**CDBG Construction Management Checklist**

**Davis Bacon Labor Standards & Section 3 Requirements**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Grantee Name: |  | | | | | | | Grant # |  | |
| Project Location: |  | | | | | | | | | |
| Project Description: |  | | | | | | | | | |
| Prime Contractor: |  | | | | | | | | | |
| CDBG Grant Administrator: | |  | | Telephone: | |  | | | | |
| Email: | |  | | | | |
| *Does this project include both CDBG and State of IL Funding?*  YES  NO | | | | | Amount/Source: | |  | | | | |
| *Which Prevailing Wage Rate Determination is Higher?* | | | US DOL for CDBG  State of Illinois | | | | | | |

**The following Sections shall be maintained as part of the “Construction Contract File” of the CDBG Grant Documents.**

**File Sections: 1. Checklist, 2. Bid Specs & Documents, 3. Contract, 4. Payrolls, 5. Section 3 Reporting**

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| --- | --- | --- | --- | --- |
| 1. **CHECKLIST** | | | | |
| **Requirement(s)** | **(✓)** | **Date** | **Notes** | |
| Checklist Form prepared and placed in Section 1 of Contractor File |  |  |  | |
| Checklist Form completion date |  |  |  | |
| 1. **BID SPECS & DOCUMENTS** | | | | |
| **Requirement(s)** | **(✓)** | **Date** | **Notes** | |
| **Submit Bid Adv/Packet to** [**ceo.lso@illinois.gov**](mailto:ceo.lso@illinois.gov) **for review/approval.** |  |  |  | |
| Initial Wage Rate Decision |  |  |  | |
| Advertisement for Bid – Publisher Certification |  |  |  | |
| MBE Bid Notice and Posting Verification by Grantee |  |  |  | |
| **MBE Notice sent to local PTAC & darryl.thomas@illinois.gov** |  |  |  | |
| **Copy of MBE Notice and posting verification sent to Grant Manager** |  |  |  | |
| * Bond Documentation |  |  |  | |
| * Non-Collusion Affidavit |  |  |  | |
| * Statement of Compliance |  |  |  | |
| * Statement of Bidder Qualifications, if applicable |  |  |  | |
| Record of who picked up bids – “Bid list” |  |  |  | |
| Updated Wage Rate Determination (10 days prior to bid opening) |  |  |  | |
| * Amendment to all bid packet holders if rates changed |  |  |  | |
| Received Bids (w/ certification forms – EEO, Section 3, Labor Standards, and Non-Collusion Affidavit) |  |  |  | |
| Bid Tabulation – **Submit copy to DCEO w/ NOCA HUD 2516** |  |  |  | |
| Approval from DCEO, if only one bidder |  |  |  | |
| Section 3 Contractor’s Requirements |  |  |  | |
| Intent to Comply with Section 3 – **Submit copy to DCEO** |  |  |  | |
| 1. **CONTRACT** | | | | |
| **Bid Opening Date:** | | | |  |
| **Requirement(s)** | **(✓)** | **Date** | **Notes** | |
| Contractor eligibility checked. Printout in file (www.sam.gov) |  |  |  | |
| **Wage Decision – Lock-In Effective Date**  **Bid Opening:**  WRD# IL202\_\_\_\_\_\_\_\_\_ Mod #\_\_\_ Date Published \_\_\_\_\_\_\_\_\_\_\_  **Contract Award Date** (*if not awarded w/in 90 days of bid opening*)  WRD# IL202\_\_\_\_\_\_\_\_\_ Mod #\_\_\_ Date Published \_\_\_\_\_\_\_\_\_\_\_  **Start of Construction** – first day of first payroll (*if not awarded w/in 90 days of Contract Award*) – **must amend contract to include new wages**  WRD# IL202\_\_\_\_\_\_\_\_\_ Mod #\_\_\_ Date Published \_\_\_\_\_\_\_\_\_\_\_ |  |  |  | |
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| **Mixed-Source Funding** - As of January 2023, the IL Prevailing Wage Rate Determination is allowed for approved mixed-source projects (using CDBG and State of IL funding) when the IL WRD is higher than the federal WRD. The project contract files MUST contain the approved state source funding documents and the alternate WRD. Wage Rate Determinations must still be processed/tracked by DCEO staff. **IL Prevailing Wage Rates do not lock in and must be updated quarterly, disseminated if updates occur, and maintained in file throughout the duration of the grant-funded project.** | | | | |
| **Illinois Wage Rate Determination, if applicable:**  **County: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |  |  |  | |
| **Submit Contract documents to** [**ceo.lso@illinois.gov**](mailto:ceo.lso@illinois.gov) **for review and approval prior to award/execution.** |  |  |  | |
| **Submit Notice of Contract Award (NOCA) to DOL** |  |  |  | |
| **Send a copy of DOL NOCA and proof of submission to Grant Manager** |  |  |  | |
| **Submit Notice of Contract Award (NOCA-HUD 2516) to DCEO within 10 days of contract award**  **Must include copies of:**   * **Contractor eligibility verification (including subcontractors)** * **Contractor Profile Form** * **Bid Tabulation** * **First few pages of Construction Contract** |  |  |  | |
| Signed Contract includes:   * Notice of Award * Contract Agreement * Certificate of Owner's Attorney * Notice to Proceed. * Contractor Section 3 Plan (including subcontractor breakdown and project work force breakdown) * Contractor Certification Regarding Labor Standards * Bidder Certification Regarding EEO Compliance * Bidder Certification Regarding Section 3 and Segregated Facilities * Insurance Certificates (in the amounts specified by the construction contract naming grantee as an insured party) * Bid Bond (Bid Guarantee) * Contractor’s Payment Bond * Contractor’s Performance Bond * Non-Collusion Affidavit(s) |  |  |  | |
| Copy of sub-contracts to verify they were properly obligated. Include:   * Locked in Wage Rate Determination * Labor Standards Provisions * Subcontractor Section 3 Certifications (including subcontractor and project work force breakdowns) * Subcontractor Certification Regarding Labor Standards * Proposed Subcontractor Certification Regarding Section 3 and Segregated Facilities * Proposed Subcontractor Certification Regarding EEO Compliance * Non-Collusion Affidavit of Subcontractor |  |  |  | |
| **CONTRACTOR PROFILE FORM – Maintain with Payroll Documents –** | | | | |
| **Requirement(s)** | **(✓)** | **Date** | **Notes** | |
| Completed, signed Contractor Profile Form. |  |  |  | |
| Contractor acknowledges receipt of documents including:   * Locked in WRD for the project * Labor Standards Provisions (HJD 4010) * DB Contractors Guide and Addendum * Section 3 Plan and Reporting Forms * Payroll Forms |  |  |  | |
| **Copy of Contractor Profile Form to DCEO with NOCA HUD 2516.** |  |  |  | |
| **PRECONSTRUCTION CONFERENCE HELD –** |  |  |  | |
| **Preconstruction Conference Minutes** Completed and Certified  – **Submit copy to Grant Manager** |  |  |  | |
| **Notice to Proceed** signed as closing of Preconstruction Conference – **Submit copy to Grant Manager** |  |  |  | |
| List of contractors with all employee information: ss#, address, and phone. Required. Keep in file in case of restitution. Confidential. |  |  |  | |
| Lock-In Wage Decision & Employee Rights Notice posted at job site(s) (WH-1321) with DCEO’s CDBG Labor Standards Officer’s name, phone number. |  |  |  | |
| Photo of worksite postings in file for verification. |  |  |  | |
| 1. **PAYROLLS** | | | | |
| **Requirement(s)** | **(✓)** | **Date** | **Notes** | |
| Weekly payroll documentation. |  |  |  | |
| **Submit copy of first payroll to DCEO with all documentation.** |  |  |  | |
| Payrolls numbered sequentially and marked as initial and final. |  |  |  | |
| Job classifications match classifications on the lock-in WRD. |  |  |  | |
| Additional classification request if missing classification (**Send request letter and SF1444 to DCEO Labor Standards Officer**) |  |  |  | |
| US DOL Approval / Conformance Letter for Additional Classification(s). *Letter must be posted at worksite with the WRD.* |  |  |  | |
| Confirm fringe benefits (a or b) on Contractor’s Profile Form |  |  |  | |
| Use of apprentice(s) requires supporting documentation (valid and current BAT & ratio) |  |  |  | |
| Copy of Apprenticeship Certification from Bureau of Apprenticeship & Training (BAT), US DOL |  |  |  | |
| Copy of Apprenticeship Program Agreement (or Union Contract) annotating the approved Apprentice to Journeyman ratio. |  |  |  | |
| Classification(s) work more than 40 hours, if yes, confirm OT rate |  |  |  | |
| Payroll deductions verified. If child support, garnishment, etc., supporting documentation must be in file. |  |  |  | |
| “Other” Fringe column defined, supporting documentation provided. |  |  |  | |
| Payrolls signed by authorized signatory. Verify. Contractor Profile Form |  |  |  | |
| 1099-Independent Contractor, if yes, call DCEO Labor Standards Officer |  |  |  | |
| HUD-11 form completed for an employee from each trade if possible |  |  |  | |
| Compare HUD-11 to payrolls for discrepancies/sign & date bottom after review. |  |  |  | |
| Restitution – if yes, receive restitution payrolls and proof of payment. |  |  |  | |
| **Restitution documentation (including correspondence, affected payrolls and proof of payment) submitted to DCEO.** |  |  |  | |
| Investigation form (HUD 4731) obtained by affected workers |  |  |  | |
| **Copy of last payroll submitted to DCEO with documentation.** |  |  |  | |
| 1. **SECTION 3 REPORTING** | | | | |
| Contractor Self-Certification Forms, if applicable |  |  |  | |
| Section 3 Worker Self-Certification Forms, if applicable |  |  |  | |
| Required Section 3 Contractor’s Report (**submitted with weekly payrolls**) and tracked cumulatively by administrator. |  |  |  | |
| Safe Harbor Compliance Form – Grantee   * Must include all documentation to support effort: |  |  |  | |
|  |  |  |  | |
|  |  |  |  | |
| Safe Harbor Compliance Form – Contractor(s)   * Must include all documentation to support effort |  |  |  | |
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|  |  |  |  | |
| Required Section 3 Contractor’s Report and Safe Harbor Compliance Reports Submitted to DCEO at Closeout of Grant. |  |  |  | |