



**EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE
EXTERNAL ACTION PLAN**

**Contractor/Sub-Recipient Compliance
SFY 2016**

**Submitted by Theresa Savoy, Director
Civil Rights Office**

September 29, 2016

EEO/AA PROGRAM SUMMARY 2016
EXTERNAL PROGRAM

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EXTERNAL PROGRAM

Commissioner:

The Commissioner of the MaineDOT has the overall responsibility for the Department's compliance with equal employment opportunity policy and provides support and direction in the implementation of the Affirmative Action Plan. He shall be responsible to assure that bureau Directors are meeting their responsibilities to set a tone of cooperation and support for EEO, affirmative action, and the general premise that all Contractor and Consultant employees be treated with dignity and respect.

Director, Civil Rights Office:

The Director of the MaineDOT Civil Rights Office (CRO) reports directly to the Chief Counsel and is responsible for the daily management of the CRO. The Director has direct access to the Commissioner and meets with the Commissioner quarterly. The Director plans and directs implementation of external civil rights programs under Title VII of the Civil Rights Act of 1964 in the areas of affirmative action, Equal Employment Opportunity (EEO), Americans with Disabilities Act of 1990 (ADA), and Title VI of the Civil Rights Act of 1964 including Disadvantaged Business Enterprise (DBE) program, Davis Bacon Act (DBA) wage compliance. The CRO Director is responsible for the development of policy and procedures, correspondence, reviewing technical manuals. The Director supervises staff to compile information and statistics and prepares reports, affirmative action plans, workshops and presentations concerning program requirements to department staff, state and federal compliance agencies. The director also coordinates and monitors various compliance activities; provides advice and assistance to all levels of departmental staff; serves as advisor and provides oversight, coordination/liaison role in gaining compliance for contracts with civil rights provisions. The Director may investigate complaints, monitors progress of investigations, and oversees case file documentation; supervises compliance reviews and/or prepares department responses to state and federal compliance reviews; interprets laws, rules and regulations, guidelines, and court rulings or opinions; supervises the department of civil rights outreach programs; may present training to department staff. The Director also provides leadership and guidance to CRO staff; hires and trains staff and resolves issues and problems.

Equal Employment Opportunity Officer – Contractor Compliance /On the Job Training (OJT) Program Administrator:

The EEO/OJT Program Administrator is responsible for providing direction, advice and support to the Contractors to assure compliance with state & federal EEO statutes, regulations, OJT requirements and policies. The Administrator is responsible for ensuring that Contractors/Consultants personnel actions are administered fairly and in accordance with state and federal EEO Laws and departmental EEO/AA policy on federal aid contracts. The Administrator trains internal and external customers on contract compliance and is an active board member of the Agency's pre-qualification team.

The EEO/OJT Program Administrator also administers and monitors all OJT activity on federal projects, ensuring that trainees are provided a fair opportunity for training and contractors and trainees are meeting their obligations on projects.

Equal Employment Opportunity Officer -DBE Program Administrator

The DBE Program Administrator is responsible for tracking DBE participation on federally funded projects, ensuring compliance of federal regulations. The Administrator reviews and determines certification qualifications for all DBE applications in Maine and ensures that the DBE directory is updated. The Administrator trains internal and external customers on DBE compliance, develops and submits federally required reports and assist with the administration of the DBE Supportive Service Program.

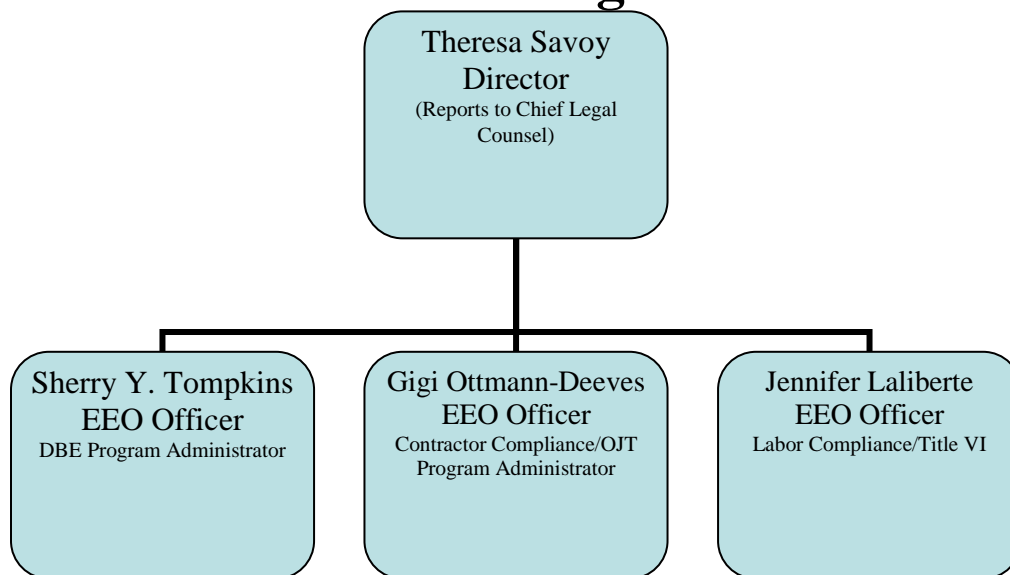
Equal Employment Opportunity Officer-Labor Compliance Officer/Title VI Specialist

Labor Compliance Officer is primarily responsible for Davis Bacon Labor Compliance in conjunction with all MaineDOT federally assisted construction projects. This includes visiting job sites, reviewing payrolls, interviewing employees, determining compliance with all Davis Bacon related regulations. This position is also responsible for processing and the management of Wage Rate Requests and tracking those requests. This position will be the lead on the Elations Payroll System for the Civil Rights Office.

New to this position are the added responsibilities of Title VI Specialist. This position will assist the Director in ensuring that Title VI requirements are met. This position will work closely with program liaisons and will assist in compliance reviews of MaineDOT subrecipients.

ORGANIZATIONAL CHARTS

**MaineDOT Legal Division
Civil Rights Office**



CONTRACTOR COMPLIANCE PROCEDURES

APPLICABLE DIRECTIVES:

1. FHWA Contract Compliance Procedures
2. EEO Special Provisions (FHWA Federal-Aid Highway Program Manual, vol. 6, chap. 4, sec.,1, subsec.2, Attachment 1),
3. Training Special Provisions (FHWA Federal-Aid Highway Program Manual, vol.6, chap.4, sec.1, § 6 (Contract Procedures), and §8 (Minority Business Enterprise).
4. 23 USC Section 140 and Title VI of the Civil Rights Act of 1964, as amended, and related regulations, including 49 CFR Parts 21 and 23, and 23 CFR Parts 200, 230, and 633.

IMPLEMENTATION:

Describe process (methods) of incorporating the above FHWA directives into the State Highway Authority (SHA) compliance program.

1. All compliance reviews conducted by the Civil Rights Office (CRO) will follow procedures outlined in 23 CFR 230. CRO will recommend findings of compliance or non-compliance based upon 2. (See below) and will report findings to the Federal Highway Administration (FHWA) or other appropriate agencies as required by the federal funding source.
2. The Department and FHWA have the authority and the responsibility to ensure compliance with 23 USC Section 140 and Title VI of the Civil Rights Act of 1964, as amended, and related regulations, including 49 CFR Parts 21 and 23, and 23 CFR Parts 200, 230, and 633.
3. The Department is required to prepare and complete written reports of its findings in contract compliance reviews. These reports, and the evidence on which they are based, shall be available to the U.S. DOT modal agency with jurisdictional authority.
4. The standard Federal Equal Employment Opportunity Construction Contract Specifications are included in all federal and federally assisted construction contracts.
5. The MaineDOT specifications establish specific and minimum affirmative action obligations.
6. Federal financially assisted contractors/sub-contractors designated to undergo a Contract Compliance Review will be reviewed by CRO to determine the Contractor's efforts to achieve maximum results from its affirmative action obligations.

ACCOMPLISHMENTS:

Describe accomplishments in the construction EEO Compliance program during the past fiscal year. The Civil Rights Office reviewed and tracked (twelve) 12 federal-aid projects this season and all Form FHWA-1273's were physically incorporated in each subcontract.

CONTRACTOR COMPLIANCE PROCEDURES:

Does the STA's EO contract compliance program include policies and procedures to determine whether all participants performing on Federal-aid contracts are complying with their EO/EEO contract obligations? Yes. When the Civil Rights Office conducts monthly OJT monitoring or goes to any site visits on federal-aid projects, we document that each subcontract includes the Form FHWA-1273 and documentation of the review is entered into the Annual Subcontract Review spreadsheet in the Subcontract Review folder. (See project list below).

1. Auburn-19259.00
2. Bath-19273.00
3. Ellsworth 19196.00
4. Farmington, Wilton, Carthage, Dixfield-18987.00
5. Hartford, West Paris, Sumner, Turner-22566.00
6. Jay-17882.00-9-29-16-Scheduled
7. Milford-10010.00
8. Naples-20466.00
9. Roxbury/Byron-12775.00
10. Rumford-19058.00- 9-29-16-Scheduled
11. Thomaston-17890.00
12. Augusta, Waterville, Sidney-20854.00

MaineDOT Subcontract Review Process

- 1) After Project Award the Department will send the prime Contractor an email requesting Subcontractor information and certification.
- 2) Information received by the Department is put into a spread sheet and scanned into TEDOCS.
- 3) The Resident will keep an on-site record of the Subcontractor approval forms as part of their final records, this may be done electronically.
- 4) As subs are added to the contract, the Prime will continue to send Subcontractor information and certification to the Resident
- 5) Contracts will insure that documentation of the subcontract is sent to Civil Rights Office
- 6) No Subcontractor can begin work on the site without a signed contract with the Prime including all State and/or Federal language applicable to the work.
- 7) Missing information in the Prime contractors, subcontract folder, will be requested by the Resident or Civil Rights Office.
- 8) The above part of the process shall be completed prior to or at the pre-construction meeting. Work shall not commence until process is complete.
- 9) During on-site reviews by the Department or Civil Rights Office, the reviewer will check the Prime contractors Subcontractor folder for completeness.
- 10) On at least 10% of all FHWA funded projects the reviewer will ask the Prime Contractor to obtain copies of the actual Subcontracts 24 hours prior to the site visit. At site visit reviewer will check that Form FHWA 1273 forms are included as part of the subcontract. Reviewer will also check Poster Boards for completeness.
- 11) Reviewer will fill out Subcontractor Review Form onsite
- 12) Once Subcontract is reviewed, documentation of review will be entered into Annual Subcontract Review spreadsheet on P: Drive by reviewer and load review form in the Subcontract Review folder by Project.

Civil Rights Compliance/Subcontract Review Form

| Town | PIN | Prime |
|------|-----|-------|
| | | |

- Poster Boards checked (check form included)
- All Active Subcontracts reviewed:

| Subcontract reviewed | FHWA 1273 Present |
|----------------------|-------------------|
| | |
| | |
| | |
| | |
| | |

- If 1273 was not present in any subcontract, Contracts was notified
- Subcontractor was notified that 1273 not present.

Reviewed by: _____

Date: _____

The Contractors are required to send the following subcontract documents to the Contracts Office prior to subcontract approval: The memo also states that subcontracts are required to have the following documentation directly incorporated. For those subcontracts reviewed by the MaineDOT, Civil Rights Office, these documents are being requested from the prime contractors and must be on-site.

REQUEST FOR SUBCONTRACT/LOWER-TIER SUBCONTRACT ACCEPTANCE (form)

- To be filled out & signed by the Prime contractor
- If lower-Tier, must be filled out & signed by both the Prime Contractor & Subcontractor
- Use the actual subcontracted prices for unit prices.

AGREEMENT BETWEEN CONTRACTOR& SUBCONTRACTOR

- Attach a copy of the signed Agreement between the Contractor & Subcontractor.
- If lower-Tier, attach a copy of the signed Agreement between the Subcontractor & lower-Tier Subcontractor.

EQUAL EMPLOYMENT OPPORTUNITY PLEDGE (form)

- To be filled out & signed by the Subcontractor. (On Subcontractor's Letterhead).
- If Lower-Tier, must be filled out & signed by the Lower-Tier Subcontractor. (On Lower-tier Subcontractor's Letterhead).

SUBCONTRACT CERTIFICATION

- To be filled out & signed by the Prime Contractor.

WORKERS' COMPENSATION INSURANCE CERTIFICATE

The Contractor/Subcontractor shall provide signed, valid & enforceable certificate(s) of insurance with each Subcontractor that will comply with The State of Maine, Department of Transportation Standard Specifications under Section 110.3.1 Workers' Compensation.

The following Standard Provisions in the form of standard Contract Clauses must be physically incorporated in all subcontracts and lower-tier subcontracts, but aren't required as part of the Subcontract acceptance process.

- Required Contract Provisions, Federal-Aid Construction Contracts, Form FHWA-1273, Current Revision.
- Required Contract Provision- 49 CFR§26.13
- Required contract Provisions, Goals for females and minorities, Current Revision (Subcontracts over \$10,000.00).
- Required Contract Provision- 41CFR§60 250.5(a)

Does the State's EEO Plan outline the number of contractor and subcontractors to review and its compliance status? Yes (see below)

MaineDOT-EEO Contractor Compliance Reviews – Season 2016

1. Number of compliance reviews to be conducted-1
2. Cancelled-0
3. Number of Contractors reviewed – 1
4. Number of Contractors found in compliance – 0
5. Number of Contractors found in non-compliance – 1
6. Number of show cause notices issued – 1
7. Number of show cause notices rescinded – 0
8. Number of show cause actions still under conciliation and unresolved –1
9. Number of follow up reviews conducted – 1

CONTRACTOR COMPLIANCE REPORT

R. F. Jordan & Sons, Inc.
Ellsworth-PIN# 19196.00-Highway Project

TODAY'S DATE

September 6, 2016

STATE

Maine

CONTRACTOR NAME & ADDRESS:

R. F. Jordan & Sons, Inc.
Mr. Patrick Jordan
85 Water Street
Ellsworth, ME, 04605

TYPE OF REVIEW:

Project Specific-Highway Reconstruction

CONTRACT OR PROJECT(S) PIN #

Ellsworth-PIN# 19196.00-Highway

DATE OF REVIEW:

August 25, 2016

NAME & TITLE OF CONTRACTOR'S OFFICER(S):

Jim Saucier- Project Manager, Superintendent- R F Jordan & Sons, Inc.

NAME & TITLE OF THE REVIEWER(S):

Gigi Ottmann-Deeves, EEO Officer
Jen Laliberte-EEO Officer
Jeffrey Coffin-MaineDOT Resident

CONTRACT OR PROJECT PRODUCTION SCHEDULE(S):

BEGINNING DATE(S): Contract date 05-27-16 actual start date 06-13-16
ANTICIPATED PEAK EMPLOYMENT DATE(S): 07-23-2016
ESTIMATED COMPLETION DATE(S): 06-23-2017

SUBCONTRACTORS, MATERIAL SUPPLIERS, AND VENDORS:

- Sitewerx
- A D Rossi
- A D Electric
- Lane Construction
- Jeremiah Jordan
- Granite State Curbing Setters, Inc.
- C.A. Newcomb and Sons
- Project Flagging, Inc.

Form FHWA 1273:

Not present in any of the subcontracts. See below (Findings, Conclusions & Recommendations)

REQUEST FOR SUBCONTRACT ACCEPTANCE

Approved by MaineDOT, signed by Contractor & Subcontractor and included with each subcontract.

AGREEMENT BETWEEN CONTRACTOR AND SUBCONTRACTOR:

Yes signed and included with each subcontract.

EEO CLAUSE- 41 CFR §60 250.5(a)

Yes signed and included with each subcontract.

UNION AFFILIATIONS:

N/A

RECRUITING RESOURCES:

Placed a couple of local Newspaper Ads, used a Temporary Agency and the Maine Department of Labor Career Center.

SUMMARY ANALYSIS OF CONTRACTOR'S EMPLOYMENT DATA:

R F Jordan & Sons shows a total of 39 employees at peak season. One (1) Black male Laborer, 4 female clerical and thirty four (34) white males. R F Jordan just hired 1 female Truck Driver in early August that did not get counted in the submitted workforce data. This project was located in Ellsworth, Maine which is located in the eastern part of the State next to Acadia National Park which caters to a huge tourist industry during the summer months of June, July & August.

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS:

List of Deficiencies:

1. Contractors should have copies of any employment advertisements and job announcements which specifically include the EEO "tagline." The tagline may state that the contractor is "an equal opportunity employer," or it may alternately state that all qualified applicants will receive consideration for employment without regard to race, color, religion, gender or national origin. The tagline should appear on all company letter head and public correspondence placed in media including those targeted towards minority and female audiences. 23 CFR § 230.409

2. The Prime contractor shall be responsible for compliance by any contractor or subcontractor with the requirements contained within the provisions of Form FHWA -1273. The required contract provisions of Form FHWA-1273 shall not be incorporated by reference in any case.

The required Form FHWA 1273 was not attached to each subcontract
23 FR §633.101

3. The Contractor shall establish an effective written complaint and/or grievance process. Prevention is the best tool to eliminate sexual harassment in the workplace. MaineDOT is also governed by Maine law and all statutes therefore; some findings may be related to State compliance.

No documented complaint/grievance process. Maine Revised Statutes-Chapter 26, Sec. 26

4. It is required that the contractor will ensure equal employment opportunity by institutionalizing the contractor's commitment to equality in every aspect of the employment process. Therefore, as part of its affirmative action program, a contractor must monitor and examine its employment decisions and compensation systems to evaluate that those systems do not discriminate.

It is recommended that contractors have a written company-wide (merit promotion program) that provides equal employment for all employees based on merit and without regard to race, color, religion, sex or national origin.

41 CFR§60-2.10 &

23 CFR§ Part 230 Appendix A to Subpart A of Part 230-Special Provisions

RECOMMENDATIONS: Non-Compliance

Show-Cause letter sent: 09/01/2016- Information due to Civil Rights by 10-1-16

Rescission letter sent: TBD

How does the MaineDOT identify the federal-aid contractors that had discrimination complaints filed against them during the past fiscal year?

The Prequalification Committee meets annually to review all applications for prime contractors seeking prequalification for the upcoming construction season. All potential bidders are required to submit an Equal Employment Supplemental Questionnaire which specifically asks about findings of probable cause or court rulings of sexual harassment, discrimination, or other civil rights violations within the past five (5) years. Any missing information and/or concerns are discussed and strategies to address these issues are agreed upon by the Committee prior to prequalification. As required by FHWA, the Civil Rights Office schedules annual Contractor Compliance Reviews on selected federal-aid projects which addresses complaints specific to that contractor. The MaineDOT, Contracts Office stores all prequalification applications online (below).

[\\Oit-isaefsemc01.som.w2k.state.me.us\DOE-GENERAL\Contracts_Specs](http://Oit-isaefsemc01.som.w2k.state.me.us/DOE-GENERAL/Contracts_Specs)

MAINEDOT, CIVIL RIGHTS OFFICE/ EEO SUPPLEMENTAL QUESTIONNAIRE

- Written Affirmative Action Plan (signed and dated by CEO)
- Written sexual harassment policy (signed and dated by CEO)
- Sexual harassment training for employees & supervisors
- Non-discrimination policy
- **Within 5 years, findings of probable cause or court rulings of sexual harassment, discrimination, or other civil rights violations?**
- Does the company actively solicit bids/quotes from disadvantaged, minority, and/or women owned businesses?
- Describe the procedure you use to ensure your company is in compliance with Disadvantaged Business Enterprise (DBE) requirements.
- Describe the procedure you use to ensure all subcontractors used by your company are in compliance with EEO laws.
- Provide a list of all companies you solicit subcontract bids/quotes from.
- What is the name of your company's EEO Officer.
- Provide a copy of the job description for your company EEO Officer.
- What percentage of that person's time is spent on EEO?
- Complete the attached Company Construction Workforce Report (1391).

- Provide complete copies of all subcontracts on this project (attached Form FHWA- 1273).
- Copies of all current bargaining agreements.
- One copy (each) of all purchase orders, subcontracts and public correspondence containing the clause of being an “Equal Opportunity Employer”.
- A list of company-wide promotions and/or raises made during the past six months, to include race, national origin, sex, previous job held, job promoted into, and corresponding wage rates.
- Copies of three certified payrolls as follows; for the first week of the project, the peak week of employment on the project, and the most current payroll. Please denote for each person listed, the job classification, race, national origin and sex.
- Documentation of recruitment sources utilized.
- A blank job application and four (4) completed job applications received by the company.
- Blank performance evaluation form from the company and a sample of female and minority evaluations that have been conducted.

Does the State have a method to notify OFCCP of contract compliance issues with EO 11246? If yes identify what type of reporting/tracking systems are used to evaluate the efforts of the contractor?

Yes. The Civil Rights Office (EEO Officer) conducts on-site EEO Contractor Compliance Reviews on selected Prime Contractors every year. During this review the Contractor is interviewed, records are reviewed (including all subcontracts & Form FHWA 1273) poster boards are analyzed and employee interviews are conducted. The MaineDOT EEO Officer is also a board member on the Prequalification Committee and is responsible for reviewing and approving all EEO policies and procedures for each Prime Contractor. If EEO/AA issues arise and resolution is not satisfactory MaineDOT would consult with FHWA and/or OFCCP for guidance. The Form FHWA 1392 Report also provides data to FHWA annually.

External Complaint Processing

Initial contact

The Director of Civil Rights Office and the EEO Officers serve as MaineDOT's resources for members of the public who wish to file a discrimination complaint under EEO and related statutes. As resources, they will provide complainants with:

1. An explanation of their filing options.
2. The discrimination complaint process.
3. EEO and Related Statutes Discrimination Complaint Form

Use of the complaint form is not necessary for the complaint. Rather, it is intended to help the complainant provide enough information to begin processing the complaint.

The Complaint Review Process

1. The Director or her/his designee, reviews the complaint upon receipt to ensure the relevant information is provided, the complaint is timely, and meets jurisdiction.
2. The complainant shall be investigated, unless:
 - The complaint is withdrawn
 - The complainant fails to provide required information
 - The complaint is filed beyond the 180-day timeframe
 - The complaint is determined to be more appropriate under a jurisdiction other than MaineDOT. If this is the case, the complainant will be directed to the appropriate agency. (FTA, FHWA, FAA, DOL)
3. Upon determination that the complaint warrants a MaineDOT investigation, the complainant is sent a letter, acknowledging receipt of the complaint, and giving the name of the investigator.
4. The respondent- the person alleged to have committed the discrimination is notified by mail that s/he has been named in a complaint. The letter also includes the investigator's name and informs the respondent that s/he will be contacted for an interview.

Filed complaints: MaineDOT received one (1) allegation of sexual harassment from a female employee of a contractor and no formal complaint has been filed. The employee has terminated her employment with that contractor however; MaineDOT has contacted the contractor to alert them of the allegation.

WORKFORCE TRAINING:

Has the state developed guidelines to select projects and determine how the number of trainees will be assigned?

Yes the following methodology is utilized by MaineDOT in selecting projects and determining the number of OJT trainees to be provided training:

- Dollar value of the federal-aid contract- 1000 OJT hrs /\$2.5 million dollars (based on estimate of labor costs minus materials (from specific MaineDOT, Project Manager)
- Duration of the contract (at least 6 months)
- Type of work (potential for effective training)
- Location of project (potential availability of workers)

Describe the State's process for reviewing the work classifications of trainees to determine that there is a proper and reasonable distribution among appropriate craft.

The MaineDOT, Civil Rights Office ensures that all trainees receive the benefit of appropriate training in the crafts that are needed within the contractor's scope of work, the project, as well as relating to the job classification the OJT will be classified under. The determination of such crafts and who would benefit from learning them has to do with the demands of the company and projects they will be trained on. The Prime Contractor must submit a "Letter of Intent" prior to hiring any OJT. The crafts should align with the OJT Program Manual, which is a living document. When there's a need or a request for a new craft element to be added, MaineDOT and Maine Department of Labor will determine the value & training needed for that craft and how to benchmark the trainee's progress. Monthly OJT on-site monitoring ensures that the OJT is receiving adequate training and allows for better communication between the OJT, the Contractor and the Civil Rights Office. The Civil Rights Office monitors and interviews each OJT on a monthly basis to establish and maintain a close working relationship which fosters a better understanding of how the specific OJT is doing and has more opportunity to prevent and/or resolve issues that may arise between the Contractor and the OJT.

Describe the State's procedures for identifying the number of women and minorities who have completed training programs.

MaineDOT submitted an OJT SS Statement of Work to FHWA which was approved in August, 2016. MaineDOT will submit quarterly reports, which will identify which trainees have graduated from their training programs. Proof of completion is based upon the weekly reporting done by the employer as well as the monthly monitoring interviews made by MaineDOT's EEO Officer. All individuals who complete their training programs will be sent a certificate of completion that is signed and dated by MaineDOT and the contractor that trained them. MaineDOT submits the annual Federal-Aid Highway Construction Contractors Annual EEO Report (Form FHWA 1392). All OJT training classifications are identified and included in that report.

MaineDOT will submit quarterly and annual reports to FHWA which will include OJT statistical data and required documentation on the number of women, minorities and/or disadvantaged that are working during peak season in July. MaineDOT trained a total of fourteen (14) woman, minorities & disadvantaged individuals which fell short by two (2) OJT's for the projected annual goal of sixteen (16). However, five (5) federal projects that were targeted for OJT hours were delayed until late September 2016 so those additional OJT's will be counted for next year. Seven (7) OJT's graduated and have been hired full time by their employers, one (1) OJT is on workers' compensation, two (2) OJT's were terminated and four (4) OJT's are currently working.

2015-2016 OJT Statistics:

| | |
|------------------------------|-----------|
| Number of Women: | 3 |
| Number of: Hispanics: | 1 |
| Number of Alaskan Natives: | 1 |
| Number Native Americans: | 1 |
| Number of African Americans: | 4 |
| Number of Disadvantaged: | 4 |
| Total: | 14 |

DISADVANTAGED BUSINESS ENTERPRISE PROGRAM:

The DBE Program is required by the Federal Highway Administration and administered by the Maine Department of Transportation. The DBE Program creates a level playing field for minority and women owned businesses competing for federally funded projects. It helps ensure non-discrimination and removes barriers when competing for federally administered contracts.

2015-2016 DBE Statistics:

| | | | |
|-------------------------------|--------------|-------------------|------------|
| Number of new certifications: | In-State: 9 | Out-of-State: 26 | Total- 34 |
| Number of Renewals: | In-State: 64 | Out-of-State: 109 | 173 |
| Number Removed: | In-State: 0 | Out-of-State: 0 | 0 |
| Number of Denials: | In-State: 0 | Out-of-State: 0 | 0 |
| | | | Total- 208 |

MAINEDOT FFY: 10-1-15-9-30-18 DBE GOAL= 2.0%

SUMMARY CONTRACTOR EMPLOYMENT DATA

The data from Maine Department of Transportation's Form FHWA 1392, Summary of Employment Data for all Maine Federal Aid projects has achieved 6.8% female employment and 9.22% minority employment within the reporting period for 2016.

Describe the State's procedure for insuring that contractors take action to affirmatively solicit the interest, capability, and prices of potential minority subcontractors.

As a race neutral state, MaineDOT is limited to a proactive effort. The State is tasked with educating the Prime Contractors regarding the availability of minority businesses through our DBE directory listing, announcements through quarterly Newsletters of our new DBE firms and their scope of work. Since Maine is a race neutral state all efforts would be on a pre-bid basis.

Validation of these efforts would show in our Subcontract approval documentation. A supportive services contract was approved by FHWA with Eastern Maine Development Corporation. EMDC provides quarterly reports to MaineDOT and final reports to FHWA. Their website is www.emdc.org

INNOVATIVE PROGRAMS:

Identify any innovative EEO programs or management procedures initiated by the State and not previously covered.

MaineDOT is reassessing its OJT-SS Program. After the loss of its long-time OJT SS consultant in December 2015, we have decided to limit the program to the FHWA allocation funding and streamline our services to focus on supporting those OJT's that are currently working on our construction contracts and to also use funding to better recruit quality candidates on projects in the 2017 construction season. We hope to support those individuals by offering training, providing equipment and support to break down barriers that many individuals face when working in construction. MaineDOT submitted an OJT SS Statement of Work to FHWA which was approved in August and will go forward in the upcoming fiscal year.

1. Construction Trades Education for advancement in highway construction trades including Commercial Driver's License (CDL) certification, Introduction to Heavy Equipment, Welding, Construction Math, and Introduction to Blue Print Reading which are integral in the success of the OJT SS candidate.
2. Provide training opportunities for remedial training such as English as a second language (ELS) and basic skills training.
3. Provide transportation vouchers/reimbursement for public transportation to and from the construction work site and approved education classes.
4. Provide vouchers for equipment and tools needed for specific training on the worksite.

STAFF TRAINING

Each year MaineDOT CRO staff provides training and information to our internal and external customers on what is necessary for compliance on our contracts. CRO also attends trainings to improve our skills and learn of new requirements and changes that may occur over the year.

Training Presented by Civil Rights Office:

October 20, 2015- Locally Administered Projects Training

January 5, 2016- MaineDOT/Maine Asphalt Paving Association Meeting – OJT discussion

January 29, 2016 Elations- Labor Compliance

April 7, 2016-ME Chapter of the American Public Works Assoc. Annual Meeting – ADA Presentation

April 21, 2016- MaineDOT Resident Engineer Training (Db, EEO, OJT, DBE, ADA & Title VI

April 28, 2016- Locally Administered Projects Training

June 14, 2016- On-The-Job-Training Presentation Lewiston Career Center

June 15, 2016- Sr. Manager's Meeting – Presented ADA Transition Plan Process

July 8, 2016- MaineDOT ADA Transition Team Summit Meeting 1

August 4, 2016- RPO ADA/HCL Training/Meeting

September 2, 2016 - MaineDOT ADA Transition Team Summit Meeting 2

Trainings Attended 2014-2015:

October 2, 2015- State Workforce Board meeting -Central Maine Commerce Center

October 22, 2015- Administrator's Beyond Traffic Roundtable with FHWA- Gregory G. Nadeau

October 22, 2015, FAA Uniform Forms & DBE Connect Training Webinar

November 3, 2015 FTA Reporting DBE Participation

November 9, 2016 National Summer Transportation Institute

November 9, 2015- Minority Serving Institutions (MSI) FHWA webinar

November 12, 2015 FTA Reporting DBE Participation

November 12, 2015 Pathways for People with Disabilities-Maine Department of Labor

November 18, 2015 TRB Webinar Current Practices to set a DBE Goal on Design Build

November 19-20, 2015- FHWA-NHI-142045 Pedestrian Facility Design course

November 30- December 2, 2015 DBE Academy

December 2, 2015- ADA General Requirements, Oversight and Monitoring.

FTA - ADA Circular Training in Webinar Series

December 7, 2015-Environmental Justice (EJ) and Title VI Data Collection & Analysis Webinar (Part 1)

January 20, 2016 ADA Webinar

January 25, 2016 - EJ and Title VI Data Collection and Analysis Part 2.

February 3, 2016- FTA ADA Circular Webinar 2 – The ADA and Paratransit

February 17, 2016- FTA ADA Webinar

February 22, 2016- TrAMS Training-DBE Reporting

February 25, 2016- Managing your FTA Civil Rights Programs 2

March 8, 2016- The Real Cost of DBE Fraud

March 8, 2016- Connecting Primes to DBE's

March 29, 2016- TrAMS Training- DBE Reporting

March 30, 2016- ADA Webinar

April 21, 2016- DBE Workshop at EMDC

April 26, 2016- How to Attract, Hire & Retain Workers

May 18, 2016- Moving E J Forward in Transportation Planning and Project Development

June 8, 2016- Central Maine Women's Business Networking Event

June 14, 2016- Having A Criminal Background-Maine Career Center

August 22-26, 2016- DBE Academy