**INDIVIDUAL CONTRACTOR LABOR STANDARDS MONITORING CHECKLIST**

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| **7C.** **Individual Contractor Fair Labor Practices / Labor Standards Monitoring Checklist***(Complete this section of the Self-Monitoring Checklist for* ***each*** *Prime Contractor* ***and each*** *Subcontractor individually. Copy the pages of this Individual Contractor checklist as needed to complete it for each contractor.)* |
| *NOTE: For Grantees, the contracts directly with the Grantee are deemed “prime” contracts. For Subrecipients and or Developers (if applicable), the contracts directly with the Subrecipient or Developer are deemed “prime” contracts.* |
| Name of Contractor: |  | *Is this a Prime Contractor or a Subcontractor?*[ ]  Prime or [ ]  Sub |
| SAM.gov Unique Employer Identification (UEI) Number (if registered on SAM.gov): |   |
| Prime Contract Amount: | $ |   | Sub-Contract Amount: | $ |   |
| Contractor’s Work Start Date on the FFP Project: |   |
| Contractor’s Work End Date on the FFP Project: |   |
| If the Contractor is a Subcontractor (any tier), enter Name of the associated Prime Contractor: |  |

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| --- | --- | --- | --- | --- |
| **Ref.****#** | **Contractor File & Contracting Compliance:** | **YES** | **NO** | **N/A** |
|  | Has the Grantee established a separate file/folder for this Contractor? | [ ]  | [ ]  |  |
|  | Does the Grantee have a complete copy of the executed written contract? | [ ]  | [ ]  |  |
|  | Is the required FFP language/insertion(s) included in the contract (see below)?\* | [ ]  | [ ]  |  |
| *\*Items listed below may be applicable/required, recommended, or not applicable (N/A) to the contract/subcontract, depending on the nature of the project and contract. For certain items, it may have been allowable to provide the document separately instead of “in” the contract. Refer to Chapters 3, 6 and 7 in the FFP Implementation Handbook for further guidance.* |
| **Ref.****#** | **Contractor File & Contracting Compliance: (continued)** | **YES** | **NO** | **N/A** |
| **INCLUDED *WITHIN/AS PART OF* THE CONTRACT:** |
|  | FFP Project Contract Terms & Conditions (Contract Insertion) *(Attachment FFP-03-03) (required)* | [ ]  | [ ]  | [ ]  |
| **INCLUDED *WITHIN/AS PART OF* THE CONTRACT *OR* SEPARATELY AT THE TIME OF CONTRACTING:** |
| **Ref.****#** | **Contractor File & Contracting Compliance: (continued)** | **YES** | **NO** | **N/A** |
|  | Potential Conflict of Interest Disclosure Form *(Attachment FFP-03-01)* ***or***similar potential conflict of interest disclosure document(s) *(required for Prime Contracts only)* | [ ]  | [ ]  | [ ]  |
|  | Lobbying Certification Form *(Attachment FFP-03-04) (required)* | [ ]  | [ ]  |  |
|  | Disclosure of Lobbying Activities Form *(Attachment FFP-03-05) (required if contractor has lobbying activities to disclose)* | [ ]  | [ ]  | [ ]  |
|  | FFP Construction Project Site Sign Specifications insertion *(Attachment FFP-03-06) (recommended – sign is required to be posted by Grantee, Subrecipient or Prime Contractor at project site)* | [ ]  | [ ]  | [ ]  |
|  |  |  |  |  |
| **Ref.****#** | **Contractor Eligibility Compliance Documents:** | **YES** | **NO** | **N/A** |
|  | **SAM.gov Debarment/Exclusion Check Record(s) on file:** |  |  |  |
|  | Debarment/Exclusion Check record on the entity’s name, as required? | [ ]  | [ ]  |  |
|  | Debarment/Exclusion Check record on the entity owner’s name, as recommended? | [ ]  | [ ]  |  |
|  | Debarment/Exclusion Check performed **BEFORE** the entity was awarded and executed the contract, as required? | [ ]  | [ ]  |  |
|  | Contractor’s Signed Lobbying Certification on file? | [ ]  | [ ]  |  |
|  | Contractor’s completed Disclosure of Lobbying Activities Form *(if the Contractor had any lobbying activities to disclose)*? | [ ]  | [ ]  | [ ]  |
|  | Contractor’s signed Potential Conflict of Interest Disclosure Form *(Attachment FFP-03-01 or similar document used to request the contractor to disclose potential conflicts of interest) on file? (required for Prime Contractors only)* | [ ]  | [ ]  | [ ]  |
|  |  |  |  |  |
| **Ref.****#** | **Pre-Construction Meeting(s):** | **YES** | **NO** | **N/A** |
|  | Did the Contractor attend the Pre-Construction Meeting(s) *(if a Pre-Construction Meeting was held)*? *(recommended)* | [ ]  | [ ]  | [ ]  |
|  |  |  |  |  |
| **Ref.****#** | **Payroll Records Compliance:** | **YES** | **NO** | **N/A** |
|  | Are weekly or bi-weekly certified payroll records (depending on frequency of the contractor’s regular payroll) or "no work" letter(s)/statement(s)/emails on file covering all weeks from the Contractor’s start date on the project to present? | [ ]  | [ ]  | [ ]  |
|  | Are payrolls numbered (first to last) and/or dated sequentially? | [ ]  | [ ]  | [ ]  |
|  | If the Contractor has completed work on the project, then is the final certified payroll record marked as the “final” payroll record (or alternatively, an email record or other record of communication from the Contractor is on file that verifies the final week the Contractor worked on the FFP project)? | [ ]  | [ ]  | [ ]  |
|  | Is a Statement of Compliance page signed by an authorized person of the company included with each weekly certified payroll record? | [ ]  | [ ]  | [ ]  |
|  | Are workers’ individual identification numbers (e.g., employee ID number, last 4 digits of social security number, or similar) shown on at least the first payroll record (or if not on the payroll record, then provided on a separate sheet)? | [ ]  | [ ]  | [ ]  |
| **Ref.****#** | **Payroll Records Compliance: (continued)** | **YES** | **NO** | **N/A** |
|  | Are workers’ phone numbers and addresses on the certified payrolls (or if not on the payroll record, then provided on a separate sheet)? | [ ]  | [ ]  | [ ]  |
|  | Do wage plus fringe benefits hourly rates shown on the payroll records equal or exceed the hourly wage rate specified in FFP Handbook guidance:1. employee’s regular wage + fringe rate per collective bargaining agreement, if the employee is a member of a collective bargaining unit;

OR 1. the *greater* rate of the employee’s regular wage + fringe rate, if the employee is not a member of a collective bargaining unit, *or* the minimum $17.75/hour wage plus fringe rate required per FFP policy;

OR1. Apprentice wage + fringe rate specified in apprenticeship indenture documents, if employee is in qualified, registered apprenticeship program.
 | [ ]  | [ ]  | [ ]  |
|  | Is/was time and a half paid (in accordance with the CWHSSA and FLSA specifications) to workers for work performed over 40 hours in a work week *(including hours worked on the FFP project and work on other projects that were subject to the CWHSSA overtime standards in the same week)*? | [ ]  | [ ]  | [ ]  |
|  | Are fringe benefits paid into plans and cash fringe (if applicable) itemized and properly documented/listed for each worker? | [ ]  | [ ]  | [ ]  |
|  | Are "Other" deductions (if applicable) itemized and properly documented/listed for each worker? | [ ]  | [ ]  | [ ]  |
|  | Does the Contractor have apprentices and/or trainees (in a qualifying official apprentice/trainee program) working on the FFP project? | [ ]  | [ ]  |  |
|  | Are the proper apprentice/trainee indenture papers on file for each apprentice/trainee? | [ ]  | [ ]  | [ ]  |
|  | If NO, then was/were the apprentice(s)/trainee(s) paid at least an hourly wage plus fringe benefits rate specified in Chapter 7 of the *FFP Implementation Handbook*? | [ ]  | [ ]  | [ ]  |
|  | Are/were there any Base Wage (straight-time) underpayment violations on this project by the Contractor? | [ ]  | [ ]  |  |
|  | Base Wage Underpayment Amount *(Amount Paid, or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | Has Base Wage underpayment restitution been paid to workers? | [ ]  | [ ]  | [ ]  |
|  | If the Base Wage Underpayments have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  | Are one or more Certified Correction Payroll Records with the signed Statement of Compliance page(s) and the employee paystub copy/copies on file to verify the Base Wage underpayment(s) was/were paid to the worker(s) (i.e., to verify the underpayment(s) was/were resolved)? | [ ]  | [ ]  | [ ]  |
|  | Are/were there any Overtime wage underpayment violations on this project by the Contractor? | [ ]  | [ ]  |  |
|  | Overtime Underpayment Amount *(Amount Paid, or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | Has Overtime underpayment restitution been paid to workers? | [ ]  | [ ]  | [ ]  |
|  | If the Overtime Underpayments have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  | Are one or more Certified Correction Payroll Records with the signed Statement of Compliance page(s) and the employee paystub copy/copies on file to verify the Overtime underpayment(s) was/were paid to the worker(s) (i.e., to verify the underpayment(s) was/were resolved)? | [ ]  | [ ]  | [ ]  |
|  | Have overtime wage underpayment penalty fees (i.e., liquidated damages fees) been collected from the contractor per CWHSSA (if deemed required/if imposed)? | [ ]  | [ ]  | [ ]  |
|  | Overtime Underpayment Penalty Fees/Liquidated Damages Amount *(Amount Paid or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | If the Overtime Penalty Fees/Liquidated Damages were deemed required/were imposed but have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  |  |  |  |  |
| **Additional Notes/Comments for Individual Contractor Labor Standards Compliance:** |
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