



# CONTRACT COMPLIANCE REVIEW CHECKLIST

Alaska Department of Transportation and Public Facilities

Civil Rights Office

P.O. Box 196900 Anchorage, AK 99519-6900

**Contractor:** Complete this checklist. Attach all required documentation and send to ADOT&PF Civil Rights Office **at least one month** prior to the date of the scheduled Contract Compliance Review. All records concerning Equal Employment Opportunity and Disadvantaged Business Enterprise utilization must be available at the time of the review. All documentation must be clear, legible, organized, and labeled according to section and question number.

1. Project Number	2. Project Amount	3. DBE Goal %	4. OJT Goal
5. Contractor Identification <input type="checkbox"/> Prime <input type="checkbox"/> Sub <input type="checkbox"/> DBE <input type="checkbox"/> Vendor <input type="checkbox"/> Supplier <input type="checkbox"/> Other (specify)			
6. Name and Address of Contractor			
7. Project Location (List nearest city or town.)			
8. Name and title of the Company Chief Executive Officer			
9. Name of the appointed Equal Employment Opportunity Officer (List titles of other positions currently being held in the company.)			
Other Titles:		Contact Number:	
<b>(Please provide a copy of the appointment letter from the company president to the EEO officer)</b>			
10. Name and Title of Personnel whose responsible for hiring/terminating/promoting for this project (List titles of other positions currently being held in the company.)			
Other Titles:		Contact number:	
11. Name and Title of On-site Project Engineer/Superintendent			
		Contact number:	
12. Project Schedule	Beginning date:	Est. completion date:	Anticipated peak employment date:
13. Type of Work			14. % COMPLETE

**A. Subcontractors, Regular Dealers, Vendors, Suppliers, Etc.**

1. Provide a list of **all** subcontractors, with contracts of \$10,000 or more, on this project to include name and address; dollar amount; type of work or service provided; and whether or not subcontract work has started, is in progress, or has been completed. **For those subcontractors that have performed any work on the project, include what their peak employment week has been to date for this project only.**

Subcontractor Name	Type of bid items or work description	Dollar Amount	Work in Process or Complete?	If in Process please provide peak employment date
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				

2. Are there established procedures to ensure subcontractors' in compliance with the EEO obligations of this contract?  
 Yes       No  
**(Provide documentation of this procedure)**

3. Has the prime contractor ensured compliance by its subcontractors and lower tier subcontractors with the Form 25D-55 H (Form FHWA – 1273)?  
 Yes       No  
**(Provide documentation of this procedure)**

4. Check which of the following required contract special provisions have been incorporated in all subcontract agreements of \$10,000 or more used on the project.  
 Form 25D-55 - Required Contract Provisions, Federal-Aid Construction Contracts  
 EEO Affirmative Action Requirements  
 Labor Rates from U.S. Department of Labor (Davis-Bacon) State of Alaska (Little Davis-Bacon)  
**(Provide an actual subcontract agreement, if one has not already been provided)**

## B. EEO Policy

1. Is a written EEO Affirmative Action Policy available? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide a copy of this policy)
2. Is this EEO Policy signed and dated by the company president? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide a copy of this policy)
3. Is the following statement included in the EEO Policy? <input type="checkbox"/> Yes <input type="checkbox"/> No "It is the policy of this company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, age, national origin, or disability. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship pre-apprenticeship, and/or on-the-job training."	

## Dissemination of EEO Policy

1. Has the EEO policy and other required notices and posters been placed in an area readily accessible to employees, applicants for employment, and potential employees? <input type="checkbox"/> Yes <input type="checkbox"/> No Where?	
2. Has the EEO policy and procedures to implement such policy been brought to the attention of all employees, supervisory personnel and office personnel has been conducted prior to the start of work on this project and at least annually or every start of the construction season? <input type="checkbox"/> Yes <input type="checkbox"/> No <b>Check which type of documentation you utilized to disseminate company's EEO policy.</b> <input type="checkbox"/> Meetings <input type="checkbox"/> Employee Handbooks <input type="checkbox"/> Other Appropriate Means (Provide minutes of meeting with roster of attendees, handbook, or documentation of other means utilized)	
3. Check which of the following prospective employee providers have been made fully aware of the company's EEO Policy. <input type="checkbox"/> Schools <input type="checkbox"/> Employment Agencies <input type="checkbox"/> Labor Unions <input type="checkbox"/> College Placement Offices <input type="checkbox"/> Other (Provide documentation)	
4. Do supervisory personnel fully understand the company EEO policy? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide documentation)
5. Have all new supervisory and office personnel hired this season been given a thorough indoctrination in the company EEO policy? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide documentation)

## General

1. Is there a discrimination complaint procedure established for this company? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide a copy of the procedure)
2. Have any complaints of discrimination been received within the past three years? <input type="checkbox"/> Yes <input type="checkbox"/> No	
3. If yes, give specific date(s) of complaint(s), nature of complaint(s), who was involved, what action was taken, and the outcome.	(Provide documentation)
5. In the past three years has the company or its subcontractor has reviews by the Equal Employment Opportunity Commission (EEOC), the Office of Federal Contract Compliance Programs (OFCCP), or any other federal, state, or local agency regarding compliance or noncompliance with Federal EEO laws? <input type="checkbox"/> Yes <input type="checkbox"/> No	(Provide name of agency, date of review, and results)

### C. Union Affiliations

1. Is this firm signatory to a collective bargaining agreement(s) with trade unions? <input type="checkbox"/> Yes (If so, please provide a copy of all current collective bargaining agreements) <input type="checkbox"/> No (If no, continue to Section D.)
2. Does the agreement(s) provide for exclusive hiring hall referrals? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation)
3. Is there an Equal Employment Opportunity clause incorporated in the agreement(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation)
4. If NO, has the company sent written notices to unions in regard to this clause? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation)
5. If the union(s) has been unable to refer qualified minorities and females for employment, have recruitment procedures been established and used to fill job vacancies consistent with EEO obligations of this contract? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide a copy of the procedures and documentation of these efforts)

### D. Recruitment Sources

1. When advertising for employees in newspapers, trade magazines, or other publications, has the notation "An Equal Opportunity Employer" been included in those advertisements? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation for this project only including name of publication and date(s) advertisement ran)
2. When advertising for employees by any of the above means, has the advertisement been placed in publications that have a broad public circulation that is likely to yield women and minorities in the area from which the project workforce would normally be derived? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation and a list of the newspapers, trade magazines, or other publications used)
3. Have current employees been encouraged to refer minority and female applicants for employment? <input type="checkbox"/> Yes <input type="checkbox"/> No
4. Has the person responsible for hiring employees for this project been instructed in the methods to be followed when locating and hiring women and minorities? <input type="checkbox"/> Yes <input type="checkbox"/> No
5. Has systematic and direct recruitment been conducted with referral sources likely to yield women and minority applicants? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide details and documentation)
6. Have procedures been established with these referral sources whereby women and minority applicants may be referred for employment consideration? <input type="checkbox"/> Yes <input type="checkbox"/> No (Provide documentation of this contact to include name and address and results of these contacts)
7. What other innovative and proactive recruiting techniques have been used to promote, locate and hire women and minority employees (Example: placing notices or fliers in common places such as grocery stores, post offices, gas stations, etc.)?
8. Provide a copy of your employment application and any other documentation you use to collect from unsolicited job seekers (Example: walk-in logs; summarized list of employment applications/resumes received which includes trade/craft/ethnicity/gender)

## E. Project Personnel

1. Provide a workforce breakdown for the <b>personnel of this project only</b> by job category developed from all available payrolls for the <b>current</b> construction season (using the format of the Federal-Aid Highway Construction Contractors Annual EEO Report. Form FHWA 1391.) If an employee works in more than one job category only report the job class in which he or she accumulated the most hours.
2. Provide a similar current workforce breakdown reflecting your <b>entire company operation</b> (using the format of Form FHWA 1391 and base on the same week ending date as your last available payroll.)
3. Provide a list of <b>all employees</b> for the current construction project (up to one month prior to the date of this review) to include name and address, race, sex, recruitment source, job classification, craft, beginning employment date, and starting wage rate.
4. Are nondiscriminatory wage practices utilized on this project (no wage difference between minority, female, and nonminority personnel within a given classification)? <input type="checkbox"/> Yes <input type="checkbox"/> No <p style="text-align: right;"><b>(Provide certified payroll records-see #6)</b></p>
5. Provide a list of all other personnel actions taken if any other than the actions mentioned on #3 for the <b>current</b> construction project. The list must include name and address, job classification, wage rate, race, sex, type of personnel action, and date.
6. Provide a copy of your certified payroll records for this project only from the beginning of this construction project to one month prior to providing this documentation for review. Please note a copy of the most current certified payroll records will be also requested at the time of this review.

## F. Reasonable Accommodations

1. Is the contractor familiar with the requirements of ADA (American Disabilities Act) and all its rules and regulations? <input type="checkbox"/> Yes <input type="checkbox"/> No <p style="text-align: right;"><b>(Provide documentation)</b></p>
2. Does the contractor demonstrate good faith efforts in informing and providing reasonable accommodations for applicants/employees with disabilities? <input type="checkbox"/> Yes <input type="checkbox"/> No <p style="text-align: right;"><b>(Provide documentation)</b></p>

**NOTE:** The following questions relate to requirements found in FHWA 1273 - Required Contract Provisions, Federal-Aid Construction Contracts under 23 CFR and State Form 25D-55; Contract Special Provision - On-the-Job Training Program; Contract Special Provision - EEO Affirmative Action Requirements; and Contract Special Provision - Utilization of Disadvantaged Business Enterprise