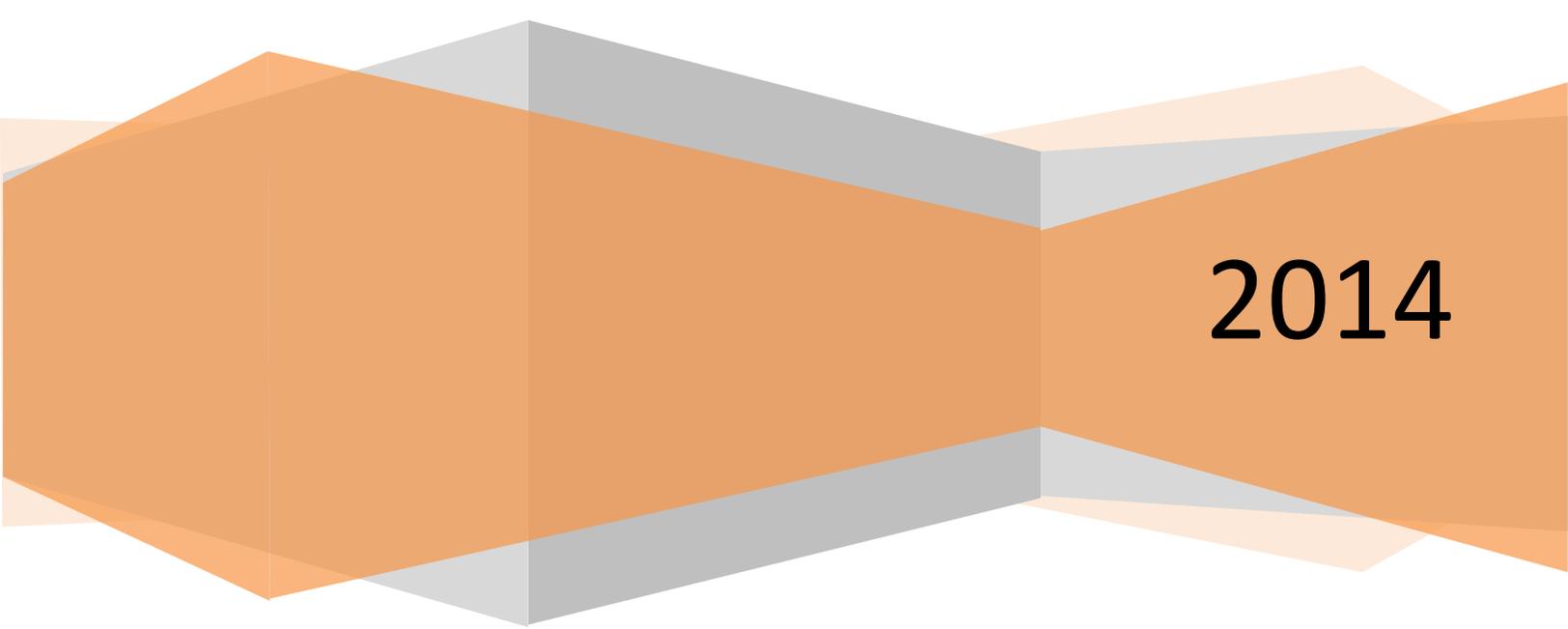


California Department of Transportation
Office of Business and Economic Opportunity

Contractor Compliance
Annual Element Report



2014

Introduction

The Contractor Compliance annual element report includes information regarding organizational changes and accomplishments for federal fiscal year (FFY) 2014 as well as goals for FFY 2015.

This report is prepared in accordance with 23 Code of Federal Regulations, Part 230, Subpart C.

I. Statistical Data

Contractor Compliance Reviews	
Number of Planned Caltrans Contractor Compliance Reviews (CCRs)	25
Number of Completed CCRs	16
Number of Accepted Voluntary Corrective Action Plans (VCAP) Received	16
Number of Corrective Action Plan (CAP) Rescission Letters Issued	16
Number of Follow Up Reviews	0
Number of Non-Compliance Determinations	0

On-the-Job Training (OJT)	
Annual Training Goal (# of trainees)	400
# of enrolled trainees*	675
Male*	628
Female*	47
African American*	64
Hispanic/Latino*	424
American Indian/Alaskan Native*	3
Asian*	4
Native Hawaiian/Other Pacific Islander*	0
2 or More Ethnicities*	0
White*	175
Other*	5
# of graduated trainees	N/A
Male	N/A
Female	N/A
African American	N/A
Hispanic/Latino	N/A
American Indian/Alaskan Native	N/A
Asian	N/A
Native Hawaiian/Other Pacific Islander	N/A
2 or More Ethnicities	N/A

**Data from Federal-aid Highway Construction Contractors Annual EEO Report Form (FHWA-1391).*

On-the-Job Training Supportive Services	
Total approved funding*	N/A
Number of funded programs	N/A
Number of persons receiving services/benefits	N/A
Male	N/A
Female	N/A
African American	N/A
Hispanic/Latino	N/A
Asian	N/A
American Indian/Alaskan Native	N/A
Native Hawaiian/Other Pacific Islander	N/A
2 or More Ethnicities	N/A
Number of persons placed and employed (post-services)	N/A
Male	N/A
Female	N/A
African American	N/A
Hispanic/Latino	N/A
American Indian/Alaskan Native	N/A
Asian	N/A
Native Hawaiian/Other Pacific Islander	N/A
2 or More Ethnicities	N/A

*Projected contract advertisement for FFY 2015 award is November 2014.

II. Organizational Changes

Caltrans’ Office of Business and Economic Opportunity (OBEO) completed an organizational assessment in FFY 2013 to identify opportunities for streamlining business practices. One of the key outcomes of the organizational assessment involved a redistribution of staff and workload to more effectively structure the OBEO to respond to stakeholders’ needs. This action item was completed in FFY 2014.

As a result of the reorganization, the OBEO consists of the following six branches: Policy and Reports, Outreach and Training, Certification, Compliance, Program Operations, and Contract Evaluation.



Effective June 2014, Angela Shell was appointed Assistant Director of the OBEO. Ms. Shell replaced René Halverson, who retired in April 2014.

III. Accomplishments

OBEO Compliance Branch

- Conducted 16 CCRs of federal-aid highway construction projects. None resulted in a determination of compliance. Contractors submitted VCAPs that were accepted by the Compliance Branch. Therefore, rescission letters were sent to the contractors letting them know that they were in compliance based on the VCAP.
- Fifteen of the 16 CCRs conducted in FFY 2014 were full reviews, consisting of a preliminary analysis and on-site verification and interviews. One review consisted exclusively of a preliminary analysis.

District	Contractor	Contract Number
3	Tutor-Perini	02-378904
3	J.F. Shea	02-3C9204
6	Roadway Engineering	06-0Q5404
7	Powell Constructors	07-258934
7	West Coast Public Works	07-258804
7	A.M. Concrete	07-266904
7	Shimmick/Myers (Joint Venture)	07-202114
8	Serna Construction	08-448404
8	AMES Construction	08-0M94U4
10	RGW Construction	10-481004
10	R & L Brossamer, Inc.	10-0G4704
10	Bay Cities	10-0A8724
11	Disney Construction	11-264114
11	Granite Construction	11-290404
11	DBX, Inc. (preliminary analysis only)	11-269304
12	All American Asphalt	12-0H0294

Challenges

- Contractors are not updating and/or displaying Equal Employment Opportunity (EEO) policies.
- Contractors are not making use of alternative recruitment resources (i.e., internet, newspaper ads, or community-based organizations) to fill vacancies.
- Contractors are not documenting EEO processes and procedures.

Training

The OBEO Compliance Branch received and/or participated in the following training:

- In February 2014, created a fact sheet to be used at the Resident Engineer Academy.
- In May 2014, received Federal Highway Administration (FHWA) training.
- In May 2014, presented information about the roles and responsibilities of the Compliance Branch as part of Labor Compliance Officer training.
- In September 2014, received an overview of the roles and responsibilities of the Division of Construction, headquarters Labor Compliance Office.

IV. Goals**OBEO Compliance Branch**

- Conduct 30 CCRs during FFY 2015.
- Contribute to the update of the Equal Employment Opportunity, Part I, Contractor Compliance Program plan.
- Develop a marketing plan for contractors concerning contractor compliance reviews (i.e., brochure, fact sheet).