administration	WHITE	M
972966	West, Janet L	Secretary1	DOT57100	DOT123000	Div of Administration	WHITE	F
871607	Wong, Shandi	CtCarTme(Engrng&Related)	DOT57100	DOT123000	Div of Administration	ASIAN	F
283488	Bell, Anita S	ProcessingTechnician	DOT57100	DOT124000	Div of Titles	BLACK	F
431018	Fasolo, John J	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	M
049673	Gaj, Marie B	PropertyAgent1	DOT57100	DOT124000	Div of Titles	WHITE	F
419441	Gilbert, Connie M	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	F
410792	Gray, Stephen J	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	M
599311	Lombardo, Michael G	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	M
352896	Polzun, Arlene M	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	F
368071	Quigley IV, James M	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	M
467855	Redding, David W	SupervisingPropertyAgent	DOT57100	DOT124000	Div of Titles	WHITE	M
468106	Vinette Jr, Michael J	PropertyAgent2	DOT57100	DOT124000	Div of Titles	WHITE	M
243224	Waish III, Daniel C	SupervisingPropertyAgent	DOT57100	DOT124000	Div of Titles	WHITE	M
070069	Aiello, Joseph P.	PropertyAgent1	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
598813	Bennett, Lorna E	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	BLACK	F
360629	Boucher, Raymond C	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
625267	Burke, John M	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
440659	Cowdrey Sr, Bruce C	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
204296	Dorn, William A	SupervisingPropertyAgent	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
484120	Fadoir, Melanie A	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	F
525762	Ferraro, Aaron M.	CtCarTme(Engrng&Related)	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
598781	Fortenbach, Stephen	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
360764	London, Michele B	SupervisingPropertyAgent	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	F
360705	Mannix, Michael J	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
019868	Marlitez, Marjorie	Secretary1	DOT57100	DOT125000	Div of Acquisition Reloc	HISPA	F
501844	Mason, James I	SupervisingPropertyAgent	DOT57100	DOT125000	Div of Acquisition Reloc	BLACK	M
274105	McLaughlin, Thomas J	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M

EXHIBIT H - Rights of Way (ROW) Staff

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
034357	Meizen, Thomas H	PropertyAgent1	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
326975	Mickiewicz, Mark J	PropertyAgent2	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
295578	Randazzo, John P	TranspRtsOfWayAsstDir	DOT57100	DOT125000	Div of Acquisition Reloc	WHITE	M
714185	Kelley, Margaret M	PropertyAgent2	DOT57100	DOT126000	Div of Pr Mgt Excess Pr	WHITE	F
494518	Labella, Christie A	PropertyAgent2	DOT57100	DOT126000	Div of Pr Mgt Excess Pr	WHITE	F
494378	Martinez, Amy N	SupervisingPropertyAgent	DOT57100	DOT126000	Div of Pr Mgt Excess Pr	WHITE	F
138294	McDonald, Dennis J	CtCarTrne(Engrng&Related)	DOT57100	DOT126000	Div of Pr Mgt Excess Pr	WHITE	M
880009	Smith, Christina L.	PropertyAgent2	DOT57100	DOT126000	Div of Pr Mgt Excess Pr	WHITE	F

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Descr	Dept ID	Location	Location Descr	Ethnic	Sex
494895	Graci, Gerard J	TranspEngr3(CE)	DOT57100	DOT113000	Quality Assurance	WHITE	M
494724	Martin, Tarishia M	TransportationEngineer2(CE)	DOT57100	DOT113000	Quality Assurance	BLACK	F
283937	Ozkan, Nihat	TranspEngr3(E)	DOT57100	DOT113000	Quality Assurance	WHITE	M
360662	Ruzycki, Sharon A	AssocFsci/AdminOfcr	DOT57100	DOT113000	Quality Assurance	WHITE	F
467815	Whitaker, Bonney S	TranspEngr3(CE)	DOT57100	DOT113000	Quality Assurance	WHITE	F
494786	Angeloiti, Christopher G	TranspSupvsngEngr(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
598375	Aubrey, Christine E	TranspPrinEngr(CE)	DOT57100	DOT131000	Construction Administrator	AMIND	F
494889	Azimi, Mohammad R	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	ASIAN	M
388210	Baler, Mary K	TranspSupvsngEngr(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
416125	Baron Jr, Robert J	TranspPrinEngr(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
525575	Benolt, Thomas J	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
441041	Benson, Robert D	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
467417	Bettencourt, Francis T	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	HISPA	M
598387	Bleha, Adrien	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
142772	Bresnahan, Ryan M	TransEngrTrainee	DOT57100	DOT131000	Construction Administrator	WHITE	M
432443	Breton, Kimberly A	AdministrativeAssistant	DOT57100	DOT131000	Construction Administrator	WHITE	F
468158	Brown, Lavem J	Secretary2	DOT57100	DOT131000	Construction Administrator	BLACK	F
360931	Cannon, Lewis S	TranspConstrAdmin	DOT57100	DOT131000	Construction Administrator	WHITE	M
143596	Caro, Jennifer L	TransEngrTrainee	DOT57100	DOT131000	Construction Administrator	WHITE	F
468278	Carta, Linda J	TransEngrTech	DOT57100	DOT131000	Construction Administrator	WHITE	F
441251	Coleman, Michael J	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
360974	Connery, James P	TranspDivChf	DOT57100	DOT131000	Construction Administrator	WHITE	M
016240	Deliberto, John Robert	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	NSPEC	M
494925	Dickinson, Dean S	TranspEngr3(E)	DOT57100	DOT131000	Construction Administrator	WHITE	M
398417	Donahue, Teresa A	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
494492	Elsdon, Scott A	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
097903	Fox, David J	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
349872	Gauvin, Linda A	AdministrativeAssistant	DOT57100	DOT131000	Construction Administrator	WHITE	F
055800	Harz Jr, Douglas K.	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
482600	Holzman, Wayne A	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	NSPEC	M
876401	Howard, Sara A	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
317915	Ignes, Michael J	TransEngrTech	DOT57100	DOT131000	Construction Administrator	WHITE	M
441501	Kwentoh, Anthony O	TranspSupvsngEngr(CE)	DOT57100	DOT131000	Construction Administrator	BLACK	M
467859	Levesque, Lisa A	Drafter2(Highway)	DOT57100	DOT131000	Construction Administrator	WHITE	F
467413	Maddalena, Phillip J	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
494849	Mazeau, Janet L	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
494811	Morin II, Rudolph J	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
398316	Orsini, Susan M	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
022133	Patten, Kiah A	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	BLACK	F
421756	Rodrigues, Nello J	TranspSupvsngEngr(CE)	DOT57100	DOT131000	Construction Administrator	HISPA	M
437195	Rorrio, John H	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	NSPEC	M
494914	Shaffer, Gregg S	TranspEngr3(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
378320	Siciliano, Domenica	TransportationEngineer2(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
317660	Thompson, Terri L	TranspSupvsngEngr(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	F
599139	Wagoner, Daniel L	TransEngrTech	DOT57100	DOT131000	Construction Administrator	WHITE	M
467340	Ward, Donald L	TranspPrinEngr(CE)	DOT57100	DOT131000	Construction Administrator	WHITE	M
441502	Allababidi, Wail M	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494736	Allen, Tina M	Secretary2	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	F
494805	Balzarini, Richard L	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
598976	Bass, Charles L	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467381	Bentley, Michael F	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416508	Bishtawi, Mohammed H	TranspSupvsngEngr(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467865	Brodowicz, Jacek T	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
318903	Buckland, Nancy V	Secretary2	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
416134	Burch, Michael I	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Desc	DeptID	Location	Location Descr	Ethnic	Sex
416194	Calafiore, Joseph	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
129837	Capanna, Michael R.	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416569	Carl, Paul F	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
441353	Cerasoli, Dean P	TranspAsstDistEngr	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467512	Chandran, Ravi	TranspDlvChf	DOT57100	DOT141000	District Engineer (Dist 1)	ASIAN	M
440810	Christensen, Russell H	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467927	Cichowski, Lynn N	TranspAsstDistEngr	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
360978	Coco, David C	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
364277	D'Amato, Kathleen	TransEngrTech	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
070651	D'Angelo, Denise A.	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
467368	Diorio, Paul J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
058758	Doyer, Robert N	TransEngrTech	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467370	Fasciani, Roberto	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494692	Ferreira, John A	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
440642	Flaminio, Robert F	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
041983	Gentile, David F	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
067561	Gonzalez, Douglas	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	HISPA	M
327337	Gove, Glenn D	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494900	Hadley, Jonathan L	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467973	Hashem, Basel Y	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
435294	Hernandez, Maria D	TransEngrTech	DOT57100	DOT141000	District Engineer (Dist 1)	HISPA	F
440922	Hokans, Robert E	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
409386	Holowaty, Alexander C	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416192	Hoyt, David L	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
436394	Johnson, Jennifer M	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
360935	Jones, Mark R	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
441498	Josen, Dilraj S	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	ASIAN	M
441171	Julla, Jaspal S	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	ASIAN	M
443660	Kaminski Jr, Francis J	TranspSupvsngEngr(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	NSPEC	M
393373	Kingsbury, David A	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494954	Knight Jr, Arthur G	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M
102224	Kozma, Gregory Michael	TransEngrTrainee	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467367	Labadia, Gregory J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467814	Leblanc, Jon A	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467721	Mangan, Shawn W	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
362500	Matecki, Sophie	Secretary2	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
467426	McCalla, Everton M	TransEngrTech	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M
360841	Medley, Kimberly A	AdministrativeAssistant	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	F
494899	Messore, Albert A	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494855	Mistry, Harishchandr	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	ASIAN	M
416385	Neri, Margaret A	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
467423	Nieman, Richard E	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
070106	O'Brien, Patrick M	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
041733	Orcutt, Brian F	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
136107	Pace, Sabrina M.	TransEngrTrainee	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
441499	Patel, Prakashchand	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	ASIAN	M
467402	Patenaude, Michael J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494854	Pistolesi, Vicki L	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
467935	Purcell, James D	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416584	Richard, Timothy J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
440851	Rinick, Gregory H	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467377	Rizzuto, Albert A	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
598583	Romano, Ray	TransEngrTech	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467546	Ruitto, James J	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
520763	Ruiz, Juan E	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	HISPA	M

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Descr	DeptID	Location	Location/Descr	Ethnic	Sex
441188	Salese, Michael J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
598783	Safokas, Darlene A	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
360938	Santacroce, Michael J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
494797	Schroeter, Robert J	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M
441148	Shea, Michael T	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416825	Sherman, David C	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467782	Smith, Gordon W	TranspMntr4	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467371	Smith, Stephen T	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
360807	Sokolowski, Steven M	TranspPrntEngr(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
440803	St Germain, Mark L	TranspSupvsngEngr(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
437071	Staron III, Michael M	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
441093	Steben, David C	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
440968	Sullivan, Joseph K	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416458	Szkoda, Edward	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
356823	Tata, Sebastian	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
129483	Tedeschi, Domenico a	TransEngrTrainee	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
416317	Unkel, Richard S	TranspSupvsngEngr(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
053589	Vanston, Frederick J.	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467978	Villard, Derrick	TranspConstInsp2	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M
129802	Vincenzo, James .J	TransportationEngineer1(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
071417	Warchol, Anna Z.	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	F
467908	Wazer III, Michael R	TranspEngr3(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	WHITE	M
467429	Williams, Dwight T	TransportationEngineer2(CE)	DOT57100	DOT141000	District Engineer (Dist 1)	BLACK	M
129518	Ahmad, Joseph	TransEngrTrainee	DOT57100	DOT151000	District Engineer (Dist 2)	ASIAN	M
285148	Andruskiewicz, Paul J	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
452859	Arpin, Frances R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
071733	Barthnicki Jr, Charles	TransEngrTech	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
468055	Beauchesne, Robert J	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467439	Beckwith, Jeffery L	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
441043	Bohara, David P	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467810	Brooks, Richard	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
056255	Bucko, William C	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
925340	Burgess, Jason T	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467820	Casagrande, Julie F	Secretary2	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
467788	Church, Brent W	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
871431	Collins, Matthew C.	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
041051	Constant, Benjamin E	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
060361	Cyr, Sean W	TransEngrTech	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494930	Diblagio, John M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494536	Dillis, Joel A	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494476	Dunn, John F	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
441313	Ego, Eileen M	TranspSupvsngEngr(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
483853	Elliott, Mark J	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467322	Exley, Jeffrey M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494885	Finnemore, Stephen M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467650	Fullerton, Mark A	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
407315	Gadzik, Thomas J	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494886	Gonzales, Stephen P	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	HISPA	M
468256	Gosselin, David	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
283932	Gustafson, Brian E	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
441122	Harrison, James T	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)		M
441210	Henn Jr, Richard D	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	HISPA	M
511658	Hoxie, Katherine A	Secretary2	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
482584	Hunter, Jeffery H	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
441332	Kelley, Kelly-Ann D	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
481631	LaBonte, Cathy A	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	PACIF	F
441044	Lachance, Charles E	TranspPrinEngr(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
440616	Machinski, Paul P	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
440587	Mara, Thomas L	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
440592	Martin, Peter F	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
468440	McGulre III, John J	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
130359	Mendoza, Marlyn R	TransEngnTrainee	DOT57100	DOT151000	District Engineer (Dist 2)	HISPA	F
467323	Michon, James R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
283957	Mikulak, Paul	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
614900	Millovitsch, Andrew M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
468292	Misale, Denise M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
360986	Nelson, Carl E	TranspDistEngr	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
422233	Obey, Robert E	TranspAsstDistEngr	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
598374	Orlando, Felice F	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494814	Parsons, James D	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
416529	Paul, James V	TranspSupvsngEngr(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
096717	Philbrick, Timothy R	TransEngnTech	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
068975	Rei, David L	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467420	Rogers, Michael R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
494891	Russell, Mark S	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
441185	Schmidt, Kurt M	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
555816	Schoppe, Keith B	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
071888	Schwab, Torrie R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
598812	Sehgal, Ajay	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	ASIAN	M
440607	Sragusa, Albert A	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
317320	Solday, Kerry J	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
598822	Taylor, Joseph D	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
598373	Tumicki, Timothy F	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
360703	Vincent Jr, John J	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)		M
598372	Von plachecki, Arthur F	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
440693	Warzecha, Lynn L	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
440591	Warzecha, Patrick A	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
422234	Washington, Michael A	TranspSupvsngEngr(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	BLACK	M
468002	Waters, Sharon M	AdministrativeAssistant	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	F
535459	Whewell, Joseph R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
054714	Wong, Harold R	TransportationEngineer2(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	ASIAN	M
449437	Zawacki, Richard A	TranspEngr3(CE)	DOT57100	DOT151000	District Engineer (Dist 2)	WHITE	M
467467	Adkins, Scott R	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
468266	Ahmad, Raza	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
468079	Alsaqri, Ghazi A	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494846	Alsaqri, Niyazi A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
612607	Ancheta, John C	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
598385	Antonucci, John J	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467446	Barfocetti, Barbara E	Secretary1	DOT57100	DOT161000	District Engineer (Dist 3)		F
022496	Bates, Kim M	Clerk/Typist	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
360742	Bates, Steven F	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467496	Bavin, William H	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
532257	Beaulieu, Shawn W	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494956	Bernotas, Kenneth J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
050354	Bertrand, Chrystal D	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	F
071435	Bishop, Matthew A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494856	Boehm, James T	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
065070	Boucher, Timothy	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467679	Briggs, Mathew J	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
065693	Brinsmade, Brian W.	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
504098	Carlson,Russell R	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494689	Ceballos,Robert M	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	HISPA	M
440982	Chandra,Prashant K	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
599202	Coppola,Elona P	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	F
494858	Daddona,Peter	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494810	Damico Jr,Joseph J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
055487	DaSilva,Patrick A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
494261	Deprodolini,David C	TransEngrTech	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
360934	Digiovanna,Stephen	TranspSupvsngEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
210456	Duarte Jr,Jose C	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
026943	Dwyer,Anita E.	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	F
440558	Eaton,Denise	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	F
494794	Egbunike,Christopher U	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
494881	Epps,Stacey F	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
598432	Eveno,Louis N	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
468093	Ezigbo,Chukwuekezie	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
468196	Falzano,Heather J	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
098641	Flannery,Seamus M	TransportationEngineer1(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
069300	Fontana,Raymond	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
068913	Foston,Carolyn	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
360584	Funchess,Ramona M	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	F
416846	Gariepy,Lorraine A	Secretary2	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
142377	Hamm,Francis E.	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
296829	Hanchuruck,Vincent G	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494808	Hobert,Steven	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
129940	Herzig,Jonathan	TransEngrTrainee	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
055616	Hussein,Shalai	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
875380	Hylan,Ryan H	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
445247	Kafi,Mohammad H	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
440995	Kallszewski,John M	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494955	Kaminsky,Vladislav	TranspSupvsngEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467705	Knapp,Jeffrey M	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
318135	Knobloch,Mark D	TranspConstrInsp3	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494346	Larosa,Domenic	TranspAsstDistEngr	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
440997	Laudano,John S	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494495	Lieberman,Isaac	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
050617	MacNeill,Robert J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
441228	Malahazar,Mohammad R	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)		M
440681	Martin,Clive O	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
467994	Masoud,Mohammad A	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
416435	Mercure,Brian	TranspAsstDistEngr	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
468009	Mimiko,Ganiyu S	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
467766	Moayed-Arnini,Mahmood	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
049937	Moore,Jarret W	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
494857	Nazario Jr,Peter J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494373	Ndao,Momar P	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
441340	Nowak,Robert R	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
071905	Ouma,Samwel O	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	M
494882	Pace,Matteo V	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
360943	Pelletier Jr,James	TranspSupvsngEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
360149	Petrus,Clara A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
599199	Reynoso,Maximo	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	HISPA	M
127482	Rodriguez,Edwin F	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	HISPA	M
400063	Rofe,Mark D	TranspDistEngr	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467924	Romanoski Jr,John A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M

EXHIBIT I - Construction Staff

ID	Name	Job C'd Descr	DeptID	Location	Location Descr	Ethnic	Sex
056300	Rosenblatt, Michael A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
440996	Royer, Mark D	TransEngnTech	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
024678	Sanders, Shavonne T.	Secretary2	DOT57100	DOT161000	District Engineer (Dist 3)	NSPEC	F
416135	Savage, Robert C	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
071441	Schlavi, Charles Todd	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
059182	Schilder, Donald	TransEngnTech	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
360822	Sedaille, Ronald S	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467968	Sehgal, Anil	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
138591	Shevlin Jr, Michael S.	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
064591	Sidarenka, Aliaksei	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
058466	Slewertsen, Hans-Erik	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494830	Slois, Gary K	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
441017	Snyder, Robert P	TranspConstInsp2	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
416349	Solail, Sadroldin D	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
467735	Sorcínell Jr, Joseph S	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494894	Spina Jr, Robert J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467466	Spina, Harold J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
599321	Spina, Larae M	Secretary2	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
467909	Sprling, Mary T	TransEngnTech	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
459496	Stafko, Dantel P	TranspSupvsngEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494806	Strang, Mark A	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
053973	Szwajger, Arkadiusz R	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
093366	Therrien, James J.	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
416015	Thomas, Roger K	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
467969	Thompson, Carla M	AdministrativeAssistant	DOT57100	DOT161000	District Engineer (Dist 3)	BLACK	F
536189	Tibac, Moe Q	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	ASIAN	M
494633	Topar, Edward P	TranspPrinEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
416514	Valko, Edward J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
598391	Vegso, Emese M	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	F
494787	Wlecki, Robert J	TranspSupvsngEngr(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494380	Winter, Thomas J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
599340	Woodward, Travis J	TransportationEngineer2(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494496	Zombar, Michael J	TranspEngr3(CE)	DOT57100	DOT161000	District Engineer (Dist 3)	WHITE	M
494494	Albert, Craig M	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
071715	Alcicall, Dawn M.	TransEngnTrainee	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
129963	Bartkus, Joshua M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
468271	Beers, Julie A	Secretary2	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
494728	Bosse, Miguel R	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
495097	Brown, John J	TransEngnTech	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
129468	Bryant, Nicholas B	TransEngnTrainee	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
041057	Burke, Edward T	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
599292	Buse, Malcolm C	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
343190	Caicedo, William A	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
598386	Christiana, Lynne H	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
061890	Cichon, Jason J	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
440733	Cidela, Paul A	TranspMntr1	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494910	Cleary, Matthew S	TranspSupvsngEngr(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416550	Cord, William J	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
441030	Coyle, Steven J	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
441089	D'aleo, Vincent P	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494517	Dandeneau, Mark R	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
056282	DeBlase, John R	TransEngnTech	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416572	Drugan, Ellen M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
416138	Drugan, Jeffrey T	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
441435	Drugan, Tammy L	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Descr	DeptID	Location	Location Descr	Ethnic	Sex
494351	Dunham, John S	TranspAsstDistEngr	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
468036	Fargnoll, Kenneth E	TranspDistEngr	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416737	Farzan, Ali	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	ASIAN	M
494898	Ferraro Jr, David	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
440954	Flynn, Terrence P	TranspConstrInsp3	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416246	Giglio, Randi M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
062844	Happy, Joseph M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
110343	Holder, Martha J	Secretary2	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
467639	Kasuga, Michael S	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494876	Khadeer, Mohammed A	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	ASIAN	M
416574	Kincaid, James A	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
383376	Lacki, Piotr	TransEngrTech	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
415950	Lamb, Donald W	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
098626	LaRose, Kevin T	TransEngrTrainee	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494884	Laucks, Matthew F	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494490	Lavigne Jr, Ronald H	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
467531	Leavenworth, Bruce E	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494923	Lee, John R	TranspSupvsngEngr(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
060507	Malaykhan, Andrew J	TransEngrTech	DOT57100	DOT171000	District Engineer (Dist 4)	BLACK	M
003148	Mancini, Joseph Saverio	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	NSPEC	M
084080	McCue, Michael	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
467396	McGuire, Patrick M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
598390	Mendick II, Michael J	TranspSupvsngEngr(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
441202	Mooneyham, Robert L	TransEngrTech	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416573	Moynihan, Thomas K	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
440661	Murad, Charles A	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
139648	Murphy, John E	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416583	Neelands, David D	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
441203	Neuhauser, Roger A	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
071753	Ognan, Kevin M.	TransEngrTech	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
426345	Paton, Daniel M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
136070	Quintana Jr., David	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	HISPA	M
067511	Rablej, Dorota	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
494913	Richardson, Michael J	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
126403	Rizner, Nicholas Steven	TransEngrTrainee	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
360989	Rudallis, Richard P	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
598545	Saksa, Joanne L	Secretary1	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	F
598831	Salahi, Zmarai	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
467397	Smedick, Patrick M	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
467337	Sosnowski, Mark T	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
395980	Sturm, Christian K	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
416570	Symonds III, Richard N	TranspSupvsngEngr(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
467488	Vinlsko, Mark D	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
068604	Ward, Raymond Robert	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
283945	Weldon Jr, Thomas E	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
317934	Wiegert, Douglas F	TranspPrinEngr(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
068602	Wodjenski, Ryan David	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
139655	Wu, Jonathan	TransEngrTrainee	DOT57100	DOT171000	District Engineer (Dist 4)	ASIAN	M
416761	Zaharevich, James R	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
070165	Zappone, Stephen	TransportationEngineer2(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
494590	Zukowski, Christopher J	TranspEngr3(CE)	DOT57100	DOT171000	District Engineer (Dist 4)	WHITE	M
598866	Bednar, Andrew R	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
494471	Boardman, Jonathan T	TranspSupvsngEngr(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
494305	Brothwell, Mark P	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
441414	Cadwell Jr, William P	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M

EXHIBIT I - Construction Staff

ID	Name	Job Cd/Desc	DeptID	Location	Location Desc	Ethnic	Sex
098815	Carlson, Ellana V	TranspSupvsngEngr(CE)	DOT57100	DOT184000	Materials Testing	HISPA	F
441392	Castro, Vittorio P	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
415941	Crouthamel, Philip A	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
467398	Cruess, Michael J	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
440795	Davis, Steven J	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
129896	Dirga, Christopher M	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
440901	Donato, Raffaele	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
416512	Doughty, James E	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
598814	Emmerich, Michael W	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
094097	Ford, Jeffrey J	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
467871	Furlani, Daniel A	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
468148	Gardon, Charles V	TranspEngr3(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
069918	Garretson, Matthew B	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
598400	Gbadebo, Olasupo O	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	BLACK	M
436345	Giannini, John	TranspSupvsngEngr(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
360951	Guzzo, Daniel E	TranspEngr3(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
494978	Haase, Landon C	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
598403	Howley, David B	TranspEngr3(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
002721	Judson II, Michael D	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
494475	Labossiere, Justin D	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing		M
451986	Lauzon, Robert G	TranspPrinEngr(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
441014	Lynch, Thomas E	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
322026	Macri, Dawn M	AdministrativeAssistant	DOT57100	DOT184000	Materials Testing	WHITE	F
467689	Mann, Stephen D	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
495059	Marino, Moses	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
317368	Moran, John T	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
135175	Muszynski, John J	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
440753	Noto Jr, Donald C	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
621592	Ouellette, Dorlta	Secretary1	DOT57100	DOT184000	Materials Testing	WHITE	F
041097	Parillo, David M	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
598803	Parkosewich, Stephen V	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
467375	Pelletier, Laura	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	F
360746	Polzella, Mark A	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
441042	Rocha, Lisa M	Secretary2	DOT57100	DOT184000	Materials Testing	WHITE	F
468073	Rodrigues, Roberto C	TranspMatsTech3	DOT57100	DOT184000	Materials Testing		M
422345	Selvidio, Dean M	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
467906	Smith, Gerald R	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
599335	Smith, Shawn D	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	WHITE	M
094146	St. Laurent, Shane P	TranspMatsTech3	DOT57100	DOT184000	Materials Testing	WHITE	M
136066	Therlault, Eric R	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
494711	Tice, Mark D	TransportationEngineer2(CE)	DOT57100	DOT184000	Materials Testing	AMIND	M
416254	Winar, James J	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M
138210	Zmarzlak Jr, James E	TranspMatsTech2	DOT57100	DOT184000	Materials Testing	WHITE	M

Chapter 8 – Construction Orders

*1-800 General*

Construction Orders are issued to authorize changes to the Contract. They may make increases and/or decreases in quantities of Contract items, add extra work essential for the satisfactory completion of the project, increase or decrease the Contract time, add or modify Contract Plan sheets, or alter the sequence or character of the work. A Construction Order must be processed to gain approval of the change.

For the purpose of this manual the terms Construction Order, Change Order and Contract Order are interchangeable.

The terms of an executed Construction Order are enforced as though they were part of the original Contract. It is essential that Construction Orders explicitly describe the change proposed, including:

- the character and scope of the change,
- where and within which limits the change applies,
- the method of compensation, and
- any changes in the allowed Contract time.

The Construction Order needs to explain why it has been prepared. It should be short and concise yet detailed enough to provide persons with no knowledge of the project with an understanding of why the change is needed.

When a Construction Order is done properly it will identify:

- What is the change
- Who initiated the change
- Where is the specific location of the change
- Why was the change needed
- When the change is initiated

*1-801 Review of Proposed Changes*

Changes and extra work should be held to the minimum and limited almost exclusively to revisions and additions necessitated by conditions that could not reasonably be anticipated before the project was advertised for bid. The Department must carefully review changes that involve a substitute material or product or a change in the method of construction.

Review of a proposed change will involve the following considerations:

- Is the change in the public interest?
- Does it provide an equal or better material or product than originally planned?
- Does it provide a better method of construction than originally planned?
- Does the Contractor benefit from the change, and if so, is there a corresponding benefit to the project?

Design changes, substitution of materials, revised methods of construction, and specification modifications must satisfy the criteria to provide adequate justification for consideration and approval.

### *1-802 Need for Construction Orders*

Inspectors should use the following criteria in determining the need for a Construction Order.

Construction Orders are required for design-initiated changes in the plans or typical sections, when any changes result in monetary increases or decreases, and/or when an adjustment in Contract time is required. The changes can be made part of the Contract only through Construction Orders. Design changes and cost-plus work should be submitted promptly with estimated quantities, rather than waiting until accurate quantities are available.

Revised quantity determinations are to be made as the work progresses, and final-quantity revisions are to be included on intermediate Construction Orders as items are completed. Updating quantities on intermediate Construction Orders reduces the time required to prepare the final Construction Order, enables one to keep better track of the projected Project cost, and avoids unnecessary revisions to the performance bond which may increase costs (Refer to Chapter 1-19).

Additional Contract time is to be processed on intermediate Construction Orders whenever a Contractor's request for an extension of Contract time is approved. A full explanation justifying the additional time must be attached to the Construction Order. Refer to 1-702, "Time Extension Procedures".

### *1-803 Design Initiated Change Orders*

The following guidelines have been established for "Design" initiated Change Orders:

- For change orders less than \$25,000, a Construction Order Initiator from design will not be required. Emails, facsimiles, phone call reports, or meeting minutes will be sufficient supporting documentation for the project inspection staff to prepare the Change Order.
- For change orders greater than \$25,000, a Construction Order Initiator memorandum will be required from the initiating unit which will include details for the change and an analysis of how the change will affect the project. (Refer to Section 1-803A)
- For complex changes involving unforeseen conditions, changes in scope, or a revision to the contract specifications, regardless of the cost, a Construction Order Initiator memorandum will be required. An analysis similar to that described in Section 1-803A will also be required.

#### *1-803A Analysis of Design Initiated Change Orders*

The following analysis procedures are recommended for major change orders:

- The effect the proposed revision has on contract lump sum items such as mobilization, maintenance and protection of traffic, and construction staking should be assessed and included in the estimated cost when applicable.
- If contract items do not exist or if the character of the work differs from the existing contract, unit cost pricing for the extra work may be based on the weighted unit prices for the current time period or an independent evaluation of the work.
- Impacts (direct and indirect) caused by the change order to other construction activities on the project should be considered and reviewed.
- The effect of the change order upon the project schedule should be analyzed and reviewed.

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- \* Applicable specifications should be noted and/or provided for the work.

If it is determined that the proposed change will result in substantial impacts to the scope, schedule or budget for the project, District management and Engineering management must be advised and consulted regarding the proposed change. In all cases financial impacts of the proposed change shall be coordinated with the Financial Administration office and FHWA must be consulted on full oversight projects.

#### 1-804 Additional Approval Requirements

Construction Orders which incorporate major changes into the contract may require review and approval by the Office of Construction or the FHWA. Project staff must obtain prior approvals for construction orders in the following instances.

##### 1-804A Change Order Approval Requirements by Office of Construction

Change orders must be discussed with the Office of Construction when (1) they are valued in excess of 25% of the original contract value or \$500,000, or (2) may cause a delay to the project of more than 6 months. Background materials shall be forwarded to the appropriate Liaison Engineer as soon as the information becomes available. The District shall not proceed with the work until authorized by the Construction Administrator or Construction Division Chief. The combined value of all related change orders shall be used to determine if approval by the Office of Construction is required.

For price adjustments that involve Article 1.04.03 or 1.04.04 and the total adjustment is greater than \$250,000, the District Engineer must obtain concurrence from the Office of Construction. This approval will be documented.

##### 1-804B Change Order Approval Requirements by Federal Highway Administration (FHWA)

On Full-Federal oversight projects, FHWA must approve each and every change order. For contract changes which involve: 1) changes to the project scope 2) time extensions totaling 30 days or more and/or impacts a contract milestone date 3) cost increases greater than or equal to \$100,000; a prior approval in order to proceed with the given Change Order is required. This FHWA approval shall be obtained using the Form "Record of Prior Approval for Major Contract Change Orders" (Figure 1-8.1). This prior approval requirement shall include changes that need to be further increased on subsequent change orders that result in an aggregate increase greater or equal to \$100,000. Change Orders less than \$100,000 can be approved retroactively by FHWA and do not need a prior approval in order to proceed.

For State Administered oversight projects involving Federal-Aid Funds, a prior approval in order to proceed is also required from FHWA when the project change: 1) has a cost increase in excess of 25% of the original contract value or \$250,000 whichever is less 2) results in delays or time extensions to the project of more than 3 months 3) results in any scope changes. This FHWA approval shall be obtained using the Form "Record of Prior Approval for Major Contract Change Orders" (Figure 1-8.1).

Upon receipt of any Change Order initiator from the Office of Engineering, the Project Engineer must confirm that the Office of Engineering has advised FHWA as stated in 1-803A, if there has been no notification by the Office of Engineering to FHWA; the Project Engineer shall coordinate with Design Project Engineer to be certain FHWA has been informed.

Whenever a project change requires a "Record of Prior Approval for Major Change Order Form" the subsequent Change Order also shall be submitted to FHWA for final approval, regardless of oversight. The Change Order package shall include the approved "Record of Prior Approval for Major Change Order" form as part of its documentation.

Note - If a change order is processed without FHWA approval as required above then the State may be responsible for any cost that has not received prior approval from FHWA.

FHWA should be informed as soon as possible of all change conditions that result in those situations as stated above.

The decision on whether or not a project is Full-Federal Oversight occurs prior to advertisement. This determination should have been entered into the appropriate cell in Site Manager. It is the Project Engineers responsibility to know the oversight determination for a given project.

### *1-805 Construction Order Preparation*

The process to initiate a Construction Order should be started as soon as the potential need for a change is identified. Work that will be authorized by a Construction Order, other than minor increases and decreases in existing contract items where no change in the Contract plans has occurred, should not be initiated until the Supervising Engineer reviews the requested change and the work is approved. In addition, when a Construction Order exceeds \$250,000 the Office of Financial Management, Office of Construction Liaison Engineer, and the District Engineer should be notified in advance of the forthcoming Construction Order; See also Section 1-804.

The Chief Inspector is the primary project staff member responsible for the preparation and content of Construction Orders. Construction Orders are prepared and processed using the procedures and format of SiteManager. For detailed explanation on how to create a Construction Order refer to the SiteManager Help Files. All Method of Measurement/Basis of Payment changes to existing contract items must have prior approval from the Office of Construction. A copy of the memo approving the Method of Measurement/Basis of Payment change is to be included in the Volume III with the applicable item number.

Construction Orders that involve price adjustments, differing site conditions, or claim settlements cannot be initiated until the Supervising Engineer obtains required approvals. For all price adjustments that involve articles 1.04.02, 1.04.03, and 1.04.04 the Supervising Engineer must obtain concurrence from the Principal Engineer or Assistant District Engineer. For price adjustments that involve Article 1.04.03 or 1.04.04 and are less than \$250,000 the Assistant District Engineer must obtain concurrence from the District Engineer; If the total adjustment is greater than \$250,000 the District Engineer must obtain concurrence from the Office of Construction. Generally claim settlements will not be processed by Construction Order unless directed to do so by the Office of Construction. This approval will be documented by memorandum unless the approval authority signs the approval letter sent to the Contractor.

### *1-806 Construction Order Addendums*

Construction Order addendums provide an explanation as to why the change is needed, and documentation that the proposed contract changes have been approved. The addendum should be complete, yet simple and clear so that auditors and other reviewers will understand them. In preparing Change Order Addenda, remember that the auditor or reviewer of a Construction Order usually is unfamiliar with the project. The explanations provided must clearly explain the need and authority for the change and provide an analysis that people unfamiliar with the project can understand. Use the following guidelines:

- Dimensional Changes or a Change in the Plans or Typical Sections (with the exception of minor revisions in the location of culverts, manholes and catch basins): Incorporate revised plan sheets when available. When the change is being made to benefit the contractor make sure to indicate as such and also identify the corresponding benefit to the Department if one exists.

- Overruns/Underruns (no design change): Provide a detailed Change Order Explanation whenever both of the following conditions are met: 1) the cumulative quantity change of an item varies by 10 percent or more from the original estimate, and 2) the value of the quantity change is more than \$10,000. If the item was increased or decreased on more than one Construction Order, an item summary must be provided. The reason why the quantity differs from the design estimate should be explained in detail whenever possible. Avoid simply stating that Design overestimated or underestimated the item. If the designer provided insufficient detail to determine why there is an overrun or underrun, indicate so. Do not include quantity changes caused by design revisions when determining overrun/underrun percentages.
- For federal-aid projects, when non-participating work is involved apply the item change to the appropriate non-participating section (line item). Unused construction materials transferred to State Stores are always non-participating.
- When an item relates to more than one project section the quantity applicable to each section (line item) must be specified.
- Cost-plus work must be authorized by a Construction Order before any payments can be made for the work. The initial estimate for anticipated costs for a cost-plus item must be established using reasonable assumptions. Attach a copy of the letter ordering or confirming the work done on a cost plus basis to the Construction Order. If not included in the body of the letter, also attach the calculations or assumptions made to establish the reasonable estimate. When the Contractor has submitted a price that is unacceptable, use the assumptions made to analyze the Contractor's proposal to establish the initial estimate. If a CON-9 is used to calculate the initial estimated value, this form must be clearly labeled "For Estimate Purposes to Get on Change Order" and the Scope Estimate box must be checked. A sample Estimate using a CON-9 is shown in Figure 1-8.2.

Figure 1-8.1 Record of Prior Approval for Major Contract Change Order

U.S. DEPARTMENT OF TRANSPORTATION, FEDERAL HIGHWAY ADMINISTRATION CONNECTICUT DIVISION OFFICE		
RECORD OF PRIOR APPROVAL FOR MAJOR CONTRACT CHANGE ORDER		
STATE PROJECT NO.	FEDERAL AID PROJECT NO.	CONTRACT DISTRICT
REQUERED BY	DATE	
PROPOSED CHANGE		
REASON FOR CHANGE		
TIME EXTENSION <input type="checkbox"/> NONE _____ DAYS	ACTIVITY ON CRITICAL PATH AFFECTED BY CCC (IF TIME EXTENSION INVOLVED)	
ESTIMATE OF COSTS \$ _____ <input type="checkbox"/> INCREASE <input type="checkbox"/> DECREASE	METHOD OF PAYMENT <input type="checkbox"/> CONTRACT ITEMS <input type="checkbox"/> ADJUSTMENT OF COMMISSION <input type="checkbox"/> AGREED PRICE <input type="checkbox"/> FORCE ACCOUNT	
THE WORK COVERED BY THIS PROPOSED REVISION AS DESCRIBED ABOVE IS APPROVED SUBJECT TO THE CONDITIONS LISTED BELOW.		
<input type="checkbox"/> EVALUATION OF COST DATA	<input type="checkbox"/> PROPOSED REVISION AUTHORIZED WITHOUT FEDERAL PARTICIPATION	
<input type="checkbox"/> LIMIT AND EXTENT OF FEDERAL PARTICIPATION	<input type="checkbox"/> OTHER (Specify)	
<input type="checkbox"/> DETERMINATION OF ATTRACTORY ADJUSTMENT IN TIME	<input type="checkbox"/> NONE	
<input type="checkbox"/> ADEQUATE SUPPORTAL ON WRITTEN SUPPORTING DATA		
PRIOR APPROVAL TO PROCEED GRANTED BY	DATE OF AUTHORIZATION	



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Items, additional explanations must be provided in detail the change. For further explanation on how to create explanations for Change Orders in SiteManager refer to the *SiteManager Help Files*.

- Separate records must be kept for "emergency break out projects" to identify and clearly track the project.

*1-807 Standard Explanations - Classification of Line Item Changes*

The standard paragraph explanations focus on WHY the change occurred, not who initiated the change or how big the change is. Also, they are organized so that the inspector can quickly determine which explanation applies and so that uniform application of the explanations may be created throughout the Districts.

To apply an explanation to a change, the inspector must first determine the reason for the change. To do this, the inspector begins with the first explanation (1-U) and proceeds down the list until the appropriate explanation is determined. If more than one explanation applies to the particular change, the change shall be assigned the first explanation from the list. Only one paragraph classification is to be used to classify a change.

- 1-U Unforeseen Condition – Additional work necessitated by encountering reasonably unforeseeable conditions which differ materially from those indicated in the contract or unusual conditions differing from those normally encountered. Items applying to this explanation are defined by Article 1.04.04-Differing Site Conditions of the Standard Specifications. Examples: underground storage tank, contaminated materials, concealed decay, unanticipated rock or groundwater.
- 2-S Change in Scope – Changes from the original intent or purpose of the project, extension of projects limits (i.e., additional signalized intersection, limits more than 100' beyond original, etc.), elimination of contract work, and work not normally associated with the type of work originally bid.
- 3-C Contract Revision – Changes in the original design initiated by design or construction which falls within the original scope of the project and does not alter the basic character of the project. This also includes revised specifications. Examples: revisions to pavement markings, revisions to base materials, revisions to stage construction, revisions to signalized intersection.
- 4-Q Quantity Adjustments – Minor increases or decreases in original quantities not attributable to any of the above explanations. (Increase or decrease less than 10% of the original estimate or the value of the quantity change is less than \$10,000.)
- 5-O Other Adjustments – Revisions to the contract or plans to correct foreseeable changes which reasonably could have been expected. (Ex. Work shown on the plans for which no pay item was provided - no rock in trench item where rock outcrops are plainly visible; revisions to comply with environmental permit requirements or R-O-W agreements, incorrect original computations, and elevation bust resulting in extra work to correct.)  
  
This explanation also includes contract adjustments. (Ex. Liquidated Damages, incentives/disincentives, sanctions, material escalation clauses, etc.)
- 6-T Time Extension – Adjustment in the allowable contract time for any portion of the work.

*1-808 Documentation*

Generally, the documentation should include the following:

- The District's letter to the Contractor advising of additional work and requesting a price submittal for new Contract items.

- The Contractor's letter outlining requested prices, with breakdowns showing the methods of computation.
- The District's letter to the Contractor approving prices or, if the prices cannot be substantiated, notifying the Contractor that work will be done on a cost-plus basis.
- A summary of the cost-plus documentation and a reference to the Volume III or DWR where the source documentation is located.
- Correspondence should be listed in chronological order following each paragraph and numbered "1A", "1B", etc. If the same correspondence is used for multiple paragraphs, reference the previous paragraph rather than attaching a second copy. Label each copy of correspondence in the lower right-hand corner with the project number, construction order number, the paragraph and the correspondence letter.

*Figure 1-8.2a Deleted*

### *1-809 General Processing Guidelines*

Construction Orders are processed according to the following guidelines:

- The Project Engineer and Chief Inspector must make regular checks of the project records to identify any need for a Construction Order.
- All Construction Orders that have been initiated should be processed and sent to the Contractor within a 60-day period, with appropriate backup information.
- Draft Construction Orders for emergency work or work of a critical nature must be submitted to the District within 5 working days after the start of the extra or additional work. If actual costs are not known, they should be estimated and processed as "estimated cost-plus".
- Funding for the Construction-Order work must be checked out as soon as the cost is estimated.
- Project modifications and Work Orders must be processed as soon as possible.
- Any Construction Orders not returned or returned unsigned by the Contractor must be noted as such and processed unsigned.
- Contractor objections for not signing a Construction Order will be investigated and the Contractor will be advised in writing of the action the Department has taken. The letter must be included with the Construction Order.

### *1-810 Review and Processing Procedure*

Each District will implement a review process that enables the majority of the Construction Orders to be sent to the Contractor for signature within 60 days of initiation. The only Construction Orders not sent to the Contractor within 60 days should be those where the Project is waiting for documentation from the Contractor. A routing slip is to be used to document the review process, including the approval authority (refer to 1-810C). See Figure 1-8.3.

Figure 1-8.3 Construction Order Routing Slip

Construction Order Routing Slip		
Project No. 1 _____	Received in Office 1 _____	
C.O. No. 1 _____	C.O. Value \$ _____	
% of Original Contract Value 1 _____%	Cumulative % of Original Contract Value _____%	
Given to Secretary for Correspondence 1 _____		Secretary provided Correspondence 1 _____
Approval Level Required 1 _____		
Review/Approvals		Date Reviewed
THE DIRECTOR 1 _____		_____
Project Engineer 1 _____		_____
Supervising Engineer 1 _____		_____
Assistant District Engineer 1 _____		_____
Returned by		Date Returned
Returned to Project Engineer 1 _____		_____
Returned to Project Engineer 1 _____		_____
Returned to Project Engineer 1 _____		_____
Fund Project		Fund Value
Free Balance After this Construction Order	_____	_____
Free Balance After this Construction Order	_____	_____
Free Balance After this Construction Order	_____	_____
Invoiced Funded O/R'd By 1 _____	Date 1 _____	
This C.O. is approved for processing and forwarding to the contractor.		
Approving Authority 1 _____		Date 1 _____

**1-810A Review by Project Engineer**

The Project Engineer has the primary review responsibility. They will:

- Review the Construction Order for scope, completeness, and accuracy. Check for appropriate specification references and accurate descriptions of any changed conditions.
- Review the explanations and attachments to ensure an adequate basis is established for the changes contemplated and that all relevant attachments are provided.

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- If the Construction Order will trigger the need for a new performance bond, confirm with the Chief Inspector that quantities have been revised or finalized to accurately reflect the work remaining.
- Make minor revisions.
- Return the Construction Order to the Chief Inspector if major revisions are required. Note the reason and date returned on the routing slip.
- Sign and date the routing slip and forward package to the Transportation Supervising Engineer.

*1-810B Review by Supervising Engineer*

The Supervising Engineer ensures that the Construction Order complies with current Department policies. They will:

- Review the Construction Order and attachments as necessary.
- Determine the appropriate level for approval of the draft Construction Order in accordance with the guidelines listed below.
- Meet with the Transportation Principal Engineer or the Assistant District Engineer, as appropriate, to obtain approval of the draft Construction Order.
- Return the Construction Order to the Project Engineer if revisions are required.
- Sign and date the routing slip and return to District staff for initial processing.

*1-810C Authorization to Process Construction Order*

District Management (D.E. or A.D.E.) shall obtain the concurrence (phone, fax, email etc.) of the Construction Division Chief or Construction Administrator when:

- Prior to authorizing any change order that is valued in excess of 25% of the original contract value.
- When the aggregate value of all related change orders exceeds \$500,000.
- Price adjustments greater than \$250,000 in accordance with Article 1.04.03 and 1.04.04.
- May cause a delay to the project of more than 6 months.

The Transportation Principal Engineer or the Assistant District Engineer must authorize the processing of Construction Orders when:

- the Construction Order value exceeds \$150,000;
- the cumulative value of all C. O.'s reaches 5%, 10%, 15% etc. of the original contract value;
- the Construction Order adjusts the price of an item under Article 1.04.02, 1.04.03, or 1.04.04;

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- the Construction Order addresses a potential claim issue;
- the Construction Order grants additional time; or
- the Construction Order contains an item change that involves a design error or material change.

The Supervising Engineer will authorize the processing of Construction Orders for:

- routine quantity revisions,
- extra and additional work that has received prior approval by the Department, and
- any other item not reserved for other authorities.

*1-810D Review and Initial Processing by District*

The District Office Staff performs the following when processing a Construction Order:

- Check funding (both Federal and State).
- Review general format.
- Ensure required corrections are made. Return to the Chief Inspector or Project Engineer, if necessary.
- Prepare the package with a cover letter to the Contractor.
- Return the completed package to the Project Engineer for signature.

*1-810E Processing by Project Engineer*

The Project Engineer reviews the completed package to ensure comments have been incorporated, signs all copies and sends it to the Contractor for their signature. Typically only two copies of the Construction Order are sent to the Contractor for signature.

If the Contractor does not return the Construction Order within 15 days, a follow-up letter is sent to the Contractor to determine the status. See sample letter in Figure 1-8.4. A copy of this letter is included with the Construction Order.

*1-811 Guidelines for Approval of Construction Orders*

The Supervising Engineer has the primary responsibility for approval of Construction Orders. The District Office receives the Construction Order from the Contractor and sends it directly to the Transportation Supervising Engineer for approval.

If the Contractor fails to return a Construction Order after the second notice, the District Office provides the Transportation Supervising Engineer with copies of the Construction Order for approval.

The Transportation Supervising Engineer signs the Construction Order and forwards it to the District Staff for further processing.

Figure 1-8.4 Second Letter to Contractor Transmitting Construction Order

CONTRACTOR NAME  
 CONTRACTOR ADDRESS

Gentlemen:

Subject: PROJECT NO.  
 RFP NO.  
 Description  
 Town

In a letter dated \_\_\_\_\_, we sent to you for signing Change Order No. \_\_\_\_\_ for the above referenced project.

This Change Order has not yet been returned to the District Office by your firm. Please sign and return the Change Orders by \_\_\_\_\_. If it is not returned by this date we will process this order and you will receive an approved copy in the mail.

If you have not received the Change Order in question, please contact me and I will send out a new one for your signature. If you have any questions, please contact me at telephone number (860) XXX-XXXX.

Very truly yours,  
 District Representative (TE3 or above)

cc: Construction File

When a Contractor returns a Construction Order unsigned, and the Contractor has stated their objection, preferably in writing (a copy of this letter is included with the Construction Order), the stated objections are investigated to the satisfaction of the Transportation Supervising Engineer. The Transportation Supervising Engineer will consult with the Transportation Principal Engineer or Assistant District Engineer as appropriate. If the objections are determined to be invalid, the Construction Order is processed unsigned and the Contractor is notified of the action. If the objections are determined to be valid, a subsequent Construction Order is processed with the appropriate corrections; the Construction Order is processed unsigned, and the Contractor is notified that the corrections will be addressed by a future Construction Order.

*1-811A Final Processing by District*

The District Office Staff completes the final processing:

- Adds the explanations (addendum) and attachments to the Construction Order copies, as required.
- Sends an approved copy to the Contractor and, if necessary, to FHWA. The District number must be placed in the upper right-hand corner of the first sheet of the copy sent to FHWA.
- Files the approved copies.

*1-811B Distribution*

Once a Construction Order is approved, hard copies are distributed in accordance with the charts in Figure 1-8.5.

The following Construction Order addenda are sent from the Assistant District Engineer to the Construction Division Chief for information and reference.

- Non-participating construction orders on direct FHWA oversight projects
- Construction orders over \$250,000.
- Any construction order which incorporates the following:
  - time extension
  - claim payment
  - liquidated damages
  - incentive payment
  - project incidents which trigger a "construction issues" form

On Contracts reimbursable by Department of the Army Corps of Engineers, one extra copy of the Construction Order is required for its records.

*1-812 Final Construction Orders*

A project must not be accepted, and retainage must not be released, prior to receipt of all required paperwork from the prime Contractor. Once the project has been accepted, the State is required, by Statute, to make full and final payment to the Contractor within 60 days of acceptance or pay interest at the rate of 6 percent per annum on the unpaid balance of the final estimate. In many cases, the interest charge could be a significant amount of money, and in all cases, it is an unnecessary cost that requires much extra work and explanation by the District.

Occasionally, delays resulting from disagreements on quantities, submission of agreed prices, incomplete final quantities, or disagreement on the interpretation of the special provisions or plan notes contribute to the overall delay in the processing of the final Construction Order and estimate. The Assistant District Engineer should be advised promptly of any problems that may affect the expeditious processing of the necessary papers.

When all of the work pertinent to a Contract Item has been completed, the original or revised estimated quantity is adjusted to the final pay quantity by Construction Order, for payment on an estimate. Minor adjustments to quantities, due to actual field measurements, computation corrections, etc., can be made on final Construction Orders; however, no new or cost-plus items can be initiated. New items must be introduced on intermediate Construction Orders.

If the final Construction Order has been accepted and quantity changes are required for any reason, a supplemental final may be initiated. The Construction Order is designated "Supplemental Final Construction Order" on the front sheet.

Figure 1-8.5 Distribution of Construction Order Copies

Project Type	#s	Distribution										Notes	
		Contractor	Office of Construction	Central Files	District	Inspector	Laboratory*	FHWA	Public Trans	Aviation & Ports	Aviation & Ports		
		<input type="checkbox"/> O Denotes Original <input type="checkbox"/> C Denotes Scanned Copy Or Photocopy											
FHWA Funded (Federal Oversight)	CO	3/4	O	**	O	C	C	C*	C				Send Construction Orders to Designated FHWA representative at FHWA 628-2 Hebron Ave, Suite 303 Glastonbury CT 06033-5007
	Specifications	5		C		C	C	C	C				
	Addendum	4		C		C	C		C				
	Attachments	4		C		C	C		C				
FHWA Funded (Non-Federal Oversight)	CO	2/4	O	C	See note	C	C		***				For certain C.O.'s see below**
	Specifications	4		C		C	C	C					
	Addendum	3		C		C	C						
	Attachments	3		C		C	C						
100% State Funded (Emergency, Salt Shed, etc.)	CO	2/4	O	C	O	C	C	C					See below**
	Specifications	4		C		C	C	C					
	Addendum	3		C		C	C						
	Attachments	3		C		C	C						
FTA and other Projects involving funding through Bureau of Public Transportation	CO	2/5	O	C	O	C	C	C		C			See below**
	Specifications	5		C		C	C	C		C			
	Addendum	4		C		C	C			C			
	Attachments	4		C		C	C			C			
FAA and other Projects involving funding through Bureau of Aviation and Ports	CO	2/6	O	C	O	C	C	C			C	C	See below**
	Specifications	5		C		C	C	C			C	C	
	Addendum	4		C		C	C				C	C	
	Attachments	4		C		C	C				C	C	

General Note: Whenever a Project includes funding from the Army Corps, a copy of the Construction Order will have to be sent to that Agency.

\*The Laboratory only needs copies of C.O.'s if new items are being incorporated. The District has to coordinate with the Lab to establish and/or set up the testing requirements for new items.

\*\* Non-participating C.O.'s on direct FHWA oversight projects, C.O.'s over \$100,000 and/or any C.O. which incorporates the following: time extension, claim payment, liquidated damages, incentive payment or project incidents which trigger a "construction issues" form.

\*\*\* For State administered oversight projects involving Federal-Aid Funds certain Construction Change Orders require both prior approval to proceed and final approval of the subsequent change order; reference Construction Manual section 1-804B for guidance.