Part 3  EEO, DBE, Training, and Reporting

EEO Program

<table>
<thead>
<tr>
<th>EEO Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity to groups of people who are under represented in the work force</td>
</tr>
<tr>
<td>See GSP 1-07.11 OPI1.GR1 in your plans</td>
</tr>
<tr>
<td>Expressed as a percent of total workforce</td>
</tr>
<tr>
<td>A yearly goal for your contractor</td>
</tr>
<tr>
<td>Reporting Requirements Monthly Utilization Report PR 1391 (every July)</td>
</tr>
</tbody>
</table>

**EEO Compliance**

Your project includes a GSP 1-07.11(2) under the heading Requirements for Non-Discrimination. This GSP assigns certain goals to your contractor. Note that these goals are for their aggregate work force on all projects this year, not just for your specific project.

**EEO Reporting**

**Monthly Employment Utilization Report** (WSDOT Form 820-010) *(Figure 3-1)*

For contractors and subcontractors performing less than $10,000 of work:
- No report is required.

For contractors and subcontractors performing more than $10,000 of work:
- Reports are to be collected and kept in the prime contractor’s or subcontractor’s office. You have no responsibility.

**Annual EEO Report**

This required form is completed nationwide for all construction projects active in the month of July each year. Collect FHWA 1391 from your contractors, then combine them on form FHWA 1392. Submit FHWA 1392 to the Region Local Programs Office with copies of FHWA 1391 forms. We submit this to FHWA.

FHWA 1391 *(Figure 3-2)* is prepared by the contractor. FHWA 1392 *(Figure 3-3)* is prepared by your agency.
Disadvantaged Business Enterprise (DBE) Program

<table>
<thead>
<tr>
<th>DBE Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owned and managed by women and minorities</td>
</tr>
<tr>
<td>Assigned by letter must include</td>
</tr>
<tr>
<td>GSP goal/no goal</td>
</tr>
<tr>
<td>Write condition of award letter</td>
</tr>
<tr>
<td>Substitute only with FHWA approval and CO</td>
</tr>
<tr>
<td>A mandatory goal for your project</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reporting Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Agency Quarterly Reporting Amt Pd DBE MBE/DBE/WBE On Site Review WSDOT Form 422-103</td>
</tr>
</tbody>
</table>

The Disadvantaged Business Enterprise (DBE) Unit administers the United States Department of Transportation (USDOT) Disadvantaged Business Enterprise (DBE) Program and the Washington State Office of Minority and Women’s Business Enterprise (OMWBE) program. The purpose of the DBE program is to ensure a level playing field and foster equal opportunity for firms owned and operated by disadvantaged individuals on USDOT-assisted contracts and procurements. The purpose of the DBE program is to provide maximum practicable opportunity for firms owned and operated by minorities and women in public works projects and procurement.

Washington State’s overall DBE participation goal varies year to year for Federal Highway Administration (FHWA) assisted projects. The goals assigned to your project contribute to the statewide goal. Goals are generally higher on Washington State Department of Transportation (WSDOT) projects. A DBE goal represents a percentage of the value of a federally assisted contract for which disadvantaged business enterprises should ordinarily participate.

A DBE goal is assigned to your project based on the size, duration, type, and location of your project. The goal will be set during the design phase and your project manual will include either a “no goal” or “mandatory goal” GSP. Reports discussed below are required when any DBE works on your project, whether or not a DBE goal is assigned.

For more information about the DBE goal setting process, see the WSDOT Office of Equal Opportunity web page at www.wsdot.wa.gov/equalopportunity.
DBE Reporting

Local Agency Quarterly Report of Amounts Credited as DBE Participation (WSDOT Form 422-103) (Figure 3-4)

This form must be completed by the contractor if your project has been awarded and payment has been made in the previous calendar quarter. Submit to your Region Local Programs Office.

MBE/DBE/WBE On-Site Review (WSDOT Form 272-051) (Figure 3-5)

This form, completed in the field by your inspector, is used to determine whether or not a certified DBE is performing a “commercially useful function.” What the interview will help determine is whether the contractor is managing and performing their own work. Submit the completed form to your Region Local Programs Office and we will forward it to Olympia for further review.

DBE Participation (Construction Manual Section 1-2.7)

No Goal (Construction Manual Section 1-2.7F(1))

The no goal specification is included to inform the contractor of obligations identified regardless of the establishment of a DBE Goal. These include the responsibility of “Procedures Between Award and Execution.”

Mandatory Goal or Condition of Award (COA) Goal (Construction Manual Section 1-27.F(2))

As a condition of award, the contractor must commit to and follow through on subcontracting at least the goal amount to certified DBE firms or the attainment identified on the DBE Utilization Certification. Goals are established as a percentage and then converted at award to dollars. This dollar goal must be met by the identified sub-contractors in at least the amount specified in the condition of award letter. If work is reassigned so that the original COA contractor or sub is not used or if the assigned dollars are changed, approval by FHWA is required followed by a change order. Contact your Region Local Programs Office for help.

DBE Reporting (Construction Manual 1-2.7F(4))

Quarterly Report of Amounts Credited as DBE Participation (WSDOT Form 422-103) is required by all DBE special provisions. The contractor is required to complete this report on all projects with federal participation.

*Include change order work performed by DBEs in the report.

This report is due to the contracting agency on the 20th of April, July, October, and January.

The local agency is required to send a copy of this report to their Region Local Programs Engineer each quarter. These reports are required for all federal aid projects, including those with voluntary or no DBE goals. The state’s reimbursement to the local agencies is conditioned upon the receipt of these reports.
This report is due to the Region Local Programs Engineer from the agency on the last day of April, July, October, and January.

*Quarterly Reports will be checked during project reviews.

**DBE On-Site Reviews** *(Construction Manual Section 1-2.7F(5))*

On-site reviews shall be conducted on contracts that include COA goals when the COA contractor starts work, during the peak period of the contractor’s work, and whenever there is a change in the nature of methods of the work.

The intent of the overall program, and hence the review, is to document that the DBE is indeed in control of the work and performing a Commercially Useful Function (CUF), that is performing, managing, and supervising the work.

We also recommend you perform a review on every DBE working on a federal aid project, regardless of COA status and record all DBE information in your project files.

*On-Site Reviews will be checked during the PMR.

**Training Program Submittal and Approval** *(Construction Manual Section 1-2.7G)*

<table>
<thead>
<tr>
<th>Training Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Opportunity to individuals, generally women and minorities</td>
</tr>
<tr>
<td>Assigned by letter</td>
</tr>
<tr>
<td>Must include GSP</td>
</tr>
<tr>
<td>Program and trainees to approve</td>
</tr>
<tr>
<td>Payment to contractor for hours</td>
</tr>
<tr>
<td>A mandatory goal for your project</td>
</tr>
<tr>
<td>Reporting Requirements</td>
</tr>
<tr>
<td>Apprentice Interview</td>
</tr>
<tr>
<td>Annual Report of All Training Paid</td>
</tr>
</tbody>
</table>

**Assignment of Training Hours**

Mandatory training hours may be assigned to your project. This determination will have been made during the later stages of the design phase. It is made based on the size of the project, types of work, opportunities for training, and location. The training and upgrading of minorities and women is the primary purpose of the training program.
The requirements for training will only be found in federal aid projects and are made part of the contract by special provisions. Your project will have a bid item for training if a mandatory training goal has been assigned.

**Understanding the Difference – Apprentice and Trainee**

Your contractor will submit an Apprentice/Trainee Approval Request. Before you can approve or disapprove it, you need to understand that **apprentice and trainee are not synonymous terms**, though either can be paid for under the bid item “Training” as discussed below.

- **Apprentice** – An apprentice is part of a systematic training program offered by a particular union and approved by L&I. They may be working on your project whether or not there is a training requirement if the contractor has a signed agreement with particular unions. These “union” contractors submit apprentices to satisfy the bid item, Training. You receive two forms, Training Program (WSDOT Form 272-049) (Figure 3-6) and Apprentice/Trainee Approval Request (WSDOT Form 272-050) (Figure 3-7). The first one asks for approval of the proposed program. The second form asks for approval of specific persons to fulfill the requirements of the program. These may not come in at the same time. A contractor may know they will use carpenter apprentices, for example, without knowing the names of the specific individuals who will be available. An apprentice is paid on a pre-determined climbing pay scale that is less than the prevailing wage.

- **Trainee** – For contractors who do not have signed agreements with a particular union, each contractor designs their own program of training and submits it for approval. To satisfy requirements of the bid item Training, these “non-union” or “non-signatory” contractors must submit WSDOT Form 272-049, a detailed written plan defining tasks, hours, and duration of training they will provide, and WSDOT Form 272-050 showing which individuals they propose to use as a package. A trainee is always paid the prevailing wage.

*Note:* Be aware you may have both “union” and “non-union” contractors on your project at the same time. It is also possible to have a “union” contractor who does not have agreements with all unions represented on your project.

**Approving the BAT/SATC Training Program**

If you are a CA agency, you have the authority to review and approve the training program if they show on the form that it is a BAT/SATC approved program and the following criteria are met:

- The training program is a recognized union approved BAT/SATC or the CITC (non-union but pre-approved) program for electricians.
- Total hours shown on the training program equal the contract quantity.
- The minimum assignment per individual is 200 hours. Less than this is not considered meaningful training.
- The maximum assignment per person may go as high as the number of hours needed to complete the individual’s apprenticeship as long as that number does not exceed the total training goal for the project.
• No laborer trainees are to be approved in King County.
• The maximum assignment for traffic control is 20 hours per individual and only then as part of a Construction Laborer’s overall training.

**Approving the Non-BAT/SATC Training Program**

No agency has authority to approve these trainees. You must send the package to your Region Local Programs Office and we will forward it through channels to the WSDOT Office of Equal Opportunity and ultimately to FHWA for approval.

**Changes in the Training Goal**

At the beginning of the project, if the contractor asserts that the training hours assigned cannot be met, they must make written submittal to you explaining why not. Forward this letter to your Region Local Programs Office immediately, as any change at this point must be approved by FHWA. Be aware that the goal will not be lowered late in the project or due to the contractor’s choices.

**Trainee Approval** *(Construction Manual Section 1-2.7G(2))*

Each inspector should have a list of the approved trainees on the contract, including the contractor’s name and type of training to be accomplished.

• Apprentice/Trainee Approval Request (WSDOT Form 272-050) must be submitted for each trainee.
• Good Faith effort documentation is required for all non-minority males proposed for training. This information must be sent to the regions.
• Non-BAT/SATC Trainees must be paid the minimum prevailing wage for their craft.
• BAT/SATC Trainees may be paid on a graduated scale (see Training Program).
• Payment for training will be based on invoices received from the contractor. Overruns in training will be allowed with agency approval up to 25 percent of the contract or 500 hours, whichever is less. Overruns will not be allowed for traffic control.

**Trainee Interview**

The Trainee Interview is one of the tools used to monitor contract requirements when it comes to meaningful training and carrying out the training plan. The Local Agency should plan on doing one interview per trainee.

**Good Faith Effort**

If your contractor asserts that no minority or female apprentices or trainees are available and wants to document “good faith effort” instead, please contact your Region Local Programs Office immediately for help. Your agency does not have the authority to approve “good faith effort.”
Monitoring the Training Program

It is the responsibility of the Local Agency to monitor the training program to ensure that each trainee receives beneficial training on the project and is working in accordance with the approved program. You monitor the training program as follows:

- Read and understand the General Special Provision, Special Training Provisions.
- Is the training program submitted before work starts?
- Are trainees submitted early in the project?
- If trainees leave before the target is met, are they replaced quickly?
- If there are changes, was the training program revised to reflect the change?
- Are you tracking to confirm that the trainees appeared as anticipated?
- Will the goal be met at the current rate? If not, write a letter to the contractor.
- Complete a Trainee Interview Questionnaire (WSDOT Form 226-012) (Figure 3-8).
- Does your inspector believe that trainees are receiving meaningful training?
- Payment can only be made with complete approved paperwork in your file. Once approved, you can pay for training retroactive to the date your agency received the submittal.
- Your agency has the option to pay for additional hours beyond the goal.

Contact your Region Local Programs Office if you encounter any of these serious problems that must be resolved immediately:

- Training goals won’t be met.
- Work deleted by change order is going to affect available training hours.
- Questions or concerns about good faith efforts.

Training Reporting

The purpose of the Trainee Interview Questionnaire (WSDOT Form 226-012) form is to determine if a trainee is receiving meaningful and beneficial training. Wait until the middle of the trainee’s anticipated employment. The Trainee Interview is one of the tools used to monitor contract requirements to determine training. Do one interview per trainee per construction season. Keep in your files.

Annual Project Training Report

The Federal-Aid Highway Construction Annual Project Training Report (WSDOT Form 272-060) (Figure 3-9) is completed in December each year by your agency and includes all training that your agency paid for under a training bid item for all FHWA projects in the calendar year. Submit to your Region Local Programs Office.
### Monthly Employment Utilization Report

#### Table

<table>
<thead>
<tr>
<th>Construction Trade</th>
<th>Classifications</th>
<th>Total Contract Construction Work Hours</th>
<th>Percentages</th>
<th>Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Total Work Hours of All Employees By Trade</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. Black (Not of Hispanic Origin)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Hispanic</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Asian or Pacific Islander</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>d. American Indian or Alaskan Native</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>e. Minority Percentage</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Minority Percentage</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Female Percentage</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. Total Number of Employees</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. Total Number of Minority Employees</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Columns
- **M F M F M F M F M F**
- **Journey Worker**
- **Apprentice**
- **Trainee**

**Total Journey Workers**

**Total Apprentices**

**Total Trainees**

**Grand Total**

#### Footer

Company Official's Signature and Title

Telephone Number

Date Signed

Page of
### Table A

<table>
<thead>
<tr>
<th>JOB CATEGORIES</th>
<th>TOTAL EMPLOYED</th>
<th>TOTAL RACIAL/ETHNIC MINORITY</th>
<th>BLACK or AFRICAN AMERICAN</th>
<th>HISPANIC OR LATINO</th>
<th>AMERICAN INDIAN OR ALASKA NATIVE</th>
<th>ASIAN</th>
<th>NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER</th>
<th>TWO OR MORE RACES</th>
<th>WHITE</th>
<th>APPRENTICES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M  F  M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
</tr>
<tr>
<td>OFFICIALS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>SUPERVISORS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>FOREMEN/WOMEN</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>CLERICAL</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>EQUIPMENT OPERATORS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>MECHANICS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TRUCK DRIVERS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>IRONWORKERS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>CARPENTERS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>CEMENT MASONS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>ELECTRICIANS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>PIPEFITTER/PLUMBERS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>PAINTERS</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>LABORERS-SEMI SKILLED</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>LABORERS-UNSKILLED</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Table B

<table>
<thead>
<tr>
<th></th>
<th>TOTAL RACIAL/ETHNIC MINORITY</th>
<th>BLACK or AFRICAN AMERICAN</th>
<th>HISPANIC OR LATINO</th>
<th>AMERICAN INDIAN OR ALASKA NATIVE</th>
<th>ASIAN</th>
<th>NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER</th>
<th>TWO OR MORE RACES</th>
<th>WHITE</th>
<th>APPRENTICES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M  F  M  F  M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
</tr>
<tr>
<td></td>
<td>0  0  0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Table C

<table>
<thead>
<tr>
<th></th>
<th>TOTAL RACIAL/ETHNIC MINORITY</th>
<th>BLACK or AFRICAN AMERICAN</th>
<th>HISPANIC OR LATINO</th>
<th>AMERICAN INDIAN OR ALASKA NATIVE</th>
<th>ASIAN</th>
<th>NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER</th>
<th>TWO OR MORE RACES</th>
<th>WHITE</th>
<th>APPRENTICES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M  F  M  F  M  F  M  F  M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
<td>M  F</td>
</tr>
<tr>
<td></td>
<td>0  0  0  0  0  0  0  0  0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Table D

- **OFFICIALS:**
  - Total: 0
- **SUPERVISORS:**
  - Total: 0
- **FOREMEN/WOMEN:**
  - Total: 0
- **CLERICAL:**
  - Total: 0
- **EQUIPMENT OPERATORS:**
  - Total: 0
- **MECHANICS:**
  - Total: 0
- **TRUCK DRIVERS:**
  - Total: 0
- **IRONWORKERS:**
  - Total: 0
- **CARPENTERS:**
  - Total: 0
- **CEMENT MASONS:**
  - Total: 0
- **ELECTRICIANS:**
  - Total: 0
- **PIPEFITTER/PLUMBERS:**
  - Total: 0
- **PAINTERS:**
  - Total: 0
- **LABORERS-SEMI SKILLED:**
  - Total: 0
- **LABORERS-UNSKILLED:**
  - Total: 0
### Table A: Workforce by Race/Ethnicity

<table>
<thead>
<tr>
<th>Job Category</th>
<th>Total Employed</th>
<th>Total Racial/Ethnic Minority</th>
<th>Black or African American</th>
<th>Hispanic or Latino</th>
<th>American Indian or Alaska Native</th>
<th>Asian</th>
<th>Native Hawaiian or Other Pacific Islander</th>
<th>Two or More Races</th>
<th>White</th>
<th>Apprentices</th>
<th>On the Job Trainees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Official</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Supervisors</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Foremen/Supervisors</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Equipment Operators/Operators/Jobs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Mechanics</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Truck Drivers</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Ironworkers</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Carpenters</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Cement Masons</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Electricians</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Painters</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Plumbers</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Labors/Laborers/Semi-Skilled</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

### Table B: Workforce by Race/Ethnicity (by Racial Status)

- Total Employed: 1
- Two or More Races: 0
- White: 0
- Apprentices: 0
- On the Job Trainees: 0

### Table C: (Table B data by racial status)

- [Table C data by racial status]

---

*Form FHWA 1392 (Rev. 06-10)"
## Local Agency Quarterly Report of Amounts Credited as DBE Participation

Check appropriate reporting period and enter reporting year.

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Reporting Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Quarter - January (Oct. - Dec.)</td>
<td>1st Quarter - January (Oct. - Dec.)</td>
</tr>
<tr>
<td>2nd Quarter - April (Jan. - Mar.)</td>
<td>Final</td>
</tr>
<tr>
<td>3rd Quarter - July (April - June)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contractor</th>
<th>DBE Participant</th>
<th>Contract Type</th>
<th>Date of Payment</th>
<th>*Dollar Credit Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Name and Federal Employer I.D. Number</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Contract Type:**
- S = Subcontractor
- M = Manufacturer
- J = Joint Venture
- A = Agent
- R = Regular Dealer
- V = Service Provider

I, the undersigned, do hereby certify that in connection with all work on the project for which this statement is submitted, each DBE participant contracted by me has been paid on the dates shown. *Further, I certify that the amounts shown under "Dollar Credit Amount" are in accordance with the "DBE Eligibility" portion of the DBE Special Provision.

Signature ____________________________  Title ____________________________

This form is due on the 20th of the month following the end of the respective Quarter (January, April, July, October).

DOT Form 422-103 EF
Revised 2/2006
MBE/DBE/WBE On-Site Review

<table>
<thead>
<tr>
<th>Prime Contractor</th>
<th>Federal Aid Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subcontractor</td>
<td>Contract Number</td>
</tr>
<tr>
<td>Project Engineer</td>
<td>Region</td>
</tr>
<tr>
<td></td>
<td>MBE</td>
</tr>
</tbody>
</table>

1. Per the condition of award, indicate M/D/WBE work observed this date (Note partial items)

<table>
<thead>
<tr>
<th>Bid Item Number</th>
<th>Approximate % Complete</th>
<th>Item Description (Note partial items)</th>
<th>Dollar Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. M/D/WBE Subcontractor’s Start Date
3. WSDOT Contract Percent Complete
4. Anticipated Completion Date

5. Subcontractor’s ○ Site Superintendent ○ Foreman (Name)
6. Exclusively Employed by the M/D/WBE Contractor? ○ Yes ○ No

6a. If No, Please Explain

7. Is Superintendent / Foreman Shown on M/D/WB Payroll? ○ Yes ○ No
8. Is Superintendent/Foreman Shown on any other On-Site Contractor’s Payroll? ○ Yes ○ No

8a. If yes, Please Explain

9. If Known, to Whom does the M/D/WBE’s Superintendent/Foreman Directly Report to Within His/Her Own Organization?
   Name
   Title

10. List Names and Crafts of M/D/WBE’s Crew as Observed (Use additional sheets, if needed).

11. Are any Crew Members on the Prime or any other Project Subcontractor’s Payroll(s)? ○ Yes ○ No
11a. If yes, Please Indicate

12. List M/D/WBE’s Major (Self-Propelled) Equipment Used

13. Does Equipment have M/D/WBE’s Markings or Emblems? ○ Yes ○ No
13a. If No, Please Indicate

14. Equipment ○ Owned ○ Leased

15. Has any other Contractor Performed, on behalf of the M/D/WBE, Substantial Amount of Work Designated to be M/D/WBE? ○ Yes ○ No
15a. If Yes, Please Explain

16. Has the M/D/WBE Owner been present on the Job Site? ○ Yes ○ No

17. Are Personnel and Equipment Under Direct Supervision of the M/D/WBE Subcontractor? ○ Yes ○ No
18. Does the M/D/WBE Subcontractor Appear to have Control over Methods of Work in its items? ○ Yes ○ No

Comments

Note: Attach any documents pertinent to the review, i.e., Invoices, Photographs, Daily Reports, Correspondence, etc.

Review Conducted By ___________________________ Date of This Review ___________________________

DOT Form 272-051 EF
Revised 6/2007
Distribution: Region EEO Office, WSDOT Office of Equal Opportunity

Supersedes Previous Editions

MBE/DBE/WBE On-Site Review

Figure 3-5
Training Program

Figure 3-6

Note: This training program must be submitted to the Engineer prior to commencing work.

If you have assigned training requirements to your subcontractor(s), a separate Training Program must be completed and submitted for each subcontractor. Subcontractor(s) programs must be submitted and reviewed by the prime.

Contractor Name: Good Guys Coast, Inc.

Federal Employer's ID No.: 78-001002
WSDOT Contract No.: TA 0101

Address: 1550 Avenue
City: Mytown
State: WA
Zip: 09112
Date: 01/17/2007

Federal Aid Project No.: STIPUS 2003(000)
Project Title: The Really Great Road Show
Trainees Assigned: 3
Trainee Hours Assigned: 745

*If no Federal Employer's I.D. No., use owner's social security number.

I. Approval. Is requested to provide training, per Section 1-07.11 of the Standard Specification and Contract Special Provisions in the following areas:

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apprentice I Trainee Craft</td>
<td>Number of Trainees Proposed</td>
<td>Hourly Assignment Per Trainee</td>
<td>Total Hours Assigned to Craft</td>
<td>BAT or SATC Approved?</td>
<td>Estimated Start Date</td>
</tr>
<tr>
<td>Construction Equipment Operator</td>
<td>2</td>
<td>320, 225</td>
<td>545</td>
<td>No</td>
<td>4/30 &amp; 5/7/07</td>
</tr>
<tr>
<td>General Construction Laborer</td>
<td>1</td>
<td>200</td>
<td>200</td>
<td>No</td>
<td>4/30/2007</td>
</tr>
</tbody>
</table>

II. Affirmative Action. This training commitment is not intended and shall not be used to discriminate against any applicant for training, whether a member of a minority group or not. However, the training and upgrading of minorities and women toward journey level status is a primary objective of this training provision. Accordingly, the Contractor shall make every effort (documentation will be required if non-protected persons are proposed) to enroll minority trainees and women to the extent that such persons are available within a reasonable area of recruitment.

III. Programs Not Approved by BAT or SATC. A detailed breakdown of the hours assigned to the various skills of the trade must be submitted for other than apprenticeship trades. In addition to completing Section I, the Contractor must provide the following standards:

A. Minimum Qualifications. The Contractor shall establish minimum qualifications for persons entering the training program. (No employee shall be employed as a trainee in any classification in which he/she has successfully completed a training course leading to journeyman status or in which he/she has been employed as a journeyman).

B. Work Skills. An outline of the work processes in which the trainees will receive supervised work experiences and training on-the-job and the allocation of the approximate time to be spent in each major process shall be set forth in these standards.

C. Terms of Training. The term of training (the number of hours required for completion to journeyman status) shall be stated in hours.

D. Program Monitoring. The method for recording and reporting the training completed shall be stated herein.

E. Ratio of Trainees. A numeric ratio of trainees to journeyman shall be established. It shall be consistent with proper supervision, training, safety, and continuity of employment. The ratio language shall be specific and clear as to application in terms of job site and workforce during normal operation (considered to fall between 1:10 and 1:4).

I understand and will comply fully with the plans and specifications under which this training is being performed, and will report subsequent revisions to the training program as changes occur.

Prime Contractor's Signature: [Signature] Date: 01-12-07
Subcontractor's Signature (if applicable): [Signature] Date: 

This Area for Department of Transportation Only

BAT/SATC
Approved
Disapproved
Not BAT/SATC
Approved Recommended

Printed Name and Title: Many Talents
Region, CEO, Officer
Signature: [Signature]
Date: 1-15-07

Federal Highway Administration Concurrency

FHWA Approval
Approved
Disapproved

Printed Name and Title: [Name]
Division of Region, Program, Field
Signature: [Signature]
Date: 2-10-2007

Distribution: Headquarters EEO, Region, Contractor
## Apprentice/Trainee Approval Request

**Note:** This form shall be submitted for each trainee intended for utilization per the Special Training Provision. The Prime Contractor is required to review and submit the form for approval of its subcontractor(s) trainees.

### Prime Contractor
- **Western States Paving Co.**
  - Federal Employee ID No.*: 91-1196605
  - Contract No.: 5364

### *Subcontractor (if Trainee is not employed by Prime)*
- Federal Employee ID No.*:
- Federal-Aid No.: NH-0014(003)

If no Federal Employer ID, use owner's Social Security Number.

### Approval Request
- Approval is requested to provide training, per our approved Training Program, to the following apprentice/Trainee:

<table>
<thead>
<tr>
<th>Trainee</th>
<th>Job Class</th>
<th>Social Security Number</th>
<th>Employee Status</th>
<th>Hrs. to be Trained This Project</th>
<th>Trainee Start Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tamms Rae Webb</td>
<td>General Construction Laborer</td>
<td>1234567890</td>
<td>New Hire</td>
<td>200</td>
<td>5/25/11</td>
</tr>
</tbody>
</table>

### Wage Rate Types
- Prevailing Wage:
  - **Apprenticeship:** Open Shop, Approved Program
  - **Other (Describe):**

**NOTE:** Minimum Wage - Trainees shall be paid in accordance with the provisions of RCW 39.12.021, which reads as follows: Apprentice workmen employed upon public works projects for whom an apprenticeship agreement has been registered and approved with the State Apprenticeship Council pursuant to chapter 49.04 RCW, must be paid at least the prevailing hourly rate for an apprentice of that trade. Any workman who has not been registered, and approved by the State Apprenticeship Council shall be considered to be a fully qualified journeyman and therefore, shall be paid at the prevailing hourly rate for journeyman.

### Ethnic Group
- [ ] Black
- [ ] Asian/Pacific Islander
- [ ] American Indian
- [x] Hispanic
- [ ] Other

### Sex
- [ ] M
- [x] F

### Good Faith Effort Documentation
- [ ] Good faith effort documentation is required if a non-protected person is proposed for training.

### Summary of Previous Training
- Enter amount and type of training previously received by trainee. If known, please indicate other Contracting Agency contract(s) trainee has been utilized, per the Special Training Provision.

None

### Signature
- **Prime Contractor Signature:** [Signature]
- **Date:** [Date]
- **(Sub) Contractor Signature:** [Signature]
- **Date:** [Date]

---

**This Area for Contracting Agency Use Only**

- [x] Approved
- [ ] Denied

### Remarks

- Per Attached Program

### Distribution
- White - Contracting Agency
- Canary - Contractor
- Pink - Headquarters
- Goldenrod - Trainee

**Region EEO Officer**

- [Signature]
- **Title:** [Title]
Trainee Interview Questionnaire

Prime Contractor
Acme Construction

Subcontractor (If trainee is not employed by prime contractor)
N/A

Trainee
Jane Doe

Job Classification of Trainee/Apprentice
Laborer

Address
1234 A Street, Waterville WA

Telephone
509-905-5555

Last Four Digits of SSN
9999

Employee Status
☐ New Hire ☐ Upgrade

Hours to be Trained This Project
200

Trainee Start Date
5/11/2011

Wage Rate
Unknown

Length of Apprenticeship
2000 Hours

Immediate Supervisor
John Smith

Ethnic Group
☐ Black ☐ Asian/Pacific Islander ☐ American Indian ☐ Hispanic ☐ Other ☐ Other

Sex
☐ Male ☐ Female

1. No. of years you have been an Apprentice/Trainee: 1 year

No. of Apprentice/Trainee hours you have accumulated: 1200

2. Describe training provided for the current project.

   General equipment operation and use of tools. Construction safety practices.

3. Are you receiving beneficial training on this project? ☐ Yes ☐ No

   Are there areas that need improving? ☐ Yes ☐ No

   Please Describe.

4. Have you encountered problems on the job site (i.e., sexual harassment, racial discrimination, etc.)? ☐ Yes ☐ No

   Please Describe.

5. Are you aware of the company's Affirmative Action, Safety, or EEO meetings? ☐ Yes ☐ No

   How often do you attend these meetings?

6. Have you received a copy of the EEO Policies? ☐ Yes ☐ No

7. Are there any areas in which you need assistance? ☐ Counseling ☐ Mediation ☐ Math Tutoring

   If so, please contact the OJT Supportive Services Program: at 206-587-4954 or toll-free 1-866-252-2880.

Interviewer
Jane Doe

Title
Engineering Tech

Date
6/15/2011

Comments
Jane is working around heavy equipment adjacent to high volumes of traffic.