

State of New Jersey
 DEPARTMENT OF TRANSPORTATION
 1035 PARKWAY AVENUE
 P.O. BOX 600
 TRENTON, NEW JERSEY 08625

RE's EEO, TRAINING AND DBE/ESBE AND SBE CHECKLIST (FHWA and 100% STATE PROJECTS)

The following checklist is a supplement to EEO information contained in the Construction Procedures Handbook. This checklist is applicable to Federal funded and 100% State funded projects. It is designed to assist REs in obtaining appropriate documentation to assure Contractors' compliance with the contract specifications. REs should review this checklist with their respective Contractors before the start of work.

The Office of Contract Compliance will perform reviews to evaluate Contractors' compliance with the contract EEO, DBE/ESBE or SBE and Training Provisions.

The RE shall maintain a file of required documentation. All such documentation is to be supplied by Contractor and each subcontractor holding a subcontract of \$10,000 or more for Federally funded projects and \$2,500 for State funded projects. This file should include all applicable items below with date received recorded.

PROJECT:
 FED. PROJ.#
 MINOR.GOAL ____% FEMALE GOAL ____% (Work Hours)

**Dates
 Rec'd.
 Prime**

Subcontractors

	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>
1. A copy of each Contractor's annual Affirmative Action Program approval letter (the approval letter also covers company EEO policy statement and designation of company EEO Officer). Also for each <u>subcontractor</u> holding a contract of \$2,500/\$10,000 or more.						
2. A copy of the Contractor's Affirmative Action Program for Disadvantaged/Emerging/Small Business Enterprise annual approval letter.						

R

E's EEO, TRAINING AND DBE/ESBE OR SBE CHECKLIST

**Dates
Rec'd.
Prime**

Subcontractors

	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>
3. Copies of letter formally appointing EEO Assistant (s) for each specific project <u>and DBE/ESBE liaison officer</u> . Their names, addresses and telephone numbers must be included. The above may be incorporated in one notice which must be posted on the project site and where applicants for employment apply.						
4. Copies of EEO policy commitment <u>letters</u> dated and referenced to the specific project to <u>employment referral agencies</u> such as: public and private employment agencies, State employment services, minority-oriented organizations, educational and vocational institutions, and other recruitment sources in the project locale.						
5. Copies of EEO policy commitment <u>letters to unions</u> must be posted in area (s) readily accessible to employees and applicants for employment. Also these letters must include request for unions' cooperation and a reply.						
A. Unions reply. (Also to be posted as in 5.)						

RE's EEO, TRAINING AND DBE/ESBE OR SBE CHECKLIST

**Dates
Rec'd.
Prime**

Subcontractors

	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>
6. Documents which indicate that the Contractor is an " <u>Equal Opportunity Employer</u> " e.g., employee applications, advertisements, payroll checks or envelopes showing the "Equal Opportunity Employer" legend. Other literature may include employee handbooks, bulletin board displays, and other appropriate communication media.						
7. Record of minutes or letter indicating Contractor provided <u>EEO orientation to all project supervisory and office personnel</u> at the start of construction and at least every six months thereafter. (The Contractor should invite the RE and all subcontractors to these meetings. If a subcontractor does not attend s/he is to hold his/her own meeting and document it.)	<u>Start</u> 6 months	<u>Start</u> 6 months	<u>Start</u> 6 months	<u>Start</u> 6 months	<u>Start</u> 6 months	<u>Start</u> 6 months
8. Document or record indicating that the EEO officer or his representative has <u>made periodic EEO on-site inspections</u> of general working conditions; including employee interviews to uncover complaints of discrimination, wage disparity or other unfair treatment of site personnel. (The EEO officer should make EEO inspections <u>during the 1st month</u> of construction and every month thereafter and submit a memo of record to the RE. On short-duration jobs of less than six months, such inspections should be held at least once during the 1 st month of construction and at the 50% stage.)						

RE's EEO, TRAINING AND DBE/ESBE OR SBE CHECKLIST

**Dates
Rec'd.
Prime**

Subcontractors

	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>	<u>Name</u>
9. A "running-log" of all minorities and females who perform work during the course of the project must be submitted monthly. (The names, addresses, job classifications, sex, ethnic group, dates started and the date and cause for termination must be included.)						
10. A log of "walk-in applicants" is to be submitted monthly. (This must include names, addresses, telephone numbers, ethnic group, sex, type of work sought, date of application and disposition.)						
11. Appropriate EEO and Wage Rate Posters must be prominently displayed on the project site and where applicants for employment and all project workers will see them.						

EEO, TRAINING AND DBE/ESBE OR SBE CHECKLIST

Indicate Contractor and subcontractors	Report Month	Date Rec'd.	GOALS NOT MET	Inst. Date	Report Month	Date Rec'd.	GOALS NOT MET	Inst. Date	Report Month	Date Rec'd.	Craft (s) Not Met	Inst. Date	
<p>12. Received E-Mail notification from Contractor and/or subcontractor indicating submittal of monthly employment and wage data to the Department via the web based application using the electronic Form CC-257R Report .Instructions on how to complete Form CC-257R are provided in the web application. Form CC-257R must be submitted via the web based application within 10 days following the end of the month. To verify and ensure compliance, each month the Contractor and each subcontractor must also submit a printed “hard copy” of the electronic CC-257R Report to the RE. Submission of this report also satisfies the requirement of the FHWA Form 1391.</p> <p>Indicate: Month of Report, Date Received, Craft (s) in which goals are not being met, and date of your documented instructions to Contractor (s).</p>													

RE's EEO, TRAINING AND DBE/ESBE OR SBE CHECKLIST

13. Copy of the Monthly Report, Utilization Disadvantaged/Emerging or Small Business Enterprise (CR-267) for the Month. The Contractor must submit directly to the Division of Civil Rights no later than the 5th of the month following month prepared.

Submittal of the Final D/ESBE/SBE Report (CR-268) at the completion of the project. Same distribution as above, Contractor submits original to Division of Civil Rights with a copy to the RE.

Indicate Contractor	Report Month	Date Rec'd.

14. TRAINING PROGRAM

DATE SUBMITTED:

DATE APPROVED:

Name	Ethnic Group	M/F	Class.	Train. Contr.	DATES				TRAINING HOURS			Dates 1409s Rec'd.	Cert. of Compl. Date	Remark
					Guidelines to Trainees	Est. Start.	Actual Start.	Term. or Compl.	Program	Proposed	Compl.			

EEO, DBE/ESBE OR SBE & TRAINING DATA DUE CHART
DOCUMENT ALL EFFORTS BY CONTRACTOR AND EACH SUBCONTRACTOR

<u>NUMBERS REFER TO RE 'S CHECKLIST</u>	At Start	Monthly	Every 6 Months	Each Quarter	<u>At Compl.</u>	*KEEP CURRENT
1. Contractor(s) Comprehensive AAPs (Approval Letter)	*					
2. Contractor(s) DBE/ESBE AAP (Approval Letter)	*					
3. EEO & D/ESBE Liaison Officer Notice	*					Keep current for each project
4. Letters Referral Agencies	*					Dated and referenced to project
5. Letters to Unions and Reply	*					Dated and referenced to project
6. "Equal Opportunity Employer" Legend	*					Second meeting required at 50% stage on short duration projects
7. Record of EEO Meetings(s)	*		*			
8. Record of EEO On-site Inspections		*				*
9. Running Log of Minorities - Females		*				*
10. Log of Walk-in Applicants		*				
11. EEO & Wage-Rate Posters	*					
12. Monthly Project Manning Report/Electronic CC-257R		*				1 copy to be sent to Compliance Office by 5th of the month following month reported
13. DBE/ESBE or SBE Form CR-267/268		*			*	Update as changes, additions, deletions occur and record dates, documentation received
14. Training Program Submittal	*					All changes must be approved
A. Guidelines to Trainee						<u>When Trainee begins training</u>
B. Bi-Weekly Training Report				*		
C. FHWA Form 1409				*		
D. Certificate of Completion					*	