

**CTDOT Certified Vehicle / Equipment Replacement and
Dump Truck Retrofit Project**

Appendices

- 1. Applicant Fleet Description Spreadsheet**
- 2. Key Personnel**
- 3. Application for Federal Assistance (SF-424) Form**
- 4. Application for Federal Assistance (SF-424A) Form**
- 5. Assurances, Non-Construction Programs (SF-424B) Form**
- 6. Certification Regarding Lobbying (SF-LLL) Form**
- 7. Pre-Award Compliance Review Report (EPA 4700-4) Form**
- 8. Key Contacts Form (EPA 5700-54) Form**

**Connecticut Department of Transportation:
Certified Vehicle / Equipment Replacement and
Dump Truck Retrofit Project**

Applicant: Connecticut Department of Transportation (CONNDOT)

Partner: N/A

Project Contact: Charles Drda, Director of Maintenance
Bureau of Highway Operations
2800 Berlin Turnpike
Newington, CT 06111-4113
Phone- (860) 594-2606
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Richard Baron, Trans. Equipment Repair Manager
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Email – Richard.Baron@ct.gov

Funding Requested: \$501,650.00

Total Cost of Project: \$1,844,202.00

Project Period: June 2009-September 2010

Narrative Work Plan:

1. Project Summary:

The Connecticut Department of Transportation (CONNDOT) is requesting funding to purchase new Certified Vehicles to replace our existing International 1993 through 1996 model year (MY), 35,000 lb. to 39,000 lb. gross vehicle weight rating (GVWR) dump trucks used for snow plowing and other highway and bridge maintenance work with similar trucks meeting the 2007 emission standards. The project also includes installing verified emission control technologies on our International 2000 through 2002 diesel fueled dump trucks used in snow plow operations and highway and bridge maintenance work. These are all part of fleet operated by CONNDOT.

Project Description: If it is successful, CONNDOT plans to replace approximately twenty-six (26) 1993 through 1996 MY, 37,000 lb. to 39,000 lb. GVWR, International dump trucks with new International dump trucks meeting the 2007 engine emission regulations. CONNDOT will be contributing 75% of the cost of replacement from funds budgeted by the state. This opportunity allows those limited funds to go farther toward providing cleaner vehicles for the fleet. The new vehicles will have emission controls for both nitrogen oxides (NO_x), which are ozone precursors, and particulate matter (PM). The project also includes retrofitting approximately twenty-eight (28) 2000 through 2002 MY, 37,000 lb. GVWR, diesel fueled International dump trucks in our maintenance fleet with diesel oxidation catalysts, herein known as a DOCs. The vehicles will be used for snow removal operations and regular highway and bridge maintenance work. The state policy is for CONNDOT to retain its fleet well over twelve years, the addition of emission control technologies to every on-road heavy-duty diesel engine with a remaining life expectancy of at least 5 to 8 years will allow CONNDOT to significantly reduce diesel pollution. DOCs have been used for many years on highway and construction equipment and may be one of the most proven retrofit devices for that application. A DOC has the potential of reducing emissions of PM by up to 40%, carbon monoxide (CO) by up to 30% and hydrocarbons (HC), some of which, the volatile organic compounds, join NO_x as ozone precursors, by 50-75%. The use of ultra-low sulfur diesel (ULSD) fuel, which is the only fuel supplied by CONNDOT for its fleet, enhances emission reductions. With this project, CONNDOT intends to lead by example, improving the air quality throughout the state.

Diesel Emission Reductions: The purchase of 26 dump trucks with 2007 engines that include all of the new emission technologies, replacing the older type of mechanical diesel fueled engines, will greatly reduce diesel air pollution. PM will be reduced by 1.61 tons over the lifetime of the replaced fleet and, because the new vehicles will also have emission controls for NO_x, the lifetime reduction of that ozone precursor will be 19.76 tons. Retrofitting existing pre-2004 MY engine dump trucks with DOCs will also help in reducing engine pollutants, decreasing emissions of diesel particulate matter, including fine particulate matter (PM_{2.5}), by 0.25 ton over the lifetime of the retrofitted fleet. Emission reductions for the retrofit and replacement components of this proposed program are tabulated below.

Table 1: Potential Emission Reductions From Replacement of 26 Old Dump Trucks with Dump Trucks with 2007 Engines

Annual	NO _x ton/yr	PM ton/yr	HC ton/yr	CO ton/yr
Baseline of Fleet	4.9646	0.1405	0.2260	0.7612
Percent Reduced (%)	56	70	62	92
Amount Reduced Per Year	2.7899	0.0977	0.1405	0.7003
Lifetime	NO _x tons	PM tons	HC tons	CO tons
Lifetime Baseline of Fleet	57.2960	1.6084	2.5992	8.7427
Amount reduced Lifetime	19.7613	0.8698	1.1235	7.6911

Table 2: Emission Reductions From Installing DOCs on 28 CONNDOT Dump Trucks, MY 2000-2002

Annual	NO _x ton/yr	PM ton/yr	HC ton/yr	CO ton/yr
Baseline of Fleet	4.4763	0.0904	0.2245	0.7009
Percent Reduced (%)	0	20	50	30
Amount Reduced Per Year	0.00	0.0181	0.1123	0.2103
Lifetime	NO _x tons	PM tons	HC tons	CO tons
Lifetime Baseline of Fleet	60.7628	1.2268	3.0478	9.5139
Amount reduced Lifetime	0.00	0.2454	1.5239	2.8542

Age and Expected Lifetime: CONNDOT has chosen vehicles, MY 1993 through 1996, as complete vehicle replacements because those aging vehicles utilize the old mechanical diesel injection systems, which emit the highest levels of pollutants. The MY 2000 through 2002 were chosen for retrofit because they have the newest engines compatible with the DOCs and will provide maximum emission reductions over the 5-8 year lifetime of the DOCs. CONNDOT will retain control of the retrofitted and replacement vehicles and continue to use them in Connecticut. Specific vehicle age information appears on the Fleet Description Spreadsheet.

Roles and Responsibilities of Applicant and any project partners, contractors or subgrantees: CONNDOT will oversee scheduling and monitor the installation the retrofit technologies on their own equipment. The project also provides an opportunity to establish improved methods for operational tracking of equipment in this program. Actual benefits can then be tracked and calculated using EPA's quantifier, enhancing CONNDOT's project and attainment planning capability. CONNDOT also has a plan in place to scrap the 26 old dump trucks that will be taken out of service by putting a hole in the engine block making it a non-usable engine along with cutting the cab and chassis frame so the truck itself cannot be registered as a motor vehicle. A log noting the truck serial numbers and a photo of the engine and frame will be include as the documentation to show the old trucks taken out of service for scrap. A log will be created for all of the trucks that will be retrofitted with DOCs including the date of installation, asset number, serial number and a copy of the work order from the vendor for the labor and parts. CONNDOT can document the the amount of fuel each truck consumes in a given time frame, which can be used in the diesel emission quantifier to show the reduction of diesel emissions.

Detailed Timeline for the Project:

Table 3: Work Plan Timeline for CONNDOT Retrofit & Replacement Project

Date	Activity
Spring 2009 – Summer 2009	Select CTDOT equipment for retrofit and coordinate with vendors under contract with DAS for procurement of suitable retrofit technologies.
Summer 2009 – Winter 2010	Monitor each project’s retrofit progress by conducting field inspections and reviewing monthly retrofit summary logs submitted by the contractor
By February 1, 2010	Retrofit 28 class 7 dump trucks with DOCs
By February 28, 2010	Reimburse Vendors for DOC retrofits.
Spring 2009 – Summer 2009	Select CTDOT equipment for replacement
Fall 2009 - Spring 2010	Purchase new Class 7 dump trucks
After delivery of new vehicles	Scrap the replaced dump trucks and document the process.
Spring 2009 – September 2010	Submit quarterly reports on project progress and outcomes, including drawdown dates and amounts and documentation of job creation.
September 2010	Prepare and submit Final Report

Long Term Sustainability: CONNDOT intends to use this project to acquire first-hand experience with the installation and operation of emissions controls on its own fleet. Through improved operational tracking, CONNDOT can compile useful information regarding the actual benefits of this project and similar projects. The project will showcase agency strategies for diesel reduction in the heavy-duty sector, demonstrate feasibility, and encourage additional emission reduction projects in the public and private sector.

Restrictions for Mandated Measures: This Project does not implement existing federal, state or locally mandated legislation.

2. Recovery Act Funding Priorities: This project would create jobs in both the truck manufacturing industry but also for the local dealer who would be installing the DOC’s on our 28 trucks. The assumption would be that without this order there would be less work for the entire value of the manufacturing chain and less wages earned in the manufacturing and local workforce. Job creation is maximized as the benefits of manufacturing more trucks move through the system and downtime for vendors, packaging companies, freight carriers, the manufacturing plant, transportation companies is reduced. An order for new trucks from a major truck manufacturer has both national and local benefits. Smaller companies would see immediate benefits at the local level by installing DOC’s on trucks. Other measures that are beneficial to our long term investment in transportation include purchasing trucks with the latest technologies to reduce harmful diesel exhaust emissions with is directly related to health and safety. CONNDOT has contracts in place to purchase new vehicles once the State FY10 funding is in place and start immediately if CONNDOT were to get the award to install the 28 DOC units on our 2000 through 2002 trucks. Since a competitive procurement process has already taken place in accordance with state rules, this replacement and retrofit project could begin rapidly. A tracking log will be created for all of the trucks that will be retrofitted with the DOC including the date of installation, asset #, serial number and a copy of the work order from the vendor for

the labor and parts. In addition, CONNDOT can maintain a log of the amount of fuel each truck used in a given time frame, from which the decrease in diesel emissions can be calculated.

3. National Programmatic Priorities:

Maximize Health Benefits: The new vehicles will include emission controls for NO_x, an ozone precursor. All of Connecticut is in nonattainment for the Ozone NAAQS. Ozone exposure has been connected to heart and lung conditions, including asthma.

Diesel oxidation catalysts (DOCs) reduce the emissions of fine particulate matter (PM_{2.5}) from a diesel engine by 20% or more. The western part of the Connecticut shoreline in Fairfield and New Haven Counties, is in non-attainment with the health-based National Ambient Air Quality Standard (NAAQS) for PM_{2.5}. By retrofitting some the vehicles that service these areas, CONNDOT can benefit those who live and work in the highly populated communities along Long Island Sound and along transportation corridors throughout the state.

Exposure to PM_{2.5} has also been linked to premature death from heart or lung disease. Fine particles, inhaled into the lungs, can aggravate existing heart and lung diseases to cause cardiovascular symptoms, arrhythmias, heart attacks, chronic obstructive pulmonary disease, asthma attacks and bronchitis. The U.S. Environmental Protection Agency (EPA) has also classified diesel exhaust as a probable human carcinogen. Studies now show that heart attacks may be linked with very brief exposures (less than 24 hours). In addition, studies have found no safe exposure level for PM_{2.5}; in other words, we would expect to see adverse health effects from any exposure to PM_{2.5}. These facts support efforts to reduce PM_{2.5} from all sources as much as possible, especially in localized areas. Controlling diesel exhaust also reduces the concentration of black carbon, which contributes significantly to climate change.

Two recent studies, one by the National Resources Defense Council¹ and one by a consortium of researchers in Boston,² have concluded that, "Trucking industry workers who have had regular exposure to vehicle exhaust from diesel and other types of vehicles on highways, city streets, and loading docks have an elevated risk of lung cancer with increasing years of work."³ Reducing the exposure to PM_{2.5} will improve the health of CONNDOT dump truck operators.

Most Cost Effective: In developing this funding proposal, CONNDOT set out to identify the greatest air quality benefit that could be obtained from the available grant in applications common to the type of equipment operated by CONNDOT. The total benefits gained from this approach are judged to be most cost effective, in quantity and scope, from the options available.

EPA's calculator produced the following cost/benefit results for the proposed retrofits. For replacement of 26 dump trucks, with trucks that have 2007 compliant engines, there would be a

¹ Bailey, D., Goldman, Z., Minjares, M.; "Driving on Fumes: Truck Drivers Face Elevated Risks from Diesel Pollution;" NRDC Issue Paper. December 2007.

² Garshick, E., Laden, F., Hart, J. E., Rosner, B, Davis, M.E., Eisen, E.A. and Smith, T.J.; "Lung Cancer and Vehicle Exhaust in Trucking Industry Workers;" Environ Health Perspect. 2008 October; 116(10): 1327-1332.

³ Ibid., Abstract, Conclusion.

lifetime reduction of 0.87 tons of PM at a cost of \$530,064 per ton. For DOC retrofits on 28 dump trucks, there would be a lifetime reduction of 0.2454 tons of PM at a cost of \$165,469 per ton.

Table 4: Lifetime Cost Effectiveness

Replacement of 26 Dump Trucks	NO _x	PM	HC	CO
Amount Reduced Lifetime (tons)	19.7613	0.8698	1.1235	7.6911
Capital Cost Effectiveness (\$/ton)	23,331	530,064	410,369	59,946
DOCs on 28 Dump Trucks ^a	NO _x	PM	HC	CO
Amount Reduced Lifetime (tons)	0	0.2454	1.5239	2.8542
Capital Cost Effectiveness (\$/ton reduced)	NA	165,469	26,642	14,225

*based on a projected contract price of \$1,450 for purchase and installation of each DOC

High Population with Poor Air Quality: The transportation corridors within New Haven and Fairfield counties contain some of the most highly populated urban centers in the state, most notably New Haven, Bridgeport and Waterbury, along with the unbroken chain of cities along the coast of Long Island Sound. All of Connecticut is in non-attainment for the National Ambient Air Quality Standards (NAAQS) for 8-Hour Ozone. Fairfield and New Haven Counties are also in non-attainment for the fine particulate matter (PM_{2.5}) NAAQS as part of the New York/New Jersey/Connecticut nonattainment area.

As the most traveled area in Connecticut, Fairfield and New Haven Counties are impacted by air pollution from I-95, I-84 and I-91, which comprise a primary transportation corridor between New England and the rest of the country. It is expected that the affected vehicles will spend a significant amount of time maintaining the busy highways in this region. This transportation corridor also encompasses the ship, barge and ferry traffic through Connecticut ports and in Long Island Sound as well as the railway corridors that parallel I-95 and I-91. Given the prevailing patterns of wind and weather, Connecticut also receives transported air pollution from New York City and other population centers along the East Coast, as well as from sources as far away as the Midwest.

Disproportionately Impacted Areas: In servicing the highways in the state, CONNDOT's on-road vehicles travel through all of the environmental justice communities in the state, including Hartford, East Hartford, Norwich, New Haven, Bridgeport, Waterbury and Stamford. All of these communities are disproportionately impacted because of their location along major transportation corridors in the state. While the proposed CONNDOT retrofits will benefit residents otherwise impacted by vehicles driving to and operating at construction sites throughout the state, reducing NO_x and PM_{2.5} emissions from equipment used at work sites in the southwestern counties will particularly benefit a region in non-attainment for both PM_{2.5} and 8-Hour Ozone.

Useful Life of Verified/Certified Technology: DOCs have a useful life of 7-15 years. To best match the maximum useful life of a DOC with the remaining useful life of the existing heavy-duty diesel engines, CONNDOT plans to limit retrofits to those engines from the 2000 MY through 2002. New vehicles will have 2007 compliant engines with an expected lifetime of 15 years.

Maximize Useful Life: As with many cash-strapped state agencies, CONNDOT carefully maintains its vehicles and equipment with the goal of maximizing useful life. A significant number of engines currently in use are more than seven years old, meaning pre-2004. Vehicles have been selected for retrofit so that the DOCs will be less likely to outlast the remaining useful life of the engines. DOCs have few maintenance issues and it is not anticipated that the added emission controls will negatively impact either the regular maintenance or the useful life of the trucks.

Conserve diesel fuel: CONNDOT vehicle and equipment operators have been well-indoctrinated to idle reduction strategies as a successful method for increasing fuel conservation. CONNDOT has assisted the Connecticut Department of Environmental Protection (CTDEP) in posting anti-idling signs at rest stops throughout the state. CONNDOT is taking measures to be sure that vehicle operators keep in mind the relationship between excess idling and wasted fuel at this time of increasing fuel costs. The decrease in excess idling also reduces the contribution of diesel vehicles to climate change. In addition, regular vehicle maintenance conserves fuel by keeping engines operating in their most efficient mode.

Utilize ultra low sulfur diesel fuel (ULSD): CONNDOT provides ULSD, exclusively, for its fleets, maximizing air quality benefits ahead of EPA's off-road mandate.

4. Regional Significance: The retrofit dump trucks using the DOC will be assigned to the nonattainment areas from the New York borders up through the I95 and I84 corridors. Many of the new dump trucks will be assigned to the PM nonattainment areas, replacing pre-1997 trucks on highways in the most highly impacted region.

Regions 1 and 2 Priorities: The priority sector that CONNDOT is working with is **construction**. If the grant is approved, this will be the first time CONNDOT has retrofitted dump trucks with DOC after treatment. The priority is the PM_{2.5} nonattainment area that includes Fairfield and New Haven Counties, where air quality is the worst. CONNDOT has been the leader in implementing methods of reducing harmful diesel exhaust emissions, dating back to 2000 with the required use of 20% biodiesel fuel for the fleet. If this program of retrofitting dump trucks with DOCs is successful, CONNDOT will expand the use of this technology. While doing this, CONNDOT will be purchasing more dump trucks which will remove more of the pre-1997 trucks from the road. All along the major transit corridors in the nonattainment areas, communities will benefit from this project by the reduction of harmful diesel exhaust emissions.

5. Past Performance: CONNDOT has much experience in handling large, federally funded projects, such as the "Q" Bridge in New Haven, meeting all performance measures and submitting all required reports in a timely manner. CONNDOT is a very large agency, which routinely handles such projects. At this time, CONNDOT does not have any relevant or available past performance or reporting information on retrofitting diesel fueled equipment with DOC after treatment. CONNDOT is ready to proceed in the retrofitting of seven air compressors under the 2008 EPA/DERA grant of \$50,000.00 that was awarded to CTDEP to retrofit state diesel maintenance vehicles. We have the vendor in place to perform the work once the funding is received by our financial department.

6. Staff Expertise and Qualifications: BIOGRAPHICAL INFORMATION:

Mr. Charles A. Drda, P.E., has been employed with the Connecticut Department of Transportation since 1983. Mr. Drda graduated Pennsylvania State University in 1983 with a B.S. in Civil Engineering after interning at the Pennsylvania Department of Transportation as a Civil Engineer for the summers of 1981 and 1982. He began his career with the Connecticut Department of Transportation in the Bureau of Engineering and Highways, which included working his way up holding various positions in the Bridge Safety, Construction and Engineering units. In 1997, he became a Transportation Maintenance Manager in District 4 and directed the field operations for seven (7) facilities and the staff thereof engaged in a full spectrum of road maintenance functions. In 2003 he was promoted to Transportation Maintenance Director in Headquarters and remains in charge of the statewide support units for maintenance operations, which includes the Equipment Repair section. Mr. Drda works closely with the Equipment Repair Manager, Mr. Richard Baron overseeing Mr. Baron's programs and achievements.

Mr. Richard Baron has been in the equipment repair section starting in 1979 as a mechanic and has worked his way up to the Equipment Repair Manager's position, which he has held since June of 2003. At ConnDOT, he is responsible for the oversight of the ConnDOT Maintenance fleet of vehicles and off road equipment, which includes creating the specifications for purchasing equipment, and the oversight of 14 repair facilities. Mr. Baron and his staff have the qualifications for handling large funded projects, such as the Equipment Replacement Program with a value of \$8,000,000.00. Mr. Baron was part of the ConnDOT team that started the evaluation of B20 Bio-Diesel in February of 2000 along with setting up the first E-85 gasoline fueling station in Connecticut. Since then, the department has flowed more than 1,000,000 gallons of B20 bio-diesel. Mr. Baron was also instrumental in working with the CTDEP to receive a portion of the \$50,000 grant for Connecticut to Retrofit Diesel Maintenance Vehicles by installing seven diesel particulate filters (DPFs) on air compressors used for bridge maintenance.

7. Results:

Table 5: Anticipated Outputs and Outcomes

Activities	Outputs	Short, medium, and long-term Outcomes
Replace 26 class 7 dump trucks: See Table 3 for details.	<p>26 new class 7 dump trucks with 2007 compliant engines</p> <p>Jobs Created for manufacture and sale of new trucks</p> <p>Reports: quarterly, interim and final reports as required by EPA</p>	<p>Short-term: Successful replacement of 26, 1993-1996 MY dump trucks; economic benefits from job creation for manufacture and sale of replacement trucks</p> <p>Medium-term: Emissions Reductions: NO_x by 2.769 tons/year (TPY), PM by .10 TPY, HC by .14 TPY and CO by .70 TPY.</p> <p>Long-term: Health benefits from reduced asthma and bronchitis, increased lung function and decrease cardiopulmonary disease; Reduce global warming through decreased black carbon emissions;</p>

Table 5: Anticipated Outputs and Outcomes

Activities	Outputs	Short, medium, and long-term Outcomes
		Economic benefits from improved health; Economic benefits from decreased climate change; Economic benefits from NAAQS attainment.
Retrofit 28 class 7 dump trucks: See Table 3 for details.	<p>Technology units installed = 28 DOC's on 28 class 7 dump trucks.</p> <p>Jobs Created for manufacture and installation of emission control devices</p> <p>Reports: quarterly, interim and final reports as required by EPA</p>	<p>Short-term: Successful installation of 28 DOC's; economic benefits from job creation for retrofits</p> <p>Medium-term: Emissions Reductions: PM by .02 TPY, HC by .11 TPY and CO by .21 TPY.</p> <p>Long-term: Health benefits from reduced asthma and bronchitis, increased lung function and decrease cardiopulmonary disease; Reduce global warming through decreased black carbon emissions; Economic benefits from improved health; Economic benefits from decreased climate change; Economic benefits from NAAQS attainment.</p>

8. Leveraged Resources and Project Partners:

It is anticipated that new vehicles will be purchased under the present CONNDOT contract. If this application is successful, it is also anticipated that the DOCs to be installed on our 2000 through 2002 dump trucks can be purchased through existing procurement contracts that were established for on-road vehicles in the state fleet under the 2007 Connecticut Clean School Bus Act. Since a competitive procurement process has already taken place in accordance with state rules, the emission controls for these trucks could be purchased and installed rapidly. This project will augment Connecticut's efforts to expand the use of DOCs on diesel-powered equipment in the state fleet. This is consistent with long standing policies and goals for Connecticut.

CONNDOT has received national recognition for reducing diesel emissions from construction equipment through its leadership in the Connecticut Clean Air Construction Initiative (Initiative). This public-private partnership was established to reduce emissions from diesel construction equipment in use on the I-95 New Haven Harbor Crossing Improvement Program (the Q Bridge project). The Initiative has been recognized as a national model and was cited by EPA as one of two showcase diesel emission reduction projects in the country. With over 100 retrofits to date, the Initiative is continuing to expand through the addition of pilot programs to assess the effectiveness of DPFs on certain pieces of equipment being used on the Q Bridge project. If funded, the vehicle replacements and dump truck exhaust retrofits will continue CONNDOT's active engagement in reducing construction equipment emissions in the State. CONNDOT will be responsible for obtaining and installing and monitoring the use of the DOCs for its retrofitted snow plow dump trucks and would take responsibility for reporting on and publicizing the results of this program.

CONNDOT's record of partnership with other stakeholders involved in reducing diesel emissions was exemplified in 2005, when CONNDOT personnel chaired the Transit

Subcommittee and participated in the Construction Subcommittee for the development of the Connecticut Clean Diesel Plan (Plan), which received national recognition by EPA. In response to Special Act 05-07, CTDEP was tasked with creating the Connecticut Clean Diesel Plan (see <http://www.dep.state.ct.us/air2/diesel/forum.htm>), a comprehensive diesel reduction plan, which was submitted to the General Assembly in January of 2006. The Plan outlines a stakeholder-based, multi-faceted approach to reducing particulate emissions from on-road fleets (tractor trailers), transit buses, school buses and construction equipment as well as from engine idling, home heating oil and wood burning. This project advances retrofit and replacement strategies recommended in the Plan.

9. Budget Detail:

Detailed Itemized Budget: Assumes purchase of 26 new International class 7 dump trucks along with purchase and installation of 28 DOCs on CONNDOT class 7 dump trucks.

Table 6: Projected Budget

Personnel	In kind
Fringe Benefits	\$0
Contractual Costs	\$0
Travel	\$0
Equipment	\$1,844,202.00
EPA DERA share On-Road New vehicle	\$461,050.00
CONNDOT share of new vehicle cost	\$1,342,552.00
EPA DERA share On-Road DOCs	\$40,600.00
Installation Charges	\$000,000
CONNDOT On-Road DOCs	See footnote below
Supplies	\$0
Other:	
Total Direct Costs	\$0
Total Indirect Costs	\$0
Total Cost	\$1,844,202.00

¹ Installation is included in existing state contract, cost without installation was not provided.

All replaced vehicles will be scrapped, as described previously, by drilling the engine and cutting the chassis. The scrap trucks will then be sent to auction, from which CONNDOT receives no compensation.

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): _____ * Other (Specify) _____
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* 3. Date Received: Completed by Grants.gov upon submission.	4. Applicant Identifier: _____
--	--

5a. Federal Entity Identifier: _____	* 5b. Federal Award Identifier: _____
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State Use Only:

6. Date Received by State: _____	7. State Application Identifier: _____
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8. APPLICANT INFORMATION:

* a. Legal Name: State of Connecticut, Department of Transportation
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* b. Employer/Taxpayer Identification Number (EIN/TIN): 06-1304421	* c. Organizational DUNS: 807854583
--	---

d. Address:

* Street1: State of Connecticut, Department of Transportation
Street2: 2800 Berlin Turnpike, Room 4103, Newington, CT 06111
* City: Newington
County: _____
* State: Connecticut
Province: _____
* Country: USA
* Zip / Postal Code: 06111-4113

e. Organizational Unit:

Department Name: DEPARTMENT OF TRANSPORTATION	Division Name: BUREAU OF HIGHWAY OPERATIONS
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix: MR.	* First Name: RICHARD BARON
Middle Name: _____	
* Last Name: Baron	
Suffix: _____	

Title: TRANSPOTATION EQUIPMENT REPAIR MANAGER
--

Organizational Affiliation: State of Connecticut, Department of Transportation
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* Telephone Number: 860-594-2639	Fax Number: 860-594-2655
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* Email: richard.baron@po.state.ct.us
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Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

A - STATE GOVERNMENT

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. ENVIRONMENTAL PROTECTION AGENCY

11. Catalog of Federal Domestic Assistance Number:

66.039

CFDA Title:

NATIONAL CLEAN DIESEL FUNDING ASSISTANCE PROGRAM

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

CONNECTICUT DEPARTMENT OF TRANSPORTATION: CERTIFIED VEHICLE /
EQUIPMENT REPLACEMENT AND DUMP TRUCK RETROFIT PROJECT.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant STATEWIDE

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date: 6/2009

* b. End Date: 12/2010

18. Estimated Funding (\$):

* a. Federal	\$501,650.00
* b. Applicant	
* c. State	\$1,342,552.00
* d. Local	
* e. Other	
* f. Program Income	
* g. TOTAL	\$1,844,202.00

* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: MR. * First Name: MICHAEL
Middle Name: W.
* Last Name: LONERGAN
Suffix:

* Title: ACTING BUREAU CHIEF, MAINTENANCE AND HIGHWAY OPERATIONS

* Telephone Number: 860-594-2624 Fax Number: 860-594-2655

* Email: michael.lonergan@po.state.ct.us

* Signature of Authorized Representative: *Michael W. Lonergan* * Date Signed: 4/14/09

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

[Empty text input area for Applicant Federal Debt Delinquency Explanation]

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:		
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.		
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.		
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.		
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.		
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.		
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.		
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.				
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.				
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.				
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000. 		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.				
8.	Applicant Information: Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the 				
				17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
				18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the		

	<p>assistance activity, if applicable.</p> <p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	<p>State intergovernmental review process. Select the appropriate box: If "a." is selected, enter the date the application was submitted to the State</p>		
20.		<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td data-bbox="167 646 509 1018"> <ul style="list-style-type: none"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority </td> <td data-bbox="509 646 846 1018"> <ul style="list-style-type: none"> M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify) </td> </tr> </table>	<ul style="list-style-type: none"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority 	<ul style="list-style-type: none"> M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify) 	<p>21. Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<ul style="list-style-type: none"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority 	<ul style="list-style-type: none"> M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify) 			

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1. DUMP TRUCK REP	66.039	\$	\$	\$ 461,050.00	\$ 1,342,552.00	\$ 1,803,602.00
2. RETROFIT DOC	66.039			40,600.00	0.00	40,600.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 501,650.00	\$ 1,342,552.00	\$ 1,844,202.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY						Total (5)
	(1) DUMP TRK. REP.	(2) RETROFIT DOC	(3)				
a. Personnel	\$ 0.00	\$ 0.00	\$	\$	\$	\$ 0.00	
b. Fringe Benefits	0.00	0.00				0.00	
c. Travel	0.00	0.00				0.00	
d. Equipment	0.00	0.00				0.00	
e. Supplies	0.00	0.00				0.00	
f. Contractual	0.00	0.00				0.00	
g. Construction	0.00	0.00				0.00	
h. Other	0.00	0.00				0.00	
i. Total Direct Charges (sum of 6a-6h)	0.00	0.00		0.00		0.00	
j. Indirect Charges	0.00	0.00				0.00	
k. TOTALS (sum of 6i and 6j)	\$ 0.00	\$ 0.00	\$	0.00	\$	\$ 0.00	
7. Program Income	\$ 0.00	\$ 0.00	\$	0.00	\$	\$ 0.00	

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SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. DUMP TRUCK REPLACEMENTS	\$ 0.00	\$ 1,342,552.00	\$ 0.00	\$ 1,342,552.00
9. RETROFIT DUMP TRKS. W/DIESEL OXIDATION CATALYSTS	0.00	0.00	0.00	0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 1,342,552.00	\$ 0.00	\$ 1,342,552.00

SECTION D - FORECASTED CASH NEEDS

	SECTION D - FORECASTED CASH NEEDS				
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 501,650.00	\$ 20,300.00	\$ 481,350.00	\$ 0.00	\$ 0.00
14. Non-Federal	1,342,552.00	0.00	1,342,552.00	0.00	0.00
15. TOTAL (sum of lines 13 and 14)	\$ 1,844,202.00	\$ 20,300.00	\$ 1,823,902.00	\$ 0.00	\$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. DUMP TRUCK REPLACEMENTS	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
17. RETROFIT DUMP TRKS. W/DIESEL OXIDATION CATALYSTS	0.00	0.00	0.00	0.00	0.00
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	N/A	22. Indirect Charges:	N/A
23. Remarks:			

INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

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General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For *new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

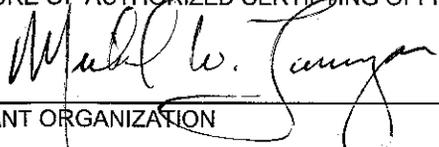
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NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE ACTING BUREAU CHIEF, HIGHWAY OPS.
APPLICANT ORGANIZATION CONNECTICUT DEPARTMENT OF TRANSPORTATION	DATE SUBMITTED April 14, 2009

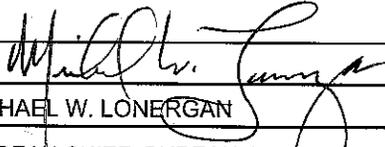
DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: NOT APPLICABLE Congressional District, if known:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: NOT APPLICABLE Congressional District, if known:	
6. Federal Department/Agency: ENVIRONMENTAL PROTECTION AGENCY	7. Federal Program Name/Description: CLEAN DIESEL FUNDING ASSISTANCE PROGRAM CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 66.039	9. Award Amount, if known: \$ 501,650.00	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): NOT APPLICABLE	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): NOT APPLICABLE	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u></u> Print Name: <u>MICHAEL W. LONERGAN</u> Title: <u>ACTING BUREAU CHIEF, BUREAU OF MAINT. & HIGHWAYS</u> Telephone No.: <u>860-594-2624</u> Date: <u>4/14/05</u>	
Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

United States Environmental Protection Agency
Washington, DC 20460

**Preaward Compliance Review Report for
All Applicants and Recipients Requesting EPA Financial Assistance**

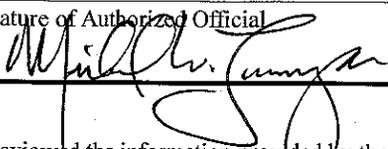
Note: Read instructions on other side before completing form.

I.	Applicant/Recipient (Name, Address, State, Zip Code). CONNECTICUT DEPARTMENT OF TRANSPORTATION, BUREAU OF MAINTENANCE & HIGHWAY OPERATIONS, 2800 BERLIN TURNPIKE, NEWINGTON, CT 06111-4113	DUNS No. 807854583
II.	Is the applicant currently receiving EPA assistance? NO	
III.	List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.) N/A	
IV.	List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions on reverse side.) N/A	
V.	List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken. (40 C.F.R. § 7.80(c)(3)) N/A	
VI.	Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below. a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b). b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies.	
VII.*	Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95) YES a. Do the methods of notice accommodate those with impaired vision or hearing? b. Is the notice posted in a prominent place in the applicant's offices or facilities or, for education programs and activities, in appropriate periodicals and other written communications? c. Does the notice identify a designated civil rights coordinator?	
VIII.*	Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a)) YES	
IX.*	Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency? (40 C.F.R. Part 7, E.O. 13166) YES	
X.*	If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator. DIANE DONATO, DIRECTOR OF EQUAL OPPORTUNITY AND DIVERSITY, ROOM 1415WD, 2800 BERLIN TURNPIKE, NEWINGTON, CT 06111. diane.donato@po.state.ct.us OFFICE # 860-594-3067 FAX # 860-594-3016	
XI*	If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures. REQUESTS FOR GRIEVANCE PROCEDURES CAN BE SENT TO diane.donato@po.state.ct.us	

For the Applicant/Recipient

I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized Official



B. Title of Authorized Official: ACTING BUREAU CHIEF, MAINT. & HIGHWAY OPERATIONS

C. Date: APRIL 14, 2009

For the U.S. Environmental Protection Agency

I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.

A. Signature of Authorized EPA Official See ** note on reverse side.	B. Title of Authorized EPA Official	C. Date
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EPA Form 4700-4 (Rev. 03/2008). Previous editions are obsolete.

Instructions for EPA FORM 4700-4 (Rev. 03/2008)

General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled; "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

* Questions VII – XI are for informational use only and will not affect an applicant's grant status. However, applicants should answer all questions on this form. (40 C.F.R. Parts 5 and 7).

** Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

"Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.



KEY CONTACTS FORM

Authorized Representative: *Original awards and amendments will be sent to this individual for review and acceptance, unless otherwise indicated.*

Name: Michael W. Lonergan
 Title: Acting Bureau Chief, Bureau of Maintenance & Highway Operations
 Complete Address: State of Connecticut, Department of Transportation, 2800 Berlin Turnpike,
 Newington, CT 06111-4113
 Phone Number: 860-594-2624

Payee: *Individual authorized to accept payments.*

Name: Wally Lugli
 Title: Chief F.A.S. 1, Bureau of Finance & Administration
 Mail Address: State of Connecticut, Department of Transportation, 2800 Berlin Turnpike,
 Newington, CT 06111-4113
 Phone Number: 860-594-2204

Administrative Contact: *Individual from Sponsored Program Office to contact concerning administrative matters (i.e., indirect cost rate computation, rebudgeting requests etc.)*

Name: Richard G. Baron
 Title: Transportation Equipment Repair Manager
 Mailing Address: State of Connecticut, Department of Transportation, 2800 Berlin Turnpike,
 Newington, CT 06111-4113
 Phone Number: 860-594-2639
 FAX Number: 860-594-2655
 E-Mail Address: richard.baron@po.state.ct.us

Principal Investigator: *Individual responsible for the technical completion of the proposed work.*

Name: Richard G. Baron
 Title: Transportation Equipment Repair Manager
 Mailing Address: State of Connecticut, Department of Transportation, 2800 Berlin Turnpike,
 Newington, CT 06111-4113
 Phone Number: 860-594-2639
 FAX Number: 860-594-2655
 E-Mail Address: richard.baron@po.state.ct.us
 Web URL: