

Executive Summary

- Contracts
- DBE
- Title VI
- Environmental

- Labor Compliance
- Field Reports
- Buy America
- Material Certifications
- Audits





JANECE RAY – Federal Compliance

- City of Chandler, Arizona
- 15 Years Total
- 12 years Federal Compliance
- Capital Projects Design and Construction
- Oversee Consultants and Contractors



Learning Objectives

- Contracts
 - Audit Preparation
 - Lists and Logs
 - Certified Payroll Verification
 - Communication
 - Other Tips



Contracts



City of Chandler, Arizona Public Works & Utilities Department Capital Projects Division

CONSTRUCTION BID

CITY PROJECT NO.:

MAYOR Kevin Hartke

VICE MAYOR Terry Roe

COUNCIL

Matt Orlando Jeremy McClymonds René Lopez Sam Huang Mark Stewart

Andrew Goh, P.E. CIP City Engineer





- DBE
- Title VI
- Prompt Pay
- EEO
- Wage Decision
- Jobsite Posters
- Environmental



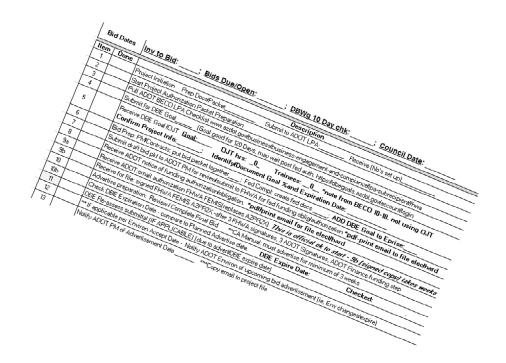


Audit Preparation



Audits Preparation

- Always start a project with the end in mind
- Make a checklist of all project contract requirements





Audit Prep Tips

- **Tip 1:** Ask yourself, "what will the auditor think about this"
- **Tip 2:** Remind Staff, Project Team, Contractors, Subcontractors, Consultants that audits can occur 1-2-3 years AFTER project is complete.
- Tip 3: Audits on one can cause an audit on all the others

Date		Project No (s)	
Audit No Project Name		Project Name	
Federal Doo	CS	Harris	
1	*Authorization Form AZ	PR2x	
2	*Clearance Letter		
3	*Environmental Clearar	ice	
4	*Categorical Exclusion		
5	*Engineers Estimate		
6	*Right of Way Clearance	e	
7	7 *Utility Clearances / RR Clearances		
Contract Do	cuments		
8	*Solicitation Advertisen	ient	
9	*Confirmation of 10-Day	/ pre check on Wage D	
10	*Contract		
Constructio	n Documents		
11	Project Contact List		
12	Audits – copy of all prev	vious audits	
13	*Authorized Signature F	om	
14	*CPM Schedule		

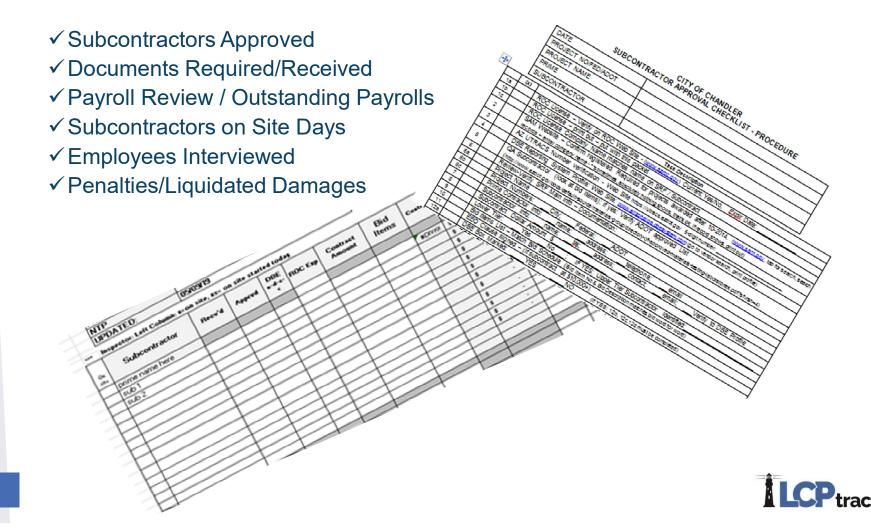


Lists & Logs





Lists and Logs



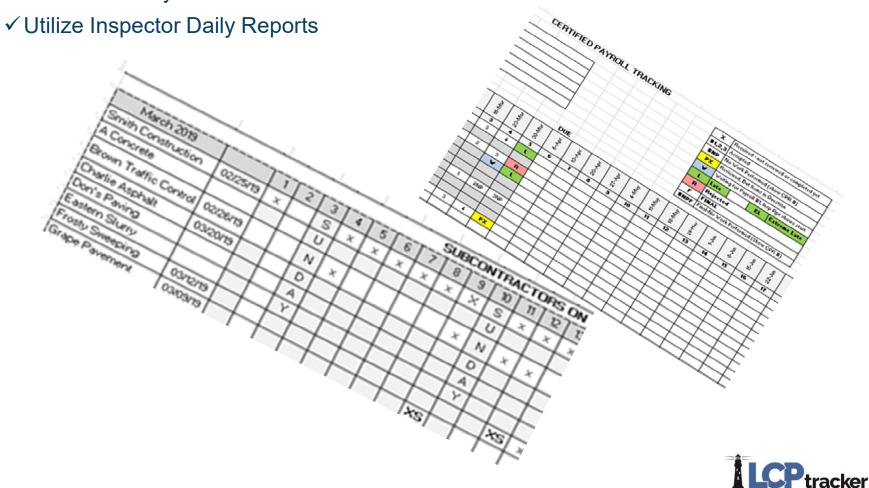
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Certified Payroll Verification



CERTIFIED PAYROLL VERIFICATION

✓ More Than Pay Rates & Classifications



Communication





COMMUNICATION MISHAPS CAUSE FRUSTRATION

- Information Pass-Down (or UP) Does Not Always Happen
- Representatives At Meetings Are Not Always The Ones Who Need The Information
- Changes In Requirements From Last Project
- Employee Turnover
- City to City Same Requirements and Difference Procedures



COUNTER ACT TO AVOID MISHAPS

- Contractor Federal Project Guidelines Handout
- Use at Pre Bids, Include in Contract & Subcontracts, Pre Construction Meetings
- Email Group Contact For Each Project
- Provide / Offer Federal Compliance Review



Other Tips



OTHER TIPS

- Be Engaged Be Aware Of All The Moving Pieces
- Federal Requirements Review With Contractors, Designers, Engineers, Staff
- Guides / Tips Sheets for Handouts & Reference/Pre-Filled Forms
- Learn What the Other Side Does

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Federal Funded Contract Guide for Contractors/Subcontractors

This is an FHWA federal funded project.

- THIS IS AN FHWA FEDERAL FUNDED CONTRACT / PROJECT. There is a ZERO TOLERANCE for compliance of the federal requirements. <u>FHWA can take back federal funds for non-compliance</u>.
- THIS GUIDE MUST BE INCLUDED IN ALL SUBCONTRACTS. This document must accompany a Subcontractor Request and must be initialed by the subcontractor and submitted with the Subcontractor Request documentation (SRF, Subcontract, ECO, etc).
- 3. PRIME CONTRACTOR MUST SELF PERFORM 50% OF THE CONTRACT.
- 4. FEDERAL GUIDELINES REQUIREMENTS: If the subcontractor does not follow the federal guidelines during the project:
 - A subcontractor federal compliance training may be required at the City of Chandler office and will require one person from the Prime Contractor.
 - If the training meeting does not resolve the subcontractor federal compliance deficiencies, the subcontractor can be rejected from performing any additional work on the project.
- 5. RECORD RETENTION REQUIREMENTS: Records must be maintained for five (5) years.
- WEB SITE REGISTRATION REQUIREMENTS: All Contractors / Subcontractors working on a federal funded project must be registered with:
 - AZ UTRACS website (https://utracs.azdot.gov) Must have a 5-digit AZ UTRACS Number (The 5-digit number is new. The old 7-digit number will not be accepted)
 - ADOT DBE System—(www.sdot.dbesystem.com) All contractors/subcontractors must be registered in the ADOT DBE System, whether a DBE or not a DBE.
 - SAM (www.sam.gov) This site identifies contractors who cannot work on a federal funded project.
 i. Contractors/Subcontractors should be registered with "SAM" for contracts awarded after 10-2014.
 - ii. No Contractor/Subcontractor with a debarment can work on a federal funded project.
 - iii. No Contractor/Subcontractor with an unresolved federal debt can work on a federal funded project
- 7. PAYROLL, CERTIFIED PAYROLL REPORTING, FRINGE BENEFITS
 - a. Certified Payrolls Reporting is a requirement to work on this project
 - $b. \quad \text{City of Chandler requires the use of LCPTracker} \\ \underbrace{(www.lcptracker.com)} \\ \text{to submit certified payrolls} \\$
 - Certified Payroll Reporting is required WEEKLY for both working and non-working weeks from the first day a contractor/subcontractor starts work on this project and weekly until their contract work is complete and finalized.
 - d. Late or non-submittal of payroll reports:
 - i. City of Chandler may hold Prime Contractor's payment
 - ii. City of Chandler may assess penalty retainer of \$2,500 for each non-submitted payroll
 - iii. City of Chandler can stop contract work until compliance is met.
 - ALL LABORERS /MECHANICS WORKING ON SITE FEDERAL FUNDED PROJECTS MUST BE PAID WEEKLY



Learning Objectives Review

- Contracts
 - Audit Preparation
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 - Other Tips



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THANK YOU

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