

# NEVADA DEPARTMENT OF TRANSPORTATION

## Contract Compliance Review

Please provide the information requested to the Nevada Department of Transportation (NDOT) Contract Compliance office by the end of business on the date indicated in the cover letter. Additional documentation provided must be clear, legible, organized and labeled according to the section and item indicators below. Requests for additional documentation will be sent to you both electronically and via certified US mail. An on-site interview and verification date has been set, and is listed in the cover letter.

The compliance review is being conducted under the following authorities: 49 CFR, Section 21 and Section 26; 23 CFR Sections 200 and 230, Subparts A-D; 23 CFR 635.117(d); 23 U.S.C. 324; Title VI of the Civil Rights Act of 1964; Civil Rights Restoration Act of 1987; FHWA Admin. 23 U.S.C. 140; FHWA Form 1273; NDOT Standard Specifications for Road and Bridge Construction, 2014 Edition; and NDOT Special Provisions for the project.

### Section I. Project Information and Goals

1. Contract Number
2. Contract Location
  
3. Contract Description
  
4. Contract Delivery Type
5. Construction Begin Date
6. Estimated Completion Date
7. Percentage Complete To-Date
8. Month and Year of Anticipated Peak Employment
9. Type of Review
10. Contractor Type
11. Name and Address of Contractor
  
12. Contractor Contacts:
  - a. Name and Title of Primary Principal (or authorized signatory for project)  
  
Email address
  - b. Name and Title of Policy Making Officer  
  
Email address
  - c. Name and Title of Project Manager  
  
Email address
  - d. Name and Title of Company EEO Officer:  
  
Email address

f. Name and Title of Project EEO Officer (if different from Company EEO Officer)

Email address

g. Name and Title of Company DBE Officer

Email address

13. Project Disadvantaged Business Enterprise (DBE) Goal

14. Project DBE Commitment

15. Project Minority Goal

16. Project Female Goal

## Section II. Subcontractor, Service Provider and DBE Program Review

1. Attach a list of subcontractors, service providers and DBE suppliers on the project. Sample format:

Business Name	Sub Tier	Utilization Type	Description of Work	DBE	Subcontract Value	Work Status
<i>Company 1</i>	<i>1</i>	<i>Sub</i>	<i>Milling</i>	<i>No</i>	<i>\$250,000.00</i>	<i>In Progress</i>
<i>Company 2</i>	<i>1</i>	<i>Svc. Provider</i>	<i>Environmental Support</i>	<i>No</i>	<i>\$25,000.00</i>	<i>Completed</i>
<i>Sub 3 (sub to Company 1)</i>	<i>2</i>	<i>Sub</i>	<i>Milling</i>	<i>Yes</i>	<i>\$25,000.00</i>	<i>Not Started</i>

2. Attach a list of DBE companies committed to the project. Sample format:

Business Name	Description of Work	Committed Subcontract Value	Eligible Paid to Date as of MM/DD/YYYY
<i>DBE Company 1</i>	<i>Traffic Control</i>	<i>\$25,000.00</i>	<i>\$2,321.00</i>

3. Are there established procedures to ensure subcontractors' compliance with the EEO obligations of this contract?

Yes                      No

4. Is FHWA Form 1273, and other Federal-aid contract provisions physically incorporated in all subcontracts?

Yes                      No

## Section III. On-the-Job Training/Apprenticeship

1. How many training hours have been set as a goal for this project?

**(if none, continue to Section IV)**

2. Do you have an approved on-the-job training program or are you a signatory to a collective bargaining agreement which has an apprenticeship program?

Yes                      No

3. How many trainees/apprentices are currently employed on the project?

4. If there are no trainees/apprentices on the project at the time of review, are they anticipated to be on the project?

Yes                      No                      If yes, when?

5. Attach a list of the current ratio of trainees/apprentices to journeymen for each craft utilized on the project.

6. Have trainees/apprentices received rate increase as provided for in the approved on-the-job training or apprenticeship program?

Yes                      No

- 7. Have any trainees/apprentices graduated from the program while on this project?  
     Yes                  No
- 8. Are apprentices being retained by the contractor after completion of their program?  
     Yes                  No
- 9. Attach a breakdown of training data for each trainee/apprentice by craft, gender, race/ethnic group, number of employees and number of hours worked. Sample format:

		Total of All Employees		Total of all Minorities		Black (not of Hispanic Origin)		Hispanic		Asian-Pacific (excluding Native Hawaiians)		American Indian or Native American (including Native Hawaiian)		Other (2 or more races)	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F
Laborer	<b>Apprentices</b>	4	1	2	1	-	1	2	-	-	-	-	-	-	-
	<b>Hours</b>	795	200	195	200	-	200	195	-	-	-	-	-	-	-
Electrician/ Wireman	<b>Apprentices</b>	3	-	1	-	-	-	-	-	-	-	1	-	-	-
	<b>Hours</b>	694	-	16	-	-	-	-	-	-	-	16	-	-	-
Operator	<b>Apprentices</b>	2	1	1	-	-	-	-	-	-	-	-	-	1	-
	<b>Hours</b>	800	776	300	-	-	-	-	-	-	-	-	-	300	-

**Section IV. Recruitment/Referral of Minorities and Women**

- 1. Is the Prime a signatory to collective bargaining agreement(s)?  
     Yes                  No                  **(if no, continue to #6 of this section)**
- 2. Attach a list of all union affiliations and answer the 3 questions listed in the sample below for each Union. Sample format:

International Union of Operating Engineers, Local 12

<b>Yes</b>	<b>No</b>	
✓		1. Does the Union have exclusive referral rights?
✓		2. Does the Union sponsor or participate in pre-apprentice or post apprentice training program?
✓		3. Does the contractor sponsor or participate in in pre-employment apprentice or post-employment training programs?

- 3. Attach a copy of the current collective bargaining agreement(s).
- 4. Is the recruitment of minorities and women addressed in the collective bargaining agreement(s)?  
     Yes                  No
- 5. Attach copies of required written EEO notices sent to the unions.
- 6. If the union has been unable to refer qualified minorities and women for employment, or if the contractor is not a signatory to a collective bargaining agreement, have recruitment procedures been established and used to fill job vacancies consistent with the EEO obligations of this contract?  
     Yes                  No                  If yes, attach a copy of the procedures/documentation of the efforts.
- 7. List those with the responsibility for hiring employees on this project.

Name	Title	Email Address
------	-------	---------------

8. Have employees with hiring authority been instructed in the methods of recruitment and hiring of minority and women employees?  
 Yes                      No
9. Can employees be hired on site?  
 Yes                      No
10. When advertising for employees through electronic sites, social media, newspapers, trade magazines or other publications, has the notation "An Equal Opportunity Employer" been included in the advertisements?  
 Yes                      No
11. Attach samples of advertisements, for this project only, and include the name of the site/publication and the dates ran.
12. Attach a list of community recruitment sources, other than unions and advertisements, used on this project (e.g. schools, minority organizations, women's organizations, community centers, Economic Development Centers, etc.) including the name, type of source and contact information.
13. Attach samples or documentation of any other types of recruitment techniques used to locate and hire minority and women employees.
14. Have present employees been encouraged to refer minority and women applicants for employment?  
 Yes                      No
15. Is an applicant log maintained?                      If yes, please provide a sample of the log and a copy of the procedures for maintaining and utilizing the log.  
 Yes                      No

## Section V. EEO Obligations

1. Has the following statement been accepted as operating policy?  
*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, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or 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.*  
 Yes                      No                      If no, please explain in an attachment.
2. Attach a copy of your EEO policy.
3. 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?  
 Yes                      No                      If yes, attach a description of the location and provide pictures.
4. Are new hires made aware of your EEO policy?  
 Yes                      No                      If yes, attach documentation.
5. Are all employees made aware of the EEO policy, at least annually, and updated on any changes as they occur?  
 Yes                      No                      If yes, attach documentation of means of notification (e.g. meeting minutes with roster of attendees, handbook with acknowledgement receipt, etc.).
6. Have all supervisory employees and HR personnel been trained on the EEO policy?  
 Yes                      No                      If yes, attach documentation of the training including sign-in sheets, course content, etc.
7. Has an EEO officer been designated specifically for this project?  
 Yes                      No                      If yes, attach procedures for addressing EEO related matters by the project EEO officer. **If no**, attach procedures for how EEO related matters are escalated to the company EEO officer.

8. Has the EEO officer (both company and project) been given adequate written authority delegating the duties and responsibilities of the position?

Yes                      No                      If yes, provide documentation.

9. When was the EEO officer(s) assigned EEO related responsibilities?

10. Annually, approximately what percentage of the time does the EEO officer(s) spend on EEO concerns?

11. Attach a curriculum vitae of the EEO officer(s), including specific information about training received within the last 2 years.

12. Is a written EEO Affirmative Action Plan (AAP) available?

Yes                      No

If yes:

- a. Attach a copy of the plan
- b. Has the AAP been updated in the last year and signed by a company official?
- c. Do employees receive a copy of the AAP?
- d. Are DBE contractors addressed in the AAP?
- e. Are minorities and women addressed throughout the AAP?
- f. For a no response for questions b. through e. above, attach an explanation.

13. Has EEO/AAP related training been conducted for all employees during the last year?

Yes                      No                      If yes, attach documentation of the training including sign-in sheets, course content, etc.

14. Attach a current workforce breakdown, with hours worked, for this project only, for craft employees in the following format.

		Total of All Employees		Total of all Minorities		Black (not of Hispanic Origin)		Hispanic		Asian-Pacific (excluding Native Hawaiians)		American Indian or Native American (including Native Hawaiian)		Other (2 or more races)	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F
		<b>Laborer</b>	<b>Employees</b>	4	1	2	1	-	1	2	-	-	-	-	-
	<b>Hours</b>	795	200	195	200	-	200	195	-	-	-	-	-	-	-
<b>Electrician/Wireman</b>	<b>Employees</b>	3	-	1	-	-	-	-	-	-	-	1	-	-	-
	<b>Hours</b>	694	-	16	-	-	-	-	-	-	-	16	-	-	-
<b>Operator</b>	<b>Employees</b>	2	1	1	-	-	-	-	-	-	-	-	-	1	-
	<b>Hours</b>	800	776	300	-	-	-	-	-	-	-	-	-	300	-

15. Attach a current breakdown of non-craft employees, providing support for this project, including professionals, managers, supervisors, technicians and office staff.

	Total of All Employees		Total of all Minorities		Black (not of Hispanic Origin)		Hispanic		Asian-Pacific (excluding Native Hawaiians)		American Indian or Native American (including Native Hawaiian)		Other (2 or more races)	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F
	<b>Professionals</b>	2	1	1	1	-	1	-	-	1	-	-	-	-
<b>Managers</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Supervisors</b>	3	-	1	-	-	-	-	-	-	-	1	-	-	-
<b>Technicians</b>	-	-	-	-	-	-	-	-	-	-	-	-	-	-
<b>Office Staff</b>	2	4	1	1	-	-	-	1	-	-	-	-	1	-

16. Are nondiscriminatory wage practices utilized on this project (no wage difference between minority, women and non-minority personnel within a given classification)?

Yes                      No                      If no, provide an explanation and documentation of the response.

17. Attach a list of all **new employees**, hired for this project, as of the last week ending reporting date, in the following format.

Name of New Employee	Race	Gender	Job Classification	Starting Hourly Wage	Start Date	Recruitment Source

18. Attach a list of all minority and women employees, who have worked on this project to date, as of the last week ending reporting date, in the following format.

Name of Employee	Race	Gender	Job Classification	Start Date	End Date (if applicable)

19. Attach a list of all personnel transactions, other than new hires, for this project only, including, but not limited to, promotions, upgrades, terminations, transfers, layoffs, and returns to union halls, in the following format.

Name of Employee	Race	Gender	Job Classification	Personnel Action	Date of Action

20. Have any complaints of discrimination been received in the past three years?

Yes                      No                      If yes, attach documentation of any complaints (an EEO complaint log) with at least the following information: date of complaint, brief description of the complaint, nature of the complaint (discrimination, harassment, etc.), Name and title of person named in the complaint, action taken, and outcome.

21. In the past three years, have reviews made by the Equal Employment Opportunity Commission (EEOC), the Office of Federal Contract Compliance Programs (OFCCP), or any other federal, state, or local agency regarding your company or any of your subcontractors resulted in a determination of compliance or noncompliance?

Yes                      No                      If yes, attach documentation in the following format:

Agency	Date of Review	Case identification(s)	Result

22. Attach a list of all Federal-aid contracts of \$10,000 or more held by your company. The list, at minimum, should include project identifying number(s), contracting agency, location and dollar amount.