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16. Abstract <p>The Kentucky Transportation Center gathered the appropriate information, performed a series of computations and analyses, prepared the attached documentation, and makes the following recommendations to the Kentucky Transportation Cabinet for their DBE goal for Federal Fiscal year 2004 (October 1, 2003 - September 30, 2004).</p> <p>KTC recommends an overall DBE goal of 9.26%, of which 1.931% is anticipated to be satisfied by race/gender neutral prime contracts, and the resultant 7.33% should be established as race/gender conscious subcontracts. The overall DBE goal figures stated here address an adjustment of 1.326% for the positive historical goal variance observed for the past eight years.</p>			
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**Research Report
KTC-03-27/FR129-031F**

Evaluation of Working Capacity for Disadvantaged Business
Enterprises (DBE) for Highway Construction
in Kentucky, Federal FY 2004 Update

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and

Federal Highway Administration
U.S. Department of Transportation

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August 2003

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I. Introduction

This report documents the recommendation being made by the Kentucky Transportation Center (KTC) on setting the Kentucky Transportation Cabinet (KyTC) goal for disadvantaged business enterprises (DBE) for Federal Fiscal year 2004 (October 1, 2003 - September 30, 2004).

KTC used the U.S. Department of Transportation (USDOT) recommended three-step procedure to develop these recommendations. The USDOT procedure guides state DOT's through the process of setting fair and equitable DBE goals in accordance with intent of 49 CFR Part 26 and also allows for the individual states to make adjustments for an individual state's situation. This guide is published on the USDOT's web page, titled *Tips For Goal-Setting in the Disadvantaged Business Enterprise (DBE) Program*, <http://osdbuweb.dot.gov/business/dbe/tips.html>.

49 CFR Part 26 is the pertinent federal regulation establishing state DBE programs for federally funded/assisted highway construction projects; therefore, only federal funded highway projects were considered, and state funded projects were excluded from consideration.

II. Methodology

To assist state department of transportation officials determine a fair and equitable DBE goal, the USDOT has published a guide, *Tips For Goal-Setting in the Disadvantaged Business Enterprise (DBE) Program*, to assist state DOT's in determining their DBE goals. This guide is straightforward and consistent with the intent of 49 CFR Part 26. The first of the three-step process establishes a baseline that considers the degree of representation of DBE firms in the state's competitive highway construction environment. The second step allows for adjustment of this baseline to accommodate situational differences that may occur from state to state, from year to year. The third step establishes race/gender-neutral and race/gender-conscious categories to give an indication on how the overall goal is best to be implemented and accomplished. These three goal-setting steps are discussed in further detail below.

Step-One (Base Figure):

Step One determines the percentage of DBE firms participating in Federally Funded Highway contracts. This percentage is calculated by dividing the number of DBE firms by the number of all firms that are deemed as ready, willing, and able to perform work on federally funded jobs. In order to determine this percentage for the Commonwealth of Kentucky, three sources of information was used. The first source of information, "*Disadvantaged Business Enterprise Certified and Prequalified Listing*" is the current KyTC list of DBE firms that are currently participating in the DBE program in the highway construction firm category. This list is available through the Division of Minority Affairs website, http://www.kytc.state.kv.us/OMA/PREQUALDBE_Directory.pdf. The second source, "*Prequalified Consultant List*" identifies all DBE and non-DBE professional services firms that currently participate in federally funded/assisted professional services contracts. This list is available through the Division of Professional Services website, <http://www.kytc.state.kv.us/proserv/>

prequalif.htm. The third source of information, “*Pre-qualified Contractor Listing*” identifies the total number of DBE and non-DBE firms participating in the overall highway construction program in Kentucky. This list may be found on the Division of Contract Procurement website, http://www.kytc.state.ky.us/procure/Prequal/Address_1.html

$$\text{Step-One Base Figure} = \frac{\text{Number of DBE's Ready, willing, and able}}{\text{Number of All firms ready, willing, and able (DBE's \& non-DBE's)}}$$

Considering the three categories of contracts for KyTC: Construction, Professional Services and Right-of-Way/Utilities, the formula becomes:

$$\frac{\text{DBE contractors \& subs}}{\text{contractors \& subs}} + \frac{\text{DBE consultants}}{\text{consultants}} + \frac{\text{DBE appraisers}}{\text{appraisers}} = \text{Base Figure}$$

$$(54/603 + 12/181 + 0/?) 100\% = (0.09 + 0.07 + 0.0) 100\% = 16.0\% = \text{Base Figure}$$

In the above equation, the “base figure” computation was limited to firms participating on the federally funded highway projects only. The contract amount dollars are not equally represented in each of the categories identified above, being mostly concentrated in the construction contract awards, and not represented at all in the Right-of-Way/Utilities categories. To ensure that the base figure represents actual spending, weighting factors by percent of total annual spending are used for each category. Annual spending volumes were obtained from the appropriate Transportation Cabinet officials in each category.

Category	Adjusted Annual Volume	%
Construction	\$ 339,980,923.00	84.42%
Professional Services	\$58,272,350.00	14.47%
Right-of-Way	\$4,465,855.00	1.11%
Total	\$402,719,128.00	100.00%

The resultant 84.42% of federal funds for state fiscal year 2003 were dedicated to the construction program contracts, 14.47% were dedicated to the professional services contracts, and the remaining 1.11% was dedicated to Right-of-Way/Utilities. However, there were no DBE firms participating, nor prequalified, on federally funded highway projects from the Right-of-Way/Utilities category. There are several firms that could be DBE eligible, but have not chosen to apply for prequalification for DBE status. Therefore, the weight base figure becomes:

$$\begin{aligned} \text{Weighted Base Figure} &= (84.42\%)(.09) + (14.47\%)(.07) + (1.11\%)(0.0) \\ &= 7.60 + 1.01 + 0.0 = 8.61\% \end{aligned}$$

Based on information available from the Division of Minority Affairs, no prequalified DBE firms will be graduated from the DBE program for Federal Fiscal Year 2004. Therefore, the above weighted base figure should require further adjustment in Step One.

Step Two (Adjustments):

Step Two focuses on considerations given to conditions that would suggest adjusting the step one weighted base figure. KTC has found that not all of the possible adjustments outlined in USDOT's guide are appropriate at this time.

For example, in the past year's reporting to USDOT, the Commonwealth of Kentucky, citing the preliminary findings of a disparity study commissioned by the Governor's Office of Minority Affairs and finding no other conclusive evidence demonstrating discrimination on opportunities for DBE firms, made no adjustment to the weighted base figure for disparity.

An adjustment is, however warranted from the consideration of the historical working capacity of the DBE firms participating in the program. Table one in Appendix A displays a summary of the DBE firms' working capacity from Federal Fiscal years 1995 to 2002. Table one summarizes the Federal Highway Administration's 1405 reports provided by the Division of Minority Affairs (Appendix B).

In past investigations of contractor work records, several clarifications of information contained in the 1405 reports was made that did impact the setting the overall DBE goal. KTC report 99-54 "*Procedures for Determining a Working Capacity for Disadvantaged Business Enterprises (DBE) for Highway Construction and Consulting Projects in Kentucky*", and KTC report 00-15 "*Evaluation of Working Capacity for Disadvantaged Business Enterprises (DBE) for Highway Construction in Kentucky, FY 2001 Update*" document such adjustments.

The USDOT guide does suggest adjustment of the Step One weighted Base Figure to accommodate the actual DBE firms' historical working capacity. The method suggested averages the Step One weighted Base Figure with the median of the historical working capacity expressed as a percentage. Table one (Appendix A) indicates the median of the historical working capacity for the past eight years is 12.57%. The following equation using the Step One weighted Base Figure and the median of the historical DBE working capacity to arrive at an adjusted DBE goal of 10.59% for the Federal Fiscal year 2004.

$$\text{Adjusted DBE Goal} = \frac{\text{Weighted base figure} + \text{Median of the historical DBE working Capacity}}{2}$$

$$= \frac{8.61 + 12.57}{2} = 10.59\%$$

Step-Three (race/gender-neutral and race/gender-conscious):

Step-Three procedures set race/gender-neutral and race/gender-conscious categories. 49 CFR Part 26 stipulates that the state's DBE overall goal be satisfied first by race/gender neutral participation and if not sufficient, then by race/gender conscious participation. The USDOT guide specifies the race/gender-conscious goal to be the Adjusted DBE Goal from Step Two minus the historical median of the race/gender-neutral participation percentage. In this case, a median value of 1.931% of the Adjusted DBE Goal would be performed by race/gender-neutral participation, and

the remaining 9.03% would be performed by race/gender-conscious participation.

Adjusted DBE Goal = Race/gender-neutral + Race/gender-conscious participation

Race/gender-conscious participation = Adjusted DBE Goal – Race/gender-neutral

$$= 10.59 - 1.931 = 8.66\%$$

Table one (Appendix A) further indicates that over the past eight years the DBE firms' historical awards for the contracts/subcontracts have exceeded the race/gender conscious goals. The positive variance is 1.326% of the total of race/gender-neutral and race/gender conscious awards.

Adjusted race/gender-conscious participation goal = 8.66 – 1.326 = 7.33%

III. Suggestions

Historical data has demonstrated that KyTC has done a very creditable job in setting and attaining a fair and equitable DBE Goal. In order for KTC to be able assist KyTC and to add even more value to future analyses of the DBE participation in the federally funded/assisted highway construction program, KTC offers the following suggestions:

1. Additional DBE participation information be collected, in particular, competitive subcontracting information. Currently, no data was found to be available on DBE subcontract awards determined by straight up competition. This information is a key indicator to evaluate the fairness and effectiveness of the KyTC DBE goal setting. Evaluation of this information should lead to the desired result of growing the race neutral/gender category, graduating DBE primes and subs, providing competitive and qualified DBE contractor/subcontractor resources, and ultimately creating a competitive race/gender-blind environment in bidding.
2. To be able to better evaluate and adjust KyTC resources, a subcontract database would be a source of more and complete information for determining future DBE goals, in particular, the race/gender neutral versus conscious category distinction. This could be a web-based information tool resident at KTC, if desired.
3. To be able to respond to KyTC requests for future evaluations as contained in this report in a timely manner, KTC offers a time-lined approach to the evaluation, review and submittal of recommendations, and publication of results. If the evaluation were to be an on-going annual request, KTC could gather information throughout the year, start report preparation in May/June timeframe, have more interaction with key KyTC personnel, and provide a more in-depth evaluation and investigation.
4. If provided with additional time, the report/recommendations could include additional features and services of value and time-savings to KyTC.

5. KTC remains open to expansion of their participation and role in the process of helping KyTC prepare their DBE Goal.

IV. Conclusions and Recommendations

The Kentucky Transportation Center gathered the appropriate information, performed a series of computations and analyses, prepared the attached documentation, and makes the following recommendations to the Kentucky Transportation Cabinet for their DBE goal for Federal Fiscal year 2004 (October 1, 2003 - September 30, 2004).

KTC recommends an overall DBE goal of 9.26%, of which 1.931% is anticipated to be satisfied by race/gender neutral prime contracts, and the resultant 7.33% should be set aside as race/gender conscious subcontracts. The overall DBE goal figures stated here addresses an adjustment of 1.326% for the positive historical goal variance observed for the past eight years.

KTC offers no further recommendations on adjustments based upon the information available and the U.S. Department of Transportation recommended three-step procedure to develop these recommendations. KyTC may wish to make further adjustments based on other information, policy, etc., that are beyond the scope and limitations of this report.

APPENDIX A

Federal Fiscal Year	1995 10/94 - 9/95	1996 10/95 - 9/96	1997 10/96 - 9/97	1998 10/97 - 9/98	1999 10/98 - 9/99	2000 10/99 - 9/00	2001 10/00 - 9/01	2002 10/01 - 9/02	Total 1995-2002	Average of Total '95-'02	Median values of Total '95-'02
Total Award Amount (1405 reports)	\$ 186,165,433	\$ 129,373,295	\$ 284,497,471	\$ 298,285,625	\$ 299,556,594	\$ 353,341,707	\$ 398,784,783	\$ 280,242,132	\$ 2,228,247,040		\$ 290,391,548
MBE Prime	\$ 7,509,600	\$ 1,775,271	\$ -	\$ 14,633,014	\$ 446,121	\$ 1,231,501	\$ 1,069,846	\$ 424,030	\$ 27,089,383	1.2%	
MBE Sub	\$ 9,778,246	\$ 8,177,836	\$ 12,145,739	\$ 13,003,637	\$ 10,655,034	\$ 7,608,641	\$ 7,974,865	\$ 7,658,853	\$ 77,002,851	3.5%	
MWBE Prime	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.0%	
MWBE Sub	\$ 275,902	\$ 410,049	\$ 1,586,738	\$ 56,770	\$ 2,082,067	\$ 4,630,670	\$ 400,623	\$ -	\$ 9,442,819	0.4%	
WBE Prime	\$ 7,577,088	\$ 514,438	\$ 12,081,424	\$ 17,010,227	\$ 5,118,147	\$ 4,416,578	\$ 3,360,327	\$ 516,735	\$ 50,594,964	2.3%	
WBE Sub	\$ 13,535,867	\$ 7,986,360	\$ 30,654,711	\$ 16,120,026	\$ 19,862,690	\$ 22,629,519	\$ 24,982,480	\$ 19,913,825	\$ 155,685,478	7.0%	
Federal Fiscal Year	1995 10/94 - 9/95	1996 10/95 - 9/96	1997 10/96 - 9/97	1998 10/97 - 9/98	1999 10/98 - 9/99	2000 10/99 - 9/00	2001 10/00 - 9/01	2002 10/01 - 9/02	Total 1995-2002	Average of Total '95-'02	Median values of Total '95-'02
Total DBE Prime Work (race neutral only)	\$ 15,086,688	\$ 2,289,709	\$ 12,081,424	\$ 31,643,241	\$ 5,564,268	\$ 5,648,079	\$ 4,430,173	\$ 940,765	\$ 77,684,347		\$ 5,606,174
% of Total Award	8.1%	1.8%	4.2%	10.7%	1.9%	1.6%	1.1%	0.3%		3.7%	1.931%
Total DBE Sub Work	\$ 23,590,015	\$ 16,574,245	\$ 44,387,188	\$ 29,180,433	\$ 32,599,791	\$ 34,868,830	\$ 33,357,968	\$ 27,572,678	\$ 242,131,148		\$ 30,890,112
% of Total Award	12.7%	12.8%	15.6%	9.8%	10.9%	9.9%	8.4%	9.8%		11.2%	10.64%
Total DBE Work (\$)	\$ 38,676,703	\$ 18,863,954	\$ 56,468,612	\$ 60,823,674	\$ 38,164,059	\$ 40,516,909	\$ 37,788,141	\$ 28,513,443	\$ 319,815,495		
% of Total Award	20.8%	14.6%	19.8%	20.5%	12.7%	11.5%	9.5%	10.2%		14.9%	12.57%
Annual DBE Goal	\$ 21,409,025	\$ 14,877,929	\$ 32,717,209	\$ 34,072,847	\$ 34,449,008	\$ 40,634,296	\$ 43,866,326	\$ 30,826,635	\$ 252,853,275		
% of Total Award	11.5%	11.5%	11.5%	11.5%	11.5%	11.5%	11.0%	11.0%		11.4%	11.5%
Amount of Total Work achieved by race/gender-neutral (\$)	\$ 17,267,678	\$ 3,986,025	\$ 23,751,403	\$ 31,643,241	\$ 5,564,268	\$ 5,648,079	\$ 4,430,173	\$ 940,765	\$ 93,231,632		
Amount of Total Work achieved by race/gender-neutral (%)	9.3%	3.1%	8.3%	10.7%	1.9%	1.6%	1.1%	0.3%		4.5%	2.5%
Amount of Total Work achieved by race/gender-conscious (\$)	\$ 21,409,025	\$ 14,877,929	\$ 32,717,209	\$ 29,180,433	\$ 32,599,791	\$ 34,868,830	\$ 33,357,968	\$ 27,572,678	\$ 226,583,863		
Amount of Total Work achieved by race/gender-conscious (%)	11.5%	11.5%	11.5%	9.8%	10.9%	9.9%	8.4%	9.8%		10.4%	10.4%
Variance \$	\$ 17,267,678	\$ 3,986,025	\$ 23,751,403	\$ 26,750,827	\$ 3,715,051	\$ (117,387)	\$ (6,078,185)	\$ (2,313,192)	\$ 66,962,220	\$ 8,370,277.50	\$ 3,850,537.88
Variance % of Goal	80.7%	26.8%	72.6%	78.5%	10.8%	-0.3%	-13.9%	-7.5%		31.0%	18.8%
Variance % of Total Award	9.3%	3.1%	8.3%	9.0%	1.2%	0.0%	-1.5%	-0.8%		3.6%	1.326%

FY-96 (\$1,775,271) MBE prime adjustment for Matsuda Inc. projects STPS 8267 (4) and STP 41-2 (4), omitted on FHWA 1405's. Adjust premenate work work by conservative 80% Fed. funding 20% state funding.

FY-97 (\$5,612,858) WBE prime adjustment for H & G Inc. and Spartan Inc., omitted on FHWA 1405's. Adjust premenate work work by conservative 80% Fed. funding 20% state funding.

FY-98 (\$1,266,880) MBE prime adjustment for Unilcustom Inc., omitted on FHWA 1405's. Adjust premenate work work by conservative 80% Fed. funding 20% state funding.

FY-01 (\$152,416) MWBE sub amount 3rd. Quarter 1405 report. Amount left out of total amount for year

APPENDIX B

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA | 4. Name of Recipient: Ky Transp Cabinet | 7. Annual DBE Goal: 11.50 %
 2. Fiscal Year: '94-'95 | 5. Address: 501 High Street | 8.
 3. Quarter: First | 6. City/State/Zip: Frankfort, KY 40622

9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number 25 (b) \$ Value 65,165,808.0

	MBE		MWBE		WWBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	0	0	0	0	2	4,271,516.
11. DBE subcontracts- procurements awarded this quarter	3	3,255,678.37	0	0	30	4,395,517.
12. Subcontracting- procurement commitments to DBEs this quarter	3	3,255,678.37	0	0	30	4,395,517.

13. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	3	0	0	0	0	0	3
\$ Value	3,255,678.37	0	0	0	0	0	3,255,678

14. Number of DBE-prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WWBE
a. Professional/Consultant Services:			
(1) Engineering			1
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage			6
(2) Paving			0
(3) Structures/Buildings			3
(4) Materials			6
(5) Equipment			0
(6) Trussing			0
(7) Traffic Control			0
(8) Landscaping			10
(9) Other	2		6
c. Supplies:			
(1) Fuel *	1		
(2) Other *			
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	3	0	32

* Not Applicable to FHWA

MBE Participation This Quarter	\$ 3,255,678.37	or	5.0%
WBE Participation This Quarter	8,667,033.60	or	13.30%
DBE Participation This Quarter	11,922,711.97	or	18.30%

**U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments**

Administration: **FHWA** 4. Name of Recipient: **KY. TRANSPORTATION CABINET**, Annual DBE Goal **11.50 %**
 Fiscal Year: **1995** 5. Address: **501 HIGH STREET** 6.
 Quarter: **SECOND** 6. City/State/Zip: **FRANKFORT, KY 40601**

1. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number **25** (b) \$ Value **27,338,758.19**

	MBE		MWBE		WVBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	-0-	-0-			-0-	-0-
11. DBE subcontract- procurements awarded this quarter	6	1,248,067.74	1	121,320.16	30	1,917,182.0
12. Subcontracting-procurement commitments to DBEs this quarter						

13. MBE-DBE prime and subcontract-procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	6	-0-	1	-0-	1	-0-	8
\$ Value	592,438.74	-0-	47,382.76	-0-	729,566.40	-0-	1,369,387.9

14. Number of DBE prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WVBE
a. Professional / Consultant Services:			
(1) Engineering			
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			1
(5) Other			
b. Construction:			
(1) Grading & Drainage	3		1
(2) Paving	1		
(3) Structures/Buildings	1		
(4) Materials		1	11
(5) Equipment			
(6) Trucking			
(7) Traffic Control			
(8) Landscaping			6
(9) Other	2		11
c. Supplies:			
(1) Fuel *			
(2) Other *			
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other:			
TOTAL	7	1	30

* Not Applicable to FHWA

MBE Participation This Quarter	5.01%	Year To Date	5.00%
WBE Participation This Quarter	7.01%	Year To Date	11.44%
DBE Participation This Quarter	12.02%	Year To Date	16.44%

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. Name of Recipient: KY Trans. Cabinet	7. Annual DBE Goal: 11.50 %
2. Fiscal Year: 1995	5. Address: 501 E. High Street	8.
3. Quarter: THIRD	6. City/State/Zip: FRANKFORT, KY 40622	
9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number 33		(b) \$ Value 30,927,356.48

	MBE		MWBE		WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	0	0	0	0	3	\$204,353.60
11. DBE subcontracts- procurements awarded this quarter	7	\$3,291,852.93	1	\$20,277.54	16	\$1,203,979.1
12. Subcontracting-procurement commitments to DBEs this quarter	7	\$3,291,852.93	1	\$20,277.54	16	\$1,203,979.1

13. MBE-DBE prime and subcontract-procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	1	0	0	1	5	0	7
\$ Value	20,277.54	0	0	33,690.60	3,158,162.33	0	\$3,312,130.

14. Number of DBE prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WBE
a. Professional / Consultant Services:			5
(1) Engineering			
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction:			3
(1) Grading & Drainage	3		
(2) Paving			
(3) Structures/Buildings	2		2
(4) Materials		1	5
(5) Equipment			
(6) Trucking			
(7) Traffic Control			
(8) Landscaping			4
(9) Other			2
c. Supplies:			
(1) Fuel *			
(2) Other *	1		
d. Equipments:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	6	1	19

* Not Applicable to FHWA

	This Quarter	Y-T-D
MBE	10.71	6.73
WBE	4.55	9.71
DBE	15.26	17.44

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. Name of Recipient: KY TRANSPORTATION CABINET	7. Annual DBE Goal: 11.50 %
2. Fiscal Year: 1995	5. Address: 501 E. High Street	8.
3. Quarter: Fourth	6. City/State/Zip: Frankfort, KY 40622	

9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number 45 (b) \$ Value 62,733,510.45

	MBE		MWBE		WWBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	1	7,509,600.00	0	0	2	3,101,218.00
11. DBE subcontracts- procurements awarded this quarter	6	1,982,647.05	2	34,304.07	60	6,019,187.50
12. Subcontracting- procurement commitments to DBEs this quarter						

13. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	2	1	0	1	5	0	9
\$ Value	73,523.65	132,257.70	0	1,330,256.72	8,090,513.05	0	9,626,551.12

14. Number of DBE prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WWBE
a. Professional / Consultant Services			
(1) Engineering			4
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			1
(5) Other			
b. Construction			
(1) Grading & Drainage	4	1	10
(2) Paving			
(3) Structures/Buildings	2		6
(4) Materials			2
(5) Equipment			
(6) Trucking			2
(7) Traffic Control			2
(8) Landscaping			10
(9) Other	1		16
c. Supplies			
(1) Fuel *			
(2) Other *		1	9
d. Equipment			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	7	2	62

* Not Applicable to FHWA.

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. Name of Recipient: KY Transportation	7. Annual DBE Goal: 11.5%
2. Fiscal Year: 1996*	5. Address: 501 High Street	8.
3. Quarter: FIRST	6. City/State/Zip: Frankfort KY 40622	
9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number <u>36</u> (b) \$ Value <u>\$65,628,973.14</u>		

	MBE		MWBE		WVBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	- 0 -	- 0 -	- 0 -	- 0 -	2	204,302.40
11. DBE subcontracts- procurements awarded this quarter	10	4,152,320.98	1	7,280.59	39	3,738,745.21
12. Subcontracting-procurement commitments to DBEs this quarter						

13. MBE-DBE prime and subcontract-procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	8	- 0 -	- 0 -	1	1	- 0 -	10
\$ Value	4,054,783.78	- 0 -	- 0 -	85,575.60	11,961.60	- 0 -	4,152,320.98

14. Number of DBE prime and subcontract-awards by type of work

Type of Work	MBE	MWBE	WVBE
a. Professional / Consultant Services:			
(1) Engineering			2
(2) Architectural			
(3) Accounting			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage			
(2) Paving			
(3) Structures/Buildings	5		12
(4) Materials	4	1	11
(5) Equipment			
(6) Trucking			2
(7) Traffic Control			6
(8) Landscaping			8
(9) Other			
c. Supplies:			
(1) Fuel			
(2) Other			
d. Equipment:			
(1) Leasing			
(2) Purchase			
(3) Other			
e. Other:			
TOTAL	9	1	41

* Not Applicable to FHWA
 MBE Participation This Quarter \$4,152,320.98 or 6.17%
 DBE Participation This Quarter 8,095,368.59 or 12.02%
 WBE Participation This Quarter 3,042,047.61 or 4.63%

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. Name of Recipient: KY TRANSPORTATION	7. Annual DBE Goal: 11.50%					
2. Fiscal Year: 1996	5. Address: 501 HIGH STREET	8.					
3. Quarter: SECOND	6. City/State/Zip: FRANKFORT KY 40622						
9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number: 39 (b) \$ Value: 38,999,666.00							
	MBE		MWBE		WMBE		
	Number	\$ Value	Number	\$ Value	Number	\$ Value	
10. DBE prime contracts- procurements awarded this quarter		0		0	1	310,136.00	
11. DBE subcontracts- procurements awarded this quarter	13	2,709,506.00		0	37	2,780,480.00	
12. Subcontracting-procurement commitments to DBEs this quarter	13	2,709,506.00		0	37	2,780,480.00	
13. MBE-DBE prime and subcontract-procurement awards by ethnic group:							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	7		2		4		13
\$ Value	902,414.00	0	136,243.00	0	1,670,849.00	0	2,709,506.00
14. Number of DBE-prime and subcontract-awards by type of work:							
Type of Work	MBE	MWBE	WMBE				
a. Professional / Consultant Services:							
(1) Engineering							
(2) Architectural							
(3) Accounting *							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage	5			3			
(2) Paving	1						
(3) Structures/Bridges	5			4			
(4) Materials	1			5			
(5) Equipment							
(6) Trucking	1						
(7) Traffic Control							
(8) Landscaping					16		
(9) Other					10		
c. Supplies:							
(1) Fuel *							
(2) Other *							
d. Equipment:							
(1) Leasing *							
(2) Purchase *							
(3) Other *							
e. Other *							
TOTAL	13			0	38		

* Not Applicable to FHWA

THIS QUARTER
WBE 7.92%
MBE 6.94%
DBE 14.86%

YEAR TO DATE
6.53%
6.56%
13.09%

**U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments**

Administration: FHWA	4. Name of Recipient: KY Transportation	7. Annual DBE Goal: 11.50 %
8. Fiscal Year: 1996	5. Address: 501 High Street	6.
9. Quarter: Third	5-City/State/Zip: Frankfort, KY 40622	
3. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number <u>40</u> (b) \$ Value <u>12,998,070.71</u>		

	MBE		MWBE		WVBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts/procurements awarded this quarter						
11. DBE subcontracts/procurements awarded this quarter	9	818,152.57	2	58,090.40	24	823,756.18
12. Subcontracting/procurement commitments to DBEs this quarter	9	818,152.57	2	58,090.40	24	823,756.18

13. MBE-DBE prime and subcontract/procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	6		2		1		9
\$ Value	254,406.40	- 0 -	58,090.40	- 0 -	563,746.17	- 0 -	876,242.97

14. Number of DBE-prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WVBE
a. Professional / Consulting Services			
(1) Engineering	1		
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction			
(1) Grading & Drainage	5	2	2
(2) Paving			
(3) Structures/Bridges			
(4) Materials			1
(5) Equipment			
(6) Trucking	1		1
(7) Traffic Control			
(8) Landscaping			12
(9) Other			8
c. Supplies			
(1) Fuel *			
(2) Other *			
d. Equipment			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	7	2	24

* Not Applicable to FHWA	THIS QUARTER	YEAR TO DATE
	WBE 6.34	WBE 6.60
	MBE 6.74	MBE 6.44
	TOTAL 13.08	TOTAL 13.04

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. Name of Recipient: KY TRANSPORTATION	7. Annual DBE Goal: 11.5%
2. Fiscal Year: 1996	5. Address: 501 HIGH STREET	8.
3. Quarter: FOURTH	6. City/State/Zip: FRANKFORT KY 40622	

9. Total prime contracts/procurements awarded this quarter to all contractors: (A) Number 31 (B) \$ Value 11,746,584.76

	MBE		M.WBE		W.WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter						
11. DBE subcontracts- procurements awarded this quarter	5	497,856.20	1	344,678.40	17	643,379.04
12. Subcontracting- procurement commitments to DBEs this quarter	5	497,856.20	1	344,678.40	17	643,379.04

13. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	2			1	2		5
\$ Value	218,915.00			307,970.84	14,753.36		497,856.20

14. Number of DBE prime and subcontract-awards by type of work:

Type of Work	MBE	M.WBE	W.WBE
a. Professional/Consultant Services:			
(1) Engineering			1
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage	1		
(2) Paving			1
(3) Structures/Buildings	3	1	3
(4) Materials			2
(5) Equipment			
(6) Trucking			
(7) Traffic Control			1
(8) Landscaping			2
(9) Other	1		2
c. Support:			
(1) Fuel *			
(2) Other *			
d. Equipments:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	5	1	17

* Not Applicable to FHWA

DBE THIS QUARTER	13.01%	DBE YEAR TO DATE	13.06%
WBE	5.84%	WBE	6.54%
W/MBE	4.24%	MBE	6.52%
MBE	2.93%		

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

Administration:	4. Name of Recipient: KY Transportation	7. Annual DBE Goal: 11.5 %
Fiscal Year: 2000	5. Address: 501 High Street	8.
Quarter: FIRST	6. City/State/Zip: Frankfort, KY 40622	

Total prime contracts/procurements awarded this quarter to all contractors: (a) Number 49 (b) \$ Value 101,482,670.99

	MBE		M/WBE		W/WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
3. DBE prime contracts- procurements awarded this quarter						
1. DBE subcontract- procurements awarded this quarter	10	1,808,396.88	5	921,009.05	56	18,749,777.75
2. Subcontracting- procurements commitments to DBEs this quarter	10	1,808,396.88	5	921,009.05	56	18,749,777.75

1. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	8	-0-	-0-	-0-	2	-0-	10
Value	1,699,032.32	-0-	-0-	-0-	54,686.78	-0-	1,808,396.88

2. Number of DBE-prime and subcontract-awards by type of work:

Type of Work	MBE	M/WBE	W/WBE
a. Professional / Consultant Services			
(1) Engineering		1	1
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other Insurance-Bonding		1	1
b. Construction:			
(1) Grading & Drainage	4	1	14
(2) Paving			
(3) Structures/Buildings	2		3
(4) Materials		2	13
(5) Equipment			
(6) Trucking			2
(7) Traffic Control	1		
(8) Landscaping			16
(9) Other	3		6
c. Supplies:			
(1) Fuel *			
(2) Other *			
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	10	5	56

DBE Applications to FTA

DBE	21.17%
WBE	18.48%
M/WBE	0.91%

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA | 4. Name of Recipient: KY TRANSPORTATION CABINET | 7. Annual DBE Goal: 11.5%
 2. Fiscal Year: 1997 | 5. Address: 501 E HIGH STREET | 8.
 3. Quarter: SECOND 1997 | 6. City/State/Zip: FRANKFORT KY

9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number: 122 (b) \$ Value: 117,524,211.60

	MBE		MWBE		WVBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	0	0	0	0	5	1,368,697.41
11. DBE subcontracts- procurements awarded this quarter	12	6,849,745.53	2	611,353.52	61	8,289,899.51
12. Subcontracting- procurements commitments to DBEs this quarter	12	6,849,745.53	2	611,353.52	61	8,289,899.51

13. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	8	1	0	0	3	0	12
\$ Value	4,265,328.60	226,707.67	0	0	2,357,709.26	0	6,849,745.53

14. Number of DBE prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WVBE
a. Professional / Consultant Services:			
(1) Engineering			5
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage	4		11
(2) Paving			
(3) Structures/Buildings	3		11
(4) Materials			7
(5) Equipment			
(6) Trucking			5
(7) Traffic Control	2		
(8) Landscaping			13
(9) Other	2		13
c. Suppliers:			
(1) Fuel *			
(2) Other *	1	2	1
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other:			
TOTAL	12	2	66

* Not Applicable to FHWA

DBE	14.57	MWBE	0.52
WBE	8.22	MDBE	5.83

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: **FBWA** | 4. Name of Recipient: **KY TRANSPORTATION** | 7. Annual DBE Goal: **11.5 %**
 2. Fiscal Year: | 5. Address: **501 HIGH STREET** | 8.
 3. Quarter: **THIRD** | 6. City/State/Zip: **FRANKFORT, KY 40622**

9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number **48** (b) \$ Value **\$48,971,075.73**

	MBE		M.WBE		W.WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. OBE prime contracts- procurements awarded this quarter	-0-	-0-	-0-	-0-	5	3,634,390.89
11. OBE subcontracts- procurements awarded this quarter	11	3,420,084.14	-0-	-0-	48	2,450,774.33
12. Subcontracting- procurement commitments to OBEs this quarter	11	3,420,084.14	-0-	-0-	48	2,450,774.33

13. MBE-DBE prime and subcontract- procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other	TOTAL
Number	5	-0-	1	-0-	5	-0-	11
\$ Value	1,449,822.15	-0-	4,245.52	-0-	1,966,016.47	-0-	3,420,084.14

14. Number of DBE-prime and subcontract-awards by type of work:

Type of Work	MBE	M.WBE	W.WBE
a. Professional / Consultant Services:			
(1) Engineering		0	6
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage	7		10
(2) Paving			
(3) Structures/Buldings	4		3
(4) Materials			1
(5) Equipment			
(6) Trucking			18
(7) Traffic Control			
(8) Landscaping			
(9) Other			7
c. Supplies:			
(1) Fuel *			
(2) Other *			8
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other *			
TOTAL	11	0	53

* Not Applicable to FBWA

DBE this quarter 19.41 %
 Year to Date 15.36 %

U.S. Department of Transportation
Quarterly Report of DBE Awards and Commitments

1. Administration: **FHWA** | 4. Name of Recipient: **Transportation Cabinet** | 7. Annual DBE Goal: **11.50 %**
 2. Fiscal Year: **1997** | 5. Address: **501 High Street** | 8.
 3. Quarter: **4th** | 6. City/State/Zip: **Frankfort, KY 40622**

9. Total prime contracts/procurements awarded this quarter to all contractors: (a) Number **275** (b) \$ Value **16,519,512.**

	MBE		MWBE		WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. DBE prime contracts- procurements awarded this quarter	-- 0 --	-- 0 --	-- 0 --	-- 0 --	5	1,465,477
11. DBE subcontracts- procurements awarded this quarter	2	67,512.00	2	54,375.83	23	1,164,259
12. Subcontracting-procurement commitments to DBEs this quarter	2	67,512.00	2	54,375.83	23	1,164,259

13. MBE-DBE prime and subcontract-procurement awards by ethnic group:

	Black American	Hispanic American	Native American	Asian-Indian - American	Asian-Pacific American	Other	TOTAL
Number	-- 0 --	-- 0 --	-- 0 --	-- 0 --	2	-- 0 --	2
\$ Value	-- 0 --	-- 0 --	-- 0 --	-- 0 --	67,512.00	-- 0 --	67,512.00

14. Number of DBE-prime and subcontract-awards by type of work:

Type of Work	MBE	MWBE	WBE
a. Professional / Consultant Services:			
(1) Engineering			2
(2) Architectural			
(3) Accounting *			
(4) Right-of-Way			
(5) Other			1
b. Construction:			
(1) Grading & Drainage			6
(2) Paving			
(3) Structures/Buildings	2		2
(4) Materials		2	7
(5) Equipment			1
(6) Trucking			
(7) Traffic Control			
(8) Landscaping			1
(9) Other			2
c. Supplies:			
(1) Fuel *			
(2) Other *			
d. Equipment:			
(1) Leasing *			
(2) Purchase *			
(3) Other *			
e. Other:			
TOTAL	2	2	28

* Not Applicable to FHWA

MBE	0.41%	4.79%
MWBE	0.33%	0.56%
WBE	15.92%	13.05%
DBE	16.66%	18.40%

M/WDBE Participation

1998

~~Quarterly Report~~

	First Quarter (OCT,NOV,DEC.)	Second Quarter (JAN,FEB,MAR.)	Third Quarter (APR,MAY,JUNE)	Fourth Quarter (JULY,AUG,SEPT.)	Year To Date (END OF FY)
Total \$ Awards	119,680,984.32	46,087,673.00	27,939,785.00	102,577,183.06	✓ 296,285,625.38
Total DBE \$ Awards	21,835,065.46	7,667,485.00	5,810,276.00	24,210,828.33	59,523,654.79
% DBE Subcontracts	18.24%	16.64%	20.80%	23.60%	20.09%
WBE:					
PRIME	3,708,925.88	2,612,888.00	1,077,534.00	9,610,879.25	✓ 17,010,227.13
SUB	<u>4,303,061.15</u>	<u>2,806,993.00</u>	<u>1,964,144.00</u>	<u>7,045,828.00</u>	<u>✓ 16,120,026.15</u>
NBE \$	8,011,987.03	5,419,881.00	3,041,678.00	16,656,707.25	33,130,253.28
% WBE	6.69%	11.76%	10.89%	16.24%	11.18%
MBE:					
PRIME	6,152,708.86	0.00	1,528,659.00	5,684,766.49	13,366,134.35
SUB	<u>7,670,369.57</u>	<u>2,225,581.00</u>	<u>1,239,939.00</u>	<u>1,867,747.91</u>	<u>✓ 13,003,637.48</u>
NBE \$	13,823,078.43	2,225,581.00	2,768,598.00	7,552,514.40	26,369,771.83
% MBE	11.55%	4.83%	9.91%	7.36%	8.90%
AFR. AMER.:					
PRIME	0.00	0.00	0.00	0.00	0.00
SUB	<u>6,693,493.87</u>	<u>1,404,748.00</u>	<u>155,186.00</u>	<u>257,900.06</u>	<u>8,511,327.93</u>
African-American \$	6,693,493.87	1,404,748.00	155,186.00	257,900.06	8,511,327.93
% African American	5.59%	3.05%	0.56%	0.25%	2.87%
HISPANIC:					
PRIME	0.00	0.00	0.00	0.00	0.00
SUB	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Hispanics \$	0.00	0.00	0.00	0.00	0.00
% Hispanic	0.00%	0.00%	0.00%	0.00%	0.00%
ASIAN PACIFIC:					
PRIME	4,727,469.04	0.00	1,528,659.00	5,684,766.49	11,940,894.53
SUB	<u>976,875.70</u>	<u>820,833.00</u>	<u>304,714.00</u>	<u>1,609,847.85</u>	<u>3,712,270.55</u>
Asian-Pacific American \$	5,704,344.74	820,833.00	1,833,373.00	7,294,614.34	15,653,165.08
% Asian Pacific American	4.77%	1.78%	6.56%	7.11%	5.28%
ASIAN INDIAN AMER.:					
PRIME	1,425,239.82	0.00	0.00	0.00	1,425,239.82
SUB	<u>0.00</u>	<u>0.00</u>	<u>780,039.00</u>	<u>0.00</u>	<u>780,039.00</u>
Asian-Indian American \$	1,425,239.82	0.00	780,039.00	0.00	2,205,278.82
% Asian-Indian American	1.19%	0.00%	2.79%	0.00%	0.74%
NATIVE AMERICAN:					
PRIME	0.00	0.00	0.00	0.00	0.00
SUB	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Native American \$	0.00	0.00	0.00	0.00	0.00
% Native American	0.00%	0.00%	0.00%	0.00%	0.00%
Other	0.00	0.00	0.00	0.00	0.00
M/WBE	21,238.23	22,023.00	0.00	13,508.92	✓ 56,770.15
% M/WBE	0.02%	0.05%	0.00%	0.01%	0.02%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. State: Kentucky	7. Annual DBE Goal: 11.50
2. Fiscal Year: 1999	5. Address: 501 High Street	8. % Percent Achieved this Quarter:
3. Quarter: 1st	6. City/State/Zip: Frankfort, Kentucky 40622	11.8%

9. Total prime contracts/procurement awarded this quarter to all contractors:	9.(a) Number		9.(b) Value			
	339		\$39,173,737.00			
	a. DBE		b. MWBE		c. W/WBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts-procurements awarded this quarter	0	\$0	0	\$0	4	\$7,695,865
11. Subcontract procurements committed or awarded this quarter	14	\$2,616,588	0	\$0	52	\$2,698,543
12. Actual Awards and Commitments (Line 10+Line 11)	14	\$2,616,588	0	\$0	56	\$4,384,428

13. DBE prime and subcontract-procurement commitments or awards by minority group, (e.g. caucasian males or disabled persons) Total= Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	8	0	0	0	6	0	14
b. \$ Value	\$1,083,259	\$0	\$0	\$0	\$1,533,329	\$0	\$2,616,588

If the Number amounts on Line 13.(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13.(a) that is to be corrected. 14

If the Value amounts on Line 13.(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13.(b) that is to be corrected. \$2,616,588

14. Number of prime and subcontract-awards or commitments by type of work: (Totals= Line 12) Do not include the dollar amounts.			
Type of Work	DBE	MWBE	W/WBE
a. Professional/Consultant Services:			
(1) Engineering		1	
(2) Architectural			
(3) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage	7	4	
(2) Paving			
(3) Structures/Buildings	6	6	
(4) Trucking	1	2	
(5) Traffic Control		1	
(6) Landscaping		22	
(7) Other		11	
c. Supplier:		7	
d. Manufacturer:			
e. Equipment:			
f. Research:			
15. TOTAL	14	36	0
The DBE, MWBE and W/WBE Totals on Line 15 should match this line.			
	14	36	56

This Quarter: MBE 4.42%; M/WBE 0.00%; W/WBE 7.48%; DBE 11.9% - YTD: MBE-4.42%, M/WBE-0.00% W/WBE-7.48%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. State: Kentucky	7. Annual DBE Goal: 11.50
2. Fiscal Year: 1999	5. Address: 501 High Street	8. % Percent Achieved this Quarter:
3. Quarter: 2nd	6. City/State/Zip: Frankfort, Kentucky 40622	11.8%

9. Total prime contracts/procurement awarded this quarter to all contractors:	9.(a) Number		9.(b) Value			
	184		\$196,188,821.00			
	a. DBE		b. MWBE		c. WVEE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts/procurements awarded this quarter	0	\$0	0	\$0	3	\$1,034,454
11. Subcontract procurements committed or awarded this quarter	6	\$3,849,594	2	\$2,080,529	31	\$3,536,788
12. Annual Awards and Commitments (Line 10 + Line 11)		\$3,849,594		\$2,080,529		\$4,571,242

13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals = Line 12a only

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	2	0	0	0	4	0	6
b. \$ Value	\$2,340,353	\$0	\$0	\$0	\$1,469,241	\$0	\$3,849,594
If the Number amounts on Line 13.(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13.(a) that is to be corrected.							6
If the Value amounts on Line 13.(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13.(b) that is to be corrected.							\$3,849,594

14. Number of prime and subcontract-awards or commitments by type of work: (Totals = Line 12) Do not include the dollar amounts.

Type of Work	DBE	MWBE	WVEE
a. Professional/Consultant Services:			
(1) Engineering			4
(2) Architectural			
(4) Right-of-Way			
(5) Other			
b. Construction:			
(1) Grading & Drainage			3
(2) Paving			
(3) Structures/Buildings	4		2
(4) Trucking			2
(5) Traffic Control			
(6) Landscaping			4
(7) Other	2	2	19
c. Supplies:			
d. Manufacture:			
e. Equipment:			
f. Research:			
15. TOTAL	6	2	34

The DBE, MWBE and WVEE Totals on Line 15 should match this line.

This Qtr. - WBE 6.19%, MBE 3.63%, MWBE 1.69%, DBE 11.8% / YTD - WBE 6.65%, MBE 3.91%, MWBE 1.26%, DBE 11.19%

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MINORITY AFFAIRS DBE SEC

REPORT OF FEDERAL HIGHWAY ADMINISTRATION

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.50			
2. Fiscal Year: 1999		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 3rd		6. City/State/Zip: Frankfort, Kentucky 40522		13.2%			
9. Total prime contracts/procurement awarded this quarter to all contractors:			9.(a) Number		9.(b) Value		
			376		\$81,270,147.00		
			a. DBE		b. MWBE		
			c. WWBE				
			Number	\$ Value	Number		
			\$ Value	Number	\$ Value		
10. Prime contracts/procurements awarded this quarter			2	\$446,121	0		
11. Subcontract procurements committed or awarded this quarter			12	\$2,645,299	0		
12. Awards and Commitments (From 10 & Line 11)			14	\$3,091,514	0		
13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	9	0	0	2	3	0	14
b. \$ Value	\$2,144,138	\$0	\$0	\$238,788	\$708,488	\$0	\$3,091,414
If the Number amounts on Line 13.(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13.(a) that is to be corrected.							14
If the Value amounts on Line 13.(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13.(b) that is to be corrected.							\$3,091,414
14. Number of prime and subcontract-awards or commitments by type of work: (Totals = Line 12) Do not include the dollar amounts.							
Type of Work			DBE		MWBE		WWBE
a. Professional/Consultant Services:							
(1) Engineering							
(2) Architectural							
(4) Right-of-Way							
(5) Other							1
b. Construction:							
(1) Grading & Drainage			7				8
(2) Paving			2				
(3) Structures/Buildings			1				6
(4) Trucking			2				
(5) Traffic Control							
(6) Landscaping							6
(7) Other			2				15
c. Supplies:							8
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL			14		0		14
The DBE, MWBE and WWBE Totals on Line 15 should match this line			14		0		14

This Qtr. - WBE 9.4%, MBE 3.8%, MWBE 0.00%, DBE 13.2% / YTD - WBE 7.6%, MBE 3.9%, MWBE .%, DBE 12.3%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.50			
2. Fiscal Year: 1999		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 4th		6. City/State/Zip: Frankfort, Kentucky 40622		14.9%			
9. Total prime contracts/procurement awarded this quarter to all contractors:			9.(a) Number		9.(b) Value		
			245		\$52,925,587.		
		a. DBE		b. MWBE		c. WBE	
		Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts-procurements awarded this quarter		0	\$0	0	\$0	1	\$1,222,918
11. Subcontract procurements committed or awarded this quarter		6	\$1,543,559	1	\$1,538	31	\$3,127,952
12. Actual Awards and Commitments (Line 10 + Line 11)		6	\$1,543,559	1	\$1,538	32	\$4,350,870
13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	5	0	0	0	1	0	6
b. \$ Value	\$959,217	\$0	\$0	\$0	\$384,342	\$0	\$1,543,559
If the Number amounts on Line 13(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13(a) that is to be corrected.							6
If the Value amounts on Line 13(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13(b) that is to be corrected.							\$1,543,559
14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE		MWBE		WBE	
a. Professional/Consultant Services:							
(1) Engineering							
(2) Architectural							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage		4				7	
(2) Paving		1					
(3) Structures/Buildings		1				5	
(4) Trucking						2	
(5) Traffic Control							
(6) Landscaping						10	
(7) Other						4	
c. Supplies:				1		4	
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		6		1		32	
The DBE, MWBE and WBE Totals on Line 13 should match this line:		6		1		32	

This Qtr.-WBE 12.0%, MBE 2.92%, MWBE 0.00%, DBE 14.9% / YTD-WBE 8.75%, MBE 3.71%, MWBE .7%, DBE 12.74%

U.S. Department of Transportation Federal Highway Administration Quarterly Report of DBE Awards and Commitments							
1. Administration: FHWA		4. State: Kentucky			7. Annual DBE Goal: 11.50		
2. Fiscal Year: 00		5. Address: 501 High Street			8. All Percentages are for this Quarter		
3. Quarter: 1st		6. City/State/Zip: Frankfort, Kentucky 40622					
9. Total prime contracts/procurement awarded this quarter to all contractors:				a. DBE		b. MWBE	
				c. WWBE			
				Number		\$ Value	
				Number		\$ Value	
10. Prime contracts/procurements awarded this quarter				1	3251,912	0	50
11. Subcontract procurements awarded this quarter				11	52,270,924	1	547,851
13. DBE prime and subcontract-awards or commitments by minority group. (e.g. excise tax males or disabled persons) Total=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	9	0	0	0	3	0	12
b. \$ Value	\$1,160,092	50	50	50	\$1,342,744	50	\$2,522,336
14. Number of prime and subcontract-awards or commitments by type of work: (Total=Line 12) Do not include the dollar amounts.							
Type of Work				DBE	MWBE	WWBE	
a. Professional/Consultant Services:							
(1) Engineering						1	
(2) Architectural							
(3) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage				7		3	
(2) Paving							
(3) Structures/Buildings				4		3	
(4) Trucking							
(5) Traffic Control							
(6) Landscaping						7	
(7) Other				1		14	
c. Supplies:					1		
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL				12	1	28	

This Qtr.-MBE 4.89%, MWBE 0.09%, WWBE 10.29%, DBE 15.27% / YTD --MBE 4.89%, MWBE 0.09%, WWBE 10.29%, DBE 15.27%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: PHWA		4. State: Kentucky		7. Annual DBE Goal: 11.50			
2. Fiscal Year: 2000		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 2nd		6. City/State/Zip: Frankfort, Kentucky 40622		11.6%			
9. Total prime contracts/procurement awarded this quarter to all contractors:			9.(a) Number		9.(b) Value		
			209		\$217,059,486.00		
			a. DBE		b. MWBE		
			c. WWBE				
			Number	\$ Value	Number		
			Number	\$ Value	Number		
10. Prime contracts/procurements awarded this quarter			0	\$0	0		
11. Subcontract procurements completed or awarded this quarter			5	\$2,032,964	28		
			1	\$1,509,972			
			1	\$1,509,972			
13. DBE prime and subcontract procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	0	0	0	0	1	0	5
b. \$ Value	\$2,007,788	\$0	\$0	\$0	\$25,176	\$0	\$2,032,964
If the Number amounts on Line 13.(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13.(a) that is to be corrected.							
If the Value amounts on Line 13.(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13.(b) that is to be corrected.							
14. Number of prime and subcontract awards or commitments by type of work. (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering					1		
(2) Architectural							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage		2			7		
(2) Paving							
(3) Structures/Bulldozing					2		
(4) Trucking					1		
(5) Traffic Control							
(6) Landscaping					13		
(7) Other		2					
c. Supplier			1		4		
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		5	1		28		

This Qtr. - DBE 11.58%, DWBE 1.37%, MBE 1.74% / YTD - DBE 12.83%, DWBE 0.98%, MBE 2.85%

U.S. Department of Transportation Federal Highway Administration Quarterly Report of DBE Awards and Commitments							
1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.50			
2. Fiscal Year: 2000		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 3rd		6. City/State/Zip: Frankfort, Kentucky 40622		9.7%			
9. Total prime contracts/procurement awarded this quarter to all contractors:				9.(a) Number		8.(b) Value	
				93		\$115,134,034	
				b. MWBE		c. WWBE	
				Number		\$ Value	
				Number		\$ Value	
10. Prime contracts/procurements awarded this quarter		2		\$979,589		0 \$0	
11. Subcontract procurements committed or awarded this quarter		10		\$1,017,762		4 \$2,559,150	
						20 \$5,256,248	
12. DBE prime and subcontract procurements commitments or awards by minority group. (e.g. Caucasian males or disabled persons) Totals Line 12a only							
	Black African American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	9	0	0	0	3	0	12
b. \$ Value	\$1,953,217	\$0	\$0	\$0	\$84,034	\$0	\$2,797,351
13. If the Number and \$ amount on Line 13.(a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13.(a) that do not conform.							
13. If the Value amount on Line 13.(b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13.(b) that do not conform.							
14. Number of prime and subcontract awards or commitments by type of work. (Totals Line 12) Do not include the dollar amounts.							
Type of Work		DBE		MWBE		WWBE	
a. Professional/Consultant Services:							
(1) Engineering							
(2) Architectural							
(3) Right-of-Way							
(4) Other						2	
b. Construction:							
(1) Grading & Drainage		2				2	
(2) Paving							
(3) Structures/Buildings		5				7	
(4) Trucking						1	
(5) Traffic Control		4				7	
(6) Landscaping						8	
(7) Other		1				4	
c. Supplies:				4		4	
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		12		4		31	
16. DBE/MWBE/WWBE Total Goal		12		4		31	

This Qtr.: DBE=9.55%, MBE=2.40%, WBE= 5.07%, MWBE=2.20% / YTD: DBE=11.54%, MBE= 2.67%, WBE= 7.41%, MWBE=1.43%

**QUARTERLY REPORT OF DBE/MWBE/WWBE AWARDS AND COMMITMENTS
INSTRUCTIONS TO FEDERAL-AID HIGHWAY RECIPIENTS**

1. The DOT modal administration is to be FHWA. If the State also receives funds from FTA and FAA the State is to report only that

U.S. Department of Transportation Federal Highway Administration Quarterly Report of DBE Awards and Commitments							
1. Administration: FHWA		4. State: Kentucky			7. Annual DBE Goal: 11.50		
2. Fiscal Year: 2000		5. Address: 501 High Street			8. Fiscal Year-to-Date DBE Goal		
3. Quarter: 4th		6. City/State/Zip: Frankfort, Kentucky 40623			9. Total prime contracts/procurement awarded this quarter to all contractors:		
		a. DBE		b. MWBE		c. W/WBE	
		Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts/procurements awarded this quarter		0	\$0	0	\$0	3	\$2,590,585
11. Subcontract procurements committed or awarded this quarter		6	\$1,485,991	1	\$424,668	29	\$2,344,495
13. DBE prime and subcontract procurement commitments or awards by minority group. (e.g. caucasians males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	4	0	0	0	2	0	6
b. \$ Value	\$1,254,177	\$0	\$0	\$0	\$232,814	\$0	\$1,486,991
If the Number amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the check on Line 13 (a) that is to be corrected.							
If the \$ Value amounts on Line 13 (b) do not match the Total on this line, there is an incorrect \$ amount within the check on Line 13 (b) that is to be corrected.							
14. Number of prime and subcontract awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.							
Type of Work	DBE		MWBE		W/WBE		
a. Professional/Consultant Services:							
(1) Engineering					1		
(2) Architectural							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage	3		1		6		
(2) Paving							
(3) Structures/Buildings	1						
(4) Trucking	1						
(5) Traffic Control					2		
(6) Landscaping					12		
(7) Other	1				6		
c. Supplier:					5		
d. Manufacturer:							
e. Equipment:							
f. Research:							
15. TOTAL	6		1		32		

This Qtr.: MBE-2.17%, WBE-8.65%, DBE-10.82% M/WBE-.62% / YTD: MBE-2.57%, WBE-7.65%, M/WBE-1.31%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.00			
2. Fiscal Year: 01		5. Address: 501 High Street		8. % Percent Achieved this Quarter			
3. Quarter: 1st		6. City/State/Zip: Frankfort, Kentucky 40622					
9. Total prime contracts/procurement awarded this quarter to all contractors:							
				\$19,779,514			
	a. DBE		b. MWBE		c. WWBE		
	Number	\$ Value	Number	\$ Value	Number	\$ Value	
10. Prime contracts-procurements awarded this quarter	2	\$703,482	0	\$0	3	\$3,669,859	
11. Subcontract procurements committed or awarded this quarter	9	\$3,869,813	0	\$0	42	\$7,968,405	
13. DBE prime and subcontract-procurement commitments or awards by minority group, (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	9	0	0	1	1	0	11
b. \$ Value	\$4,239,026	\$0	\$0	\$220,847	\$113,422	\$0	\$4,573,295
If the dollar amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13 (a) that is to be corrected.							
If the dollar amounts on Line 13 (b) do not match the Total on this line, there is an incorrect dollar amount within the blocks on Line 13 (b) that is to be corrected.							
14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering				2			
(2) Architectural							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage		7		12			
(2) Paving		2					
(3) Structures/Buildings		1		7			
(4) Trucking				2			
(5) Traffic Control		1		1			
(6) Landscaping				20			
(7) Other							
c. Supplies:				1			
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		11	0	45			

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.00			
2. Fiscal Year: 01		5. Address: 501 High Street		8. % Percent Achieved this Quarter			
3. Quarter: 2nd		6. City/State/Zip: Frankfort, Kentucky 40622					
9. Total prime contracts/procurement awarded this quarter to all contractors:				9. DBE Goal			
				9. DBE Ytd			
				9. DBE Ytd			
	a. DBE		b. MWBE		c. WWBE		
	Number	\$ Value	Number	\$ Value	Number \$ Value		
10. Prime contracts/procurements awarded this quarter	0	\$0	0	\$0	0 \$0		
11. Subcontract procurements committed or awarded this quarter	4	\$417,575	1	\$248,207	27 \$5,502,455		
13. DBE prime and subcontract/procurement commitments or awards by minority group, (e.g. caucasian males or disabled persons) Totals--Line 11a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	3	0	0	0	1	0	4
b. \$ Value	\$323,955	\$0	\$0	\$0	\$93,620	\$0	\$417,575
If the Number amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13 (a) that is to be corrected.							4
If the Value amounts on Line 13 (b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13 (b) that is to be corrected.							\$417,575
14. Number of prime and subcontract-awards or commitments by type of work: (Totals--Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering					4		
(2) Architectural							
(4) Right-of-Way							
(5) Other					2		
b. Construction:							
(1) Grading & Drainage		3			6		
(2) Paving		1					
(3) Structures/Buildings					1		
(4) Trucking							
(5) Traffic Control							
(6) Landscaping					2		
(7) Other					10		
c. Supplies:			1		2		
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		4	1		27		

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.50%			
2. Fiscal Year: 2001		5. Address: 501 High Street		Percent Achieved this Quarter:			
3. Quarter: 3rd		6. City/State/Zip: Frankfort, Kentucky 40622		9.52%			
9. Total prime contracts/procurement awarded this quarter to all contractors:		160/22		9,091,572,581.00			
				578,951,044.00			
	a. DBE		b. MWBE		c. W/WBE		
	Number	\$ Value	Number	\$ Value	Number	\$ Value	
10. Prime contracts-procurements awarded this quarter	1	\$366,364.00	0	\$0	1	\$290,468.00	
11. Subcontract procurements committed or awarded this quarter	16	\$1,329,931.00	1	\$152,416.00	43	\$4,747,098.00	
13. DBE prime and subcontract-procurement commitments or awards by minority group, (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	8	0	0	0	9	0	17
b. \$ Value	\$859,954.00	\$0	\$0	\$0	\$1,336,341.00	\$0	\$2,196,295.00
If the Number amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13 (a) that is to be corrected.							
If the \$ Value amounts on Line 13 (b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13 (b) that is to be corrected.							
14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	W/WBE			
a. Professional/Consultant Services:							
(1) Engineering							
(2) Architectural							
(4) Right-of-Way							
(5) Other				1			
b. Construction:							
(1) Grading & Drainage		6		1			
(2) Paving				2			
(3) Structures/Buildings		9		7			
(4) Trucking				4			
(5) Traffic Control		2		1			
(6) Landscaping				4			
(7) Other				23			
c. Supplies:			1	1			
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		17	1	44			

This Quarter: MBE 2.89%; M/WBE .20%; W/WBE 6.63%; DBE 9.52% YTD: MBE-2.56%, M/WBE-14%, W/WBE-7.69%

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA	4. State: Kentucky	7. Annual DBE Goal: 11.00
2. Fiscal Year: 2001	5. Address: 501 High Street	Percent Value of DBE Contracts
3. Quarter: 4th	6. City/State/Zip: Frankfort, Kentucky 40622	

9. Total prime contracts/procurement awarded this quarter to all contractors:

	a. DBE		b. MWBE		c. WWBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts-procurements awarded this quarter	0	\$0	0	\$0	0	\$0
11. Subcontract procurements committed or awarded this quarter	12	\$1,857,546.00	0	\$0	44	\$6,764,522.00

13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian, males or disabled persons) Totals=Line 12a only

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	3	0	0	0	4	0	12
b. \$ Value	\$1,728,408.00	\$0	\$0	\$0	\$129,138.00	\$0	\$1,857,546.00

(If the number amounts on Line 13 (a) do not equal the Total on this line, there is an unreported number within the blocks on Line 13 (c) that is to be reported.)
 (If the dollar amounts on Line 13 (b) do not match the Total on this line, there is an incorrect amount within the blocks on Line 13 (c) that is to be reported.)

14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.

Type of Work	DBE	MWBE	WWBE
a. Professional/Consultant Services:			
(1) Engineering		22	
(2) Architectural			
(4) Right-of-Way		68	
(5) Other			
b. Construction:			
(1) Grading & Drainage	1		8
(2) Paving			1
(3) Structures/Buildings	1		4
(4) Trucking			3
(5) Traffic Control	6		5
(6) Landscaping			5
(7) Other	4		13
c. Supplies:			
d. Manufacture:			
e. Equipment:			
f. Research:			
15. TOTAL	12	90	44

**U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments**

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.00			
2. Fiscal Year: 2002		5. Address: 501 High Street					
3. Quarter: 1st		6. City/State/Zip: Frankfort, Kentucky 40622					
9. Total prime contracts/procurement awarded this quarter to all contractors:							
	a. DBE		b. MWBE		c. WWBE		
	Number	\$ Value	Number	\$ Value	Number \$ Value		
10. Prime contracts-procurements awarded this quarter	0	\$0	0	\$0	0 \$0		
11. Subcontract procurements committed or awarded this quarter	8	\$2,960,625.00	0	\$0	21 \$5,657,491.00		
13. DBE prime and subcontract-procurement commitments or awards by minority group, (e.g. caucasian males or disabled persons) Totals-Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	5	0	0	2	1	0	8
b. \$ Value	\$1,565,697.00	\$0	\$0	\$586,941.00	\$867,987.00	\$0	\$2,960,625.00
<small>If the number in any of Line 13 (a) do not match the Total in this line, there is an incorrect number within the blocks on Line 13 (a) that is to be corrected. <small>If the \$ value in any of Line 13 (b) do not match the Total in this line, there is an incorrect \$ amount within the blocks on Line 13 (b) that is to be corrected.</small> </small>							
14. Number of prime and subcontract-awards or commitments by type of work: (Totals-Line 12) Do not include the dollar amounts.							
<i>Type of Work</i>		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering			13				
(2) Architectural							
(4) Right-of-Way			46				
(5) Other							
b. Construction:							
(1) Grading & Drainage		1			1		
(2) Paving							
(3) Structures/Buildings					2		
(4) Trucking		1			1		
(5) Traffic Control		1					
(6) Landscaping					4		
(7) Other		5			12		
c. Supplies:							
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		8	64		21		

**U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments**

1. Administration: FHWA	4. State: Kentucky	7. Annual DBE Goal: 11.00
2. Fiscal Year: 2002	5. Address: 501 High Street	Percent Achieved This Quarter:
3. Quarter: 2nd	6. City/State/Zip: Frankfort, Kentucky 40622	

9. Total prime contracts/procurement awarded this quarter to all contractors:

	a. DBE		b. MWBE		c. WWBE	
	Number	\$ Value	Number	\$ Value	Number	\$ Value
10. Prime contracts-procurements awarded this quarter	0	\$0	0	\$0	0	\$0
11. Subcontract procurements committed or awarded this quarter	5	\$653,543.00	0	\$0	22	\$8,505,110.00

13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals=Line 12a only

	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number#	1	1	0	0	3	0	5
b. \$ Value	\$23,976.00	\$79,042.00	\$0	\$0	\$550,525.00	\$0	\$653,543.00

(The number amounts on Line 13 (a) do not match the Totals on this line. There is an incorrect amount of \$110,000.00 on Line 13 (b) and \$100,000.00 on Line 13 (c). If the amounts on Line 13 (b) do not match the Totals on this line, there is an incorrect amount within the DBE sub-categories on Line 13 (a). If the amounts on Line 13 (c) do not match the Totals on this line, there is an incorrect amount within the DBE sub-categories on Line 13 (a). If the amounts on Line 13 (a) do not match the Totals on this line, there is an incorrect amount within the DBE sub-categories on Line 13 (b) and (c).)

14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.

Type of Work	DBE	MWBE	WWBE
a. Professional/Consultant Services:			
(1) Engineering		4	
(2) Architectural			
(4) Right-of-Way		39	
(5) Other			
b. Construction:			
(1) Grading & Drainage			3
(2) Paving			
(3) Structures/Buildings	2		4
(4) Trucking			
(5) Traffic Control			4
(6) Landscaping	2		3
(7) Other	1		8
c. Supplies:			
d. Manufacture:			
e. Equipment:			
f. Research:			
15. TOTAL	5	43	22

**U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments**

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.00			
2. Fiscal Year: 2002		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 3rd		6. City/State/Zip: Frankfort, Kentucky 40622		8.61			
9. Total prime contracts/procurement awarded this quarter to all contractors:				9(a) Number:	9(b) \$ Value:		
				113	\$33,911,460.00		
	a. DBE		b. MWBE		c. WWBE		
	Number	\$ Value	Number	\$ Value	Number		
10. Prime contracts-procurements awarded this quarter	0	\$0	0	\$0	0		
11. Subcontract procurements committed or awarded this quarter	8	\$3,112,381.00	0	\$0	40		
12. Total Awards or Commitments	8	\$3,112,381.00	0	\$0	40		
13. DBE prime and subcontract-procurement commitments or awards by minority group; (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	5	0	0	0	3	0	8
b. \$ Value	\$2,339,394.00	\$0	\$0	\$0	\$772,987.00	\$0	\$3,112,381.00
If the Number amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the DBE categories (Line 13 (a)) that must be corrected.							
If the Value amounts on Line 13 (b) do not match the Total on this line, there is an incorrect amount within the DBE categories (Line 13 (b)) that must be corrected.							
14. Number of prime and subcontract-awards or commitments by type of work; (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering							
(2) Architectural							
(4) Right-of-Way							
(5) Other							
b. Construction:							
(1) Grading & Drainage				1			
(2) Paving							
(3) Structures/Buildings		2		4			
(4) Trucking							
(5) Traffic Control				8			
(6) Landscaping				2			
(7) Other		6		25			
c. Supplies:							
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		8		40			

U.S. Department of Transportation
Federal Highway Administration
Quarterly Report of DBE Awards and Commitments

1. Administration: FHWA		4. State: Kentucky		7. Annual DBE Goal: 11.00			
2. Fiscal Year: 2002		5. Address: 501 High Street		8. % Percent Achieved this Quarter:			
3. Quarter: 4th		6. City/State/Zip: Frankfort, Kentucky 40622		8.52			
9. Total prime contracts/procurement awarded this quarter to all contractors:				9.(a) Number	9.(b) Value		
				88	\$66,481,842.00		
	a. DBE		b. MWBE		c. WWBE		
	Number	\$ Value	Number	\$ Value	Number	\$ Value	
10. Prime contracts-procurements awarded this quarter	1	\$424,038.00	8	\$0	1	\$516,735.00	
11. Subcontract procurements committed or awarded this quarter	6	\$932,304.00	0	\$0	37	\$3,789,164.00	
12. Actual Awards and Commitments (Line 10 + Line 11)		\$1,356,342.00	8	\$0	38	\$3,566,899.00	
13. DBE prime and subcontract-procurement commitments or awards by minority group. (e.g. caucasian males or disabled persons) Totals=Line 12a only							
	Black American	Hispanic American	Native American	Asian-Indian American	Asian-Pacific American	Other e.g. Disabled	TOTAL
a. Number	4	0	0	2	1	0	7
b. \$ Value	\$698,951.00	\$0	\$0	\$442,768.00	\$214,615.00	\$0	\$1,356,334.00
If the Number amounts on Line 13 (a) do not match the Total on this line, there is an incorrect number within the blocks on Line 13 (a) that is to be corrected.							
If the Value amounts on Line 13 (b) do not match the Total on this line, there is an incorrect \$ amount within the blocks on Line 13 (b) that is to be corrected.							
14. Number of prime and subcontract-awards or commitments by type of work: (Totals=Line 12) Do not include the dollar amounts.							
Type of Work		DBE	MWBE	WWBE			
a. Professional/Consultant Services:							
(1) Engineering			2				
(2) Architectural							
(4) Right-of-Way			67				
(5) Other							
b. Construction:							
(1) Grading & Drainage							
(2) Paving							
(3) Structures/Buildings		1			5		
(4) Trucking		1					
(5) Traffic Control					7		
(6) Landscaping		1			5		
(7) Other		4			21		
c. Supplies:							
d. Manufacture:							
e. Equipment:							
f. Research:							
15. TOTAL		7	69		38		