



### REQUIRED DOCUMENTATION FOR CIVIL RIGHTS COMPLIANCE REVIEW

In accordance with 23 CFR Part 230, the Arizona Department of Transportation (ADOT) Civil Rights Office maintains the responsibility to monitor contractor equal employment opportunity (EEO) compliance efforts.

Contractors are required to ensure that the terms and conditions of their contracts are met when performing work on federal-aid highway contracts. In addition, Contractors are required to cooperate with ADOT during a compliance review, to include providing ready access to files and records, and submitting all required and requested reports necessary to document compliance with EEO requirements.

All requested documentation must be provided to the Civil Rights Office by October 19, 2020.

<b>1. Project Number</b>	<b>2. Contract Amount</b>	<b>3. Date of Review</b>
<b>4. Name and Address of Contractor</b>		
<b>5. Project Address:</b>		
<b>6. Name and Title of Policy Making Officer (List titles of other positions being held in the company)</b>		
<b>7. Name and Title of Project Officer (List titles of other positions being held in the company)</b>		
<b>8. Name and Title of Equal Employment Opportunity Officer (List titles of other positions being held in the company)</b>		
<b>9. Contract or Production: Schedule</b>		
<b>Beginning Date:</b>	<b>Est. Completion Date:</b>	<b>Anticipated Peak:</b>
<b>10. Type of Work</b>		

<b>EEO OFFICER</b>	
1. Does the contractor have a designated EEO Officer?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2. What is the name of the company's designated EEO Officer?  _____	
3. Does the EEO Officer have adequate authority to effectively implement the contractors EEO Program?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4. Does the EEO statement include the name and contact information of the EEO Officer?	<input type="checkbox"/> YES <input type="checkbox"/> NO
5. Has the EEO Officer conducted periodic meetings to supervisors and personnel employees? How often? Minutes/Sign-in sheets to document what was covered and name /title of attendees	<input type="checkbox"/> YES <input type="checkbox"/> NO
<b>EQUAL EMPLOYMENT OPPORTUNITY (EEO)/AFFIRMATIVE ACTION (AA) POLICIES AND PROCEDURES</b>	
6. Is there an EEO/Affirmative Action Policy/Plan established for the company?  Has the EEO Officer reviewed and explained the EEO policy to all new supervisors and employees? <b>(Provide written Affirmative Action Plan signed and dated by CEO)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO  <input type="checkbox"/> YES <input type="checkbox"/> NO
7. Is there a Sexual Harassment Policy? <b>(Provide written sexual harassment policy signed and dated by CEO)</b> If applicable, <b>provide the company's Employee Handbook.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
8. Does the EEO policy statement include the language used in Required Contract Provisions? <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
9. Is there a discrimination complaint procedure established for this company? <b>(Provide copy of complaint procedures)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
10. Have any complaints of discrimination been received within the past three years?	<input type="checkbox"/> YES <input type="checkbox"/> NO

<p>If yes, give a specific date(s) of complaint(s), nature of complaint(s), who was involved, what action was taken, and the outcome. <b>(Provide documentation)</b></p>	
<p>11. Have a discrimination complaint form? <b>(Provide documentation)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>12. Is there a discrimination complaint Log? <b>(Provide documentation)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>13. Is there a statement of any actions pertaining to employment practices? Actions taken by EEOC, Federal, State Status. <b>(Provide documentation)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>14. A Family and Medical Leave Policy? <b>(Provide documentation)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p><b>DISSEMINATE THE EEO POLICY</b></p>	
<p>15. 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?</p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>16. Required notices and posters on the bulletin board? <b>(Provide photos of the required notices and posters on the bulletin board)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>17. Check by which of the following means the EEO policy and the procedures to implement such policy have been brought to the attention of all employees on this project at least once annually: <input type="checkbox"/>Meetings Employee <input type="checkbox"/>Handbooks <input type="checkbox"/>Other Appropriate Means <b>(Provide meeting minutes with a roster of attendees, copies of acknowledgement of Receipts included in handbook and/plan or documentation of other means utilized)</b></p>	
<p>18. Have all new supervisory personnel and office personnel hired this season been given thorough indoctrination in the EEO policy within 30 days of their employment starting date? <b>(Provide documentation)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>19. Have EEO meetings with supervisory personnel and office personnel been conducted prior to the start of work on this project and at least every six months during the progress of this project? <b>(Provide minutes of the meetings including rosters of attendees.)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>

## RECRUITMENT

<p>20. When advertising for employees in newspapers, trade magazines or other publications, has the notation "An Equal Opportunity Employer" been included in those advertisements?  <b>(Provide documentation for this project only including name of publication and date(s) advertisement ran)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>21. When advertising for employees by any of the above means, has the advertisement been placed in publications that have a large circulation among minorities in the area from which the project workforce would normally be derived?  <b>(Provide documentation and a list of the newspapers, trade magazines, or other publications used.)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>22. Have present employees been encouraged to refer minority and female applicants for employment? <b>(Provide documentation supporting this claim.)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>23. Who on this project has the responsibility for hiring employees?          _____          Have they been instructed in the methods to be followed when locating and hiring minority and female employees? <b>(Provide documentation)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>24. Has systematic and direct recruitment been conducted with referral sources likely to yield minority and female applicants?  <b>(Provide details of the results of these contacts)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>25. Have procedures been established with these referral sources whereby minority and female applicants may be referred for employment consideration? <b>(Provide documentation of this contact to include name and address)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>26. What other innovative and proactive recruiting techniques have been used to locate and hire minority and female employees? (placing notices or fliers in grocery stores, laundromats, gas stations, etc.) <b>(Provide documentation)</b></p>	
<p>27. How do you achieve frequency in your recruitment?          _____          Do you advertise across multiple platforms?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO

<p>Do you pay for a contract with one particular job board for multiple job postings?</p> <p><b>(Provide a list of recruitment sources (other than unions) actually used on the project this season to include: name, address, dates contacted, telephone numbers)</b></p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>28. Provide a blank employment application form</p>	
<p>29. Is there a summary log for all applicants within the past 6 months? <b>(Provide a log summary of total applicants which includes date, name, address, race, gender, number, position applied for, recruitment source and decision.)</b></p>	
<p><b>PERSONAL ACTIONS</b></p>	
<p>30. Are records kept on personnel actions that are necessary to determine compliance with EEO obligations? (Personnel actions include termination, layoff, upgrading, demotion, transfer, training, etc.)</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>31. Is there a process to determine promotions &amp;/or wage increases?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>32. Provide a list of promotions made on the project for the current construction season, to include name and address, race, sex, and beginning employment date (indicate position held, position promoted into, and corresponding wage rates.</p>	
<p>33. Is there a process for periodic reviews on personnel actions in depth to determine whether there is evidence of discrimination?</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>34. Provide a list of all other personnel actions taken on the project for the current construction season. The list must include name and address, job classification, wage rate, race, sex, type of personnel action, and date.</p>	
<p>35. Provide a summary of total applications/resumes for employment received within the six (6) months preceding the date of review or from contract start-up (if less than six [6] months), in chronological order. Include which applicants were interviewed, resulting decision, referral source, and indicate company-wide or for this contract.</p>	

**AMERICANS WITH DISABILITIES ACT (ADA) POLICY/PROCEDURES FOR EMPLOYEES AND APPLICANTS FOR EMPLOYMENT**

36. Policy/procedures on how applicants and employees can request reasonable accommodations? <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
37. Does the process include the interactive process and the tracking of the results?	<input type="checkbox"/> YES <input type="checkbox"/> NO
38. Is there an Americans with Disabilities Act (ADA) Request Form established for this company? <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
39. Is a log used for tracking accommodations requests received; indicate status and resolution. <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO

**SUBCONTRACTORS EEO REQUIREMENTS**

40. Provide a list of all subcontractor's EEO Officers and their contact information. (For all construction contracts exceeding \$10,000)	<input type="checkbox"/> YES <input type="checkbox"/> NO
41. Are all potential subcontractors and suppliers and lessors of their EEO obligations under this contract?	<input type="checkbox"/> YES <input type="checkbox"/> NO
42. Describe procedures used to ensure subcontractors are in compliance with EEO obligations? <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
43. Is there an internal EEO monitoring process for subcontractors? <b>(Provide documentation)</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO

**UNION AFFILIATIONS**

44. Is this firm signatory to a collective bargaining agreement(s)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
45. Provide a copy of all current collective bargaining agreements.	
46. Does the agreement(s) provide for exclusive hiring hall referrals?	<input type="checkbox"/> YES <input type="checkbox"/> NO

<p>47. Is there an Equal Employment Opportunity clause incorporated in the agreement(s)?</p> <p>If so, on what page does the clause appear? _____</p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>48. Provide three copies of executed purchase orders and public correspondence containing the EEO clause.</p>	
<p>49. Have required written notices been sent to unions?</p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>50. 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 the EEO obligations of this contract?</p> <p><b>(Provide a copy of the procedures and documentation of these efforts.)</b></p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>

**TRAINING**

<p>51. Does the contractor have an active training program?</p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>52. If there are none on the project at the time of the review, are they anticipated to be on the project? When?</p> <p>_____</p>	<p><input type="checkbox"/>YES <input type="checkbox"/>NO</p>
<p>53. Provide a Monthly Training Progress Report, generated by the reporting software with required signatures for all apprentices/trainees being utilized. <b>*OPTIONAL*</b></p>	

**APPROVAL SIGNATURE**

Completed by: \_\_\_\_\_

Title: \_\_\_\_\_

\_\_\_\_\_ Date: \_\_\_\_\_

Signature of Authorized Official: \_\_\_\_\_

**ADOT CIVIL RIGHTS OFFICE (USE ONLY)**

**Contractor Compliance Reviewers:**

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**Review Date:**

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