

*LAPM = local agency Project Manager

Civil Rights Forms Matrix for Federal Projects

Revision date: July 2011

Legend

RFC or FC - Regional Field Coordinator
 LAPM - local agency project manager or the owner of the contract if not ODOT
 DBE - Disadvantage Business Enterprise
 OCR - Office of Civil Rights
 OJT - On-the-Job Training

Form number	Forms in Chronological Order and Form Description	Location of Form	Website address	Phase of Project	Party responsible for completing Form				Party responsible for reviewing Form				Party to maintain Form document or commence investigative actions				
					BIDDERS or Primes/Subs after award	LAPM* or Consultant	ODOT OCR	RFC**	LAPM*	RFC**	ODOT OCR	Federal Agency	Prime/sub	LAPM*	RFC**	ODOT OCR	
Certified Agency Forms																	
734-2848	Civil Rights Bid Notification for Certified Agency Projects: Under "Other Useful Forms" - Notifies OCR when projects are bid by certified local agencies; gives OCR information into CRCT database	ODOT Civil Rights, Forms, Other Useful Forms link	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Other_Form	Ad, Bid Award		X									X		X
734-2849	Civil Rights Award Notification for Certified Agency Projects - DBE website under Other Useful Forms - Notifies OCR of the award of project; gives OCR information for CRCT	ODOT Civil Rights, Forms, Other Useful Forms link	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Other_Form	Ad, Bid Award		X									X		X
OCR Request for Goals Form																	
731-0663	Civil Rights Requests for Goals- also known as the Yellow Sheet - submitted by engineer or procurement when PS&E process is 90% or more complete. It is a cover summary sheet submitted with the engineer's cost estimate and project schedule and used to develop both DBE and OJT goals/requirements - Submit form to REQUESTFORGOALS@state.or.us	ODOT Civil Rights, Forms, Other Useful Forms link	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Other_Form	90% PS&E		X									X		X
DBE FORMS																	

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	Joint Venture with DBE Application - submitted to OCR prior to bid by any prime considering a joint venture bid proposal; OCR reviews and approves of business venture validity for DBE purposes	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Varies but usually prior to or at Ad, Bid and Award	X	X				X	X					X
734-2785	DBE Commitment Certification and Utilization form. This is submitted by all bidders with bid documents. If the DBE goal is zero, bidder fills in the top part with the company name and signature only. If the goal is greater than zero, bidder must complete Part 1 and/or Part 2. Primes submit this form with bid documents to the Contracting agency. The contracting agency will submit this form Part 1 and/or Part 2 for all bidders to OCR only if the goal is greater than zero. OCR reviews submitted Part 1 and/or part 2's for responsiveness; OCR will notify the contracting agency in writing of the results of the responsiveness evaluation. Contracting agency notifies responsive low bidders and nonresponsive bidders. If low bidder is nonresponsive, follow administrative reconsideration process within the allotted time frame designated in the solicitation prior to proceeding to next lowest bidder	ODOT Office of Project Letting, Manuals Forms Etc, Publications	http://www.oregon.gov/ODOT/HWY/OPL/manuals_forms_etc.shtml#Publications	Ad, Bid Award	X						X					X
734-2721	The Subcontractor Solicitation and Utilization Report form is to be submitted by all bidders within 10 days of bid opening and should include the names of all subcontractors that the Prime has contacted to solicit a bid or who submitted a quote to the primes. Primes submit this form directly to OCR	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Ad, Bid, and Award	X						X					X

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734-2531	The Committed DBE Breakdown and Certification Form must be submitted within 10 days of the Notice of Intent to Award letter from the apparent awardee. This is the first time in the process where both the Prime and the DBE sign and certify that the DBE will perform the work items listed. The Apparent awardee submits this form to the PM for filing and sends copy to OCR and RFC. OCR must approve. If a DBE quote is used and after apparent awardee the quote is no longer valid, the contracting agency moves to the next low bidder.	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Ad, Bid Award	X				X	X	X			X		X
734-1964	"Contractor's Request for Sub-contract Consent" form, which is a process between the PM and the Prime, but a copy of it must be reviewed by the FC. ODOT DBE program never reviews this unless there is a problem.	ODOT Civil Rights, Forms, Other Useful Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Other_Form	Pre-Construction	X	X			X	X	Occasionally					X
734-1395	Project Managers Report on Contractors Request for Sub-contract Consent Form is completed by PM if a Contractors Request for Sub-contract Consent is processed and submitted to PM and RFC.	ODOT Civil Rights, Forms, Other Useful Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Other_Form	Varies but must be approved prior to any work being performed by subcontractor		X				X	Occasionally			X		
734-2165A	The Disadvantaged Business Enterprise Work Plan Proposal Form 3A should be submitted to the PM and RFC at the pre-con or prior to the DBE starting work for all committed DBEs. OCR only receives this information if issues are raised, such as whether a DBE is certified to do work items or whether items were appropriately labeled in the solicitation and/or proposals. This document is used as foundation for CUF reviews.	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Pre-Con or prior to any work being performed by DBE	X				X	X	occasionally			X	X	

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734-2722	The Summary Report of Subcontractor's Paid form must be submitted by the Prime and any subcontractors who have contracts with lower tier subcontractors each month. Form is submitted to PM and RFC. PM is responsible to verify that subs were paid properly and the payment made is equal to what the contracting agency paid to Prime for that work item. RFC enters data into CRCT. Complaints are supposed to be submitted and investigated by PM. PM can impose sanctions against Prime. If still not resolved, ODOT contract administration gets involved. OCR should not be involved.	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Construction	Monthly				X	X				X	X	
734-2165B	Disadvantaged Business Enterprise Commercially Useful Function (CUF) Review Form 3B to be completed by the project manager, or inspector or RFC for every DBE working on the project and should be completed while the DBE is working on the project. A completed construction schedule is required for the project manager to know when each DBE is scheduled to be on-site. CUF reviews submitted to RFC for processing. If field inspector completes the CUF review, both the PM and the RFC must sign the report, which stipulates the DBE performance is in compliance with the DBE program	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Construction		X		X	X	X	Occasionally if unresolved issue			X	RFC or OCR performs investigations and maintains in CRCT	
	Uniform Report of DBE commitment/Award/Payment Form is completed by OCR and submit to FHWA/FTA	ODOT Civil Rights, DBE Program, DBE Program Plan, Exhibit M or at the Federal Transit Administration, Civil Rights, DBE and scroll down to DBE Forms	http://www.fta.dot.gov/civilrights/civil_rights_5089.html	N/A			X				FHWA/FTA					X

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734-2510	Subcontractor Request for Release of Retainage. Subcontract /Primes submit to PM for processing. PM sends copy to RFC and forwards processed request to ODOT Contract Administration. If a certified local agency project, the PM forwards to whatever agency is holding the retainage.	ODOT Civil Rights, Forms, DBE Forms	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#DBE_Form	Construction	X				X	X				X		

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LABOR COMPLIANCE FORMS																
	<u>Davis Bacon/BOLI Prevailing Wage Worksheet</u> - a form that organizes all the different types of work areas with the predetermined wage rate following BOLI/Davis Bacon analysis; prepared prior to construction starting	ODOT Civil Rights, Forms, Labor Compliance	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Labor_Form	Pre-con meeting or prior to any work being performed on the project by the Prime	X	X					X			X		X
734-3475	<u>Employee Interview Report</u> otherwise known as the <u>Contractor Inspector Form</u> is required if a federal job and recommended for state jobs - submitted on a sixth month rotation from start of construction; The form is filed with the certified payrolls and maintained by the PM file	ODOT Civil Rights, Forms, Labor Compliance	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Labor_Form	Construction		PM Inspector			X					X		X
734-2547	<u>Prevailing Wage Complaint Form</u> - only is submitted if a complaint is filed by an employee or third party	ODOT Civil Rights, Forms, Labor Compliance	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Labor_Form	Construction	employees or third parties						X	BOLI				X
	<u>Semi-Annual Labor Compilcance Report</u> - Submitted every six months (April and Nov); based on information gathered during reporting period based on Prevailing Wage complaints	N/A		N/A			X					USDOL				X
	<u>OCR Compliance Audit Report</u> - Completed by RFC quarterly for every project in first note; RFC audit PM payroll reviews of PM review of primes submission of civil rights program documents	ODOT Civil Rights, Forms, Labor Compliance	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Labor_Form	N/A				X			X				X	Occasionally and passes on to relevant Program Manager to resolve subject matter issues
WH-38	<u>BOLI Certification Payroll Form</u>	ODOT Civil Rights, Forms, Labor Compliance	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#Labor_Form	Construction	X				X	X				X		
734-1734	<u>Project Manager's Labor Compliance Certification</u>	ODOT Contract Administration, Construction Forms, "P-R"	http://www.oregon.gov/ODOT/HWY/CONSTRUCTION/HwyConstForms1.shtml#P_R	Construction		X				X	X			X		

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EEO Forms																
731-0333	External Civil Rights Complaint Form	ODOT Civil Rights, Forms, EEO	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#EEO_Form	Varies	CONTRACTOR/EMPLOYEE				X		X		X			X
734-3858	Project Mangers' Monthly EEO Report - not required but recommended; PM completes form using information collected from the Prime and Subs; coversheet for submitting the MEAUR	ODOT Civil Rights, Forms, EEO	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#EEO_Form	Construction		X				X	X		X			X
FHWA 1391	Annual EEO report - Reports statewide ODOT employee count by race, ethnicity and craft for last full work week in July on an annual basis; ODOT OCR collects and reports data by electronic submission of data by Primes and Subs	ODOT Civil Rights, Forms, EEO	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#EEO_Form	N/A		X					X					X
FHWA 1392	Compilation report to FHWA - completed by OCR with data compiled from FHWA 1391 Annual EEO reporting form;	N/A	N/A	N/A			X					FHWA				X
OJT Forms																
731-0335	Training Program Form (TP) - OCR collects data on how Prime Contractor plans on fulfilling the OJT requirement; Primes submit to PM and PM submits to RFC for review and processing	ODOT Civil Rights, Forms, OJT	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#OJT_Form	Pre-con or prior to construction with OJT time		X			X	X				X		X
731-0294	Apprentice/Trainee Approval Request (ATAR) - Specifies individuals being used to fulfill the OJT requirement by the Primes; submitted to PM who submits to RFC for review and processing	ODOT Civil Rights, Forms, OJT	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#OJT_Form	Construction		X			X	X				X		X

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731-0332	ODOT Apprentice/Trainee Monthly Progress Report (MPR) - reports the hours worked by each approved apprentice and/or trainee to be counted toward the OJT requirement; submitted montly by Prime to PM, PM verifies against certified payrolls, pays the bid item and forwards copy to RFC for review and processing; HOURS REPORTED ON EACH MPR FORM MUST BE PROJECT SPECIFIC.	ODOT Civil Rights, Forms, OJT	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#OJT_Form	Construction	X				X	X				X		X

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Workforce Development Forms -for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form																
731-0502	<u>Federa OJT/Apprenticeship program</u> - for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Ad, Bid Award	X				X	X						X
731-0503	<u>In house trainee approval</u> -for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Pre-Con or prior to construction with trainee	X				X	X						X
731-0556	<u>State Apprenticeship Program</u> - Same as Federal Training Program Form:for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Ad, Bid Award	X				X	X						X
731-0557	<u>State monthly employment report</u> - for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Construction	X				X	X						X
731-0504	<u>ODOT trainee montly progress report</u> -for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Construction	X				X	X						X
731-0505	<u>MEAUR</u> -for the OTIA 3 program and region 1 tricity pilot program; no new contracts being awarded using this form	ODOT Civil Rights, Forms, Work Force Development	http://www.oregon.gov/ODOT/CS/CIVILRIGHTS/forms.shtml#WDP_Form	Construction	X				X	X						X