

ARRA Site Review Checklist

Note: Double-click on checkboxes to check or uncheck

SECTION A – PRE-REVIEW

Complete at State Office prior to the onsite review.

1. General Project Information

a. Assistance recipient name: _____

b. General project description: _____

c. Project location: _____

d. Project of loan number: _____

e. Total project cost: _____ f. Total SRF funding amount: _____

g. ARRA total funding amount: _____ h. % of ARRA funds disbursed: _____

i. ARRA Green Reserve funding amount: _____

Project is categorically qualified for the Green Reserve

Project required a business case

2. Confirm that assistance recipient is meeting ongoing reporting requirements

Assistance recipients must submit job created/retained number and narrative to state quarterly, and certification of Davis-Bacon for compliance for each week at intervals defined by the state. Complete Section A-2 by reviewing state files.

a. Assistance recipient has submitted job creation/retention number for all required reporting periods Yes
 No

Most recent quarter for which report is available:

Year: Q1 Q2 Q3 Q4

Date report was submitted:

Cumulative number of jobs reported to date:

(Refer to CWSRF or DWSRF Project Benefits Reporting Systems [CBR/PBR])

b. Assistance recipient has submitted job creation/retention narrative for all required reporting periods Yes
 No

c. Assistance recipient has submitted regular reports to the State certifying that the project has remained in compliance with Davis-Bacon based on a weekly review of payroll records. Yes
 No

Reports are submitted: Weekly Monthly With payment/reimbursement requests

Other:

SECTION B – ONSITE REVIEW

To be completed during onsite review of project. Sub-sections include a review of documentation kept by the assistance recipient, engineering consultants, or construction contractor, and/or and onsite review of the project and construction site.

3. Inspection Information

All inspections should include visits to the assistance recipient's office (if construction has not yet begun) or the project or construction site (once construction begins). Inspections may also include visits to the engineering consultant or construction contractor's office, as necessary to review necessary items.

- a. Inspection number: _____
- b. Locations and dates of review:
- Assistance recipient offices; on: _____
 - Project or construction site; on: _____
 - Engineering consultant offices; on: _____
 - Construction contractor offices; on: _____
 - Other site: _____ ; on: _____
- Final/Close-out inspection

c. State SRF staff reviewer(s): _____

d. Assistance recipient staff present at review: _____

e. Engineering consultant staff present at review: _____

f. Construction contractor staff present at review: _____

g. Other individuals present at review: _____

h. Notes:

4. Confirm that project is in compliance with Davis-Bacon requirements

<i>Documentation Review</i>	<i>Project Site Review</i>
<p>a. Assistance recipient has collected payroll records (WH-347 or equivalent) for all laborers/mechanics for all weeks of construction <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>b. Payroll records indicate that employees are paid weekly <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>c. Assistance recipient has collected signed certifications of Davis-Bacon compliance (WH-347 reverse side or equivalent) for all weeks of construction <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>d. Assistance recipient has documentation (SF-1445 or equivalent) that wage interviews were conducted <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 40px;">Interview dates: _____</p>	<p>e. Davis-Bacon wage poster (WH-1321) is posted at the construction site in a conspicuous place protected from the weather in all relevant languages <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>f. Applicable Davis-Bacon wage determinations or rates are displayed at the construction site in a location accessible to laborers and mechanics <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>g. Notes:</p>

5. Confirm that assistance recipient is monitoring Davis-Bacon compliance

<i>Documentation Review</i>	
<p>a. Assistance recipient has reviewed weekly payroll submissions to confirm that employees are paid weekly, without unauthorized payroll deductions, and according to the wage determinations established in the contract <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Describe process used to review payroll records:</p> <p>_____</p> <p>_____</p>	
<p>b. Assistance recipient has verified contractor fringe contributions were made as planned <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 40px;"><input type="checkbox"/> Fringe paid in cash (weekly) <input type="checkbox"/> Fringe paid to bona fide fringe benefit plan (quarterly)</p>	
<p>c. Assistance recipient has reviewed registrations/certifications documenting that apprentices and trainees are registered with a DOL-approved program (if applicable) <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="margin-left: 40px;"><input type="checkbox"/> DOL approved program <input type="checkbox"/> State approved program Review date:</p> <p style="margin-left: 40px;"><input type="checkbox"/> N/A – Apprentices and trainees are paid Davis-Bacon wages</p>	
<p>d. Assistance recipient has verified that the ratio of apprentices/trainees working on the project is consistent with the ratios prescribed in the DOL-approved program <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Ratio: _____ to _____ ; Describe process used to verify ratios:</p> <p>_____</p> <p>_____</p>	
<p>e. Notes:</p>	

6. Confirm that procured items are in compliance with Buy American requirements

Section B-6 may not be applicable to this project or this inspection. If so, please indicate reason for skipping Section B-6:

N/A – Project qualifies for the National Bid or Refinance Waiver

N/A – No iron, steel, or manufactured goods have yet been ordered for this project

N/A – Project does not require any iron, steel, or manufactured goods

The number of components to be reviewed during each inspection should be determined by the State SRF program managers and staff assigned to the project (see Reference Guide for more information on making this decision). **Additional copies of this page should be made and completed** for each component reviewed.

a. Description of component reviewed:

b. Description of the substantial transformation process used to manufacture component:

N/A – component was entirely assembled in the U.S. using U.S.-made subcomponents and raw materials

c. Location where substantial transformation occurred:

Onsite review may not be possible to complete if a component has been ordered and not yet delivered, or if a component has been installed or incorporated into construction. Please indicate the status of the component that is being reviewed:

Component ordered but not yet delivered

Component delivered, but not yet installed (stored material)

Component installed or incorporated into construction

Documentation Review

d. Indicate the location and type of documentation indicating country-of-manufacture available by writing a location code on the line next to the appropriate documentation type. See box in the bottom right corner for location codes. **For additional information on types or combinations of documentation that are acceptable in meeting the requirements of the Buy American provisions, see the reference guide.**

Substantial transformation (STE) checklist with detailed and specific descriptions of manufacturing processes, completed by:

- Assistance recipient
- Vendor or supplier
- Manufacturer

Certification from manufacturer

Verification of manufacturing location from manufacturer

Print-outs from manufacturer's website

Shipping manifest or bill of lading

Cut sheets or invoice(s)

Other:

Project Site Review

e. Component is the same general character and type as described in the documentation Yes No

f. Country-of-origin labeling is consistent with the documentation (ie., labeling does not indicate foreign origin) Yes No

g. Additional notes:

Location codes:

- A** – On file with assistance recipient
- B** – On file with construction contractor
- C** – On file with engineering consultant
- P** – At the project site

7. Confirm that items covered by a project-specific waiver are in compliance

Section B-7 may not be applicable to this project or this inspection. If so, please indicate reason for skipping Section B-7:

N/A – project has not received a project-specific Buy American waiver

If the project has received a project-specific waiver of the Buy American requirements, this waiver should have been published in the Federal Register. Compare the conditions for the waiver, as described in the Federal Register notice, to documentation of foreign-made component that was procured:

a. Description of component(s) for which waiver was approved:

Section B-7d and B-7e may not be possible to complete if a component has been ordered and not yet delivered, or if a component has been installed or incorporated into construction. Please indicate the status of the component under review:

Component ordered but not yet delivered

Component delivered, but not yet installed (stored material)

Component installed or incorporated into construction

Documentation Review	Project Site Review
b. Assistance recipient and/or contractor maintains a copy of the Federal Register notice of the approved project-specific waiver <input type="checkbox"/> Yes <input type="checkbox"/> No	d. Component is the same character and type as described in the Federal Register <input type="checkbox"/> Yes <input type="checkbox"/> No
c. Assistance recipient and/or contractor maintains any additional supporting documentation specified in the Federal Register Notice of Approval <input type="checkbox"/> Yes <input type="checkbox"/> No	e. Component labeling (if visible) is consistent with the description in the Federal Register notice <input type="checkbox"/> Yes <input type="checkbox"/> No
	f. Notes:

8. Confirm that the de minimis waiver is applied correctly

N/A – Project qualifies for the National Bid or Refinance Waiver

N/A – No incidental components have yet been ordered for this project

N/A – Project does not require any incidental components

Documentation Review	Project Site Review
a. Assistance recipient and/or contractor maintains an itemized list of incidental manufactured goods <input type="checkbox"/> Yes <input type="checkbox"/> No	c. The de minimis waiver is only applied to incidental project components that are generally miscellaneous, small, and low-cost <input type="checkbox"/> Yes <input type="checkbox"/> No
b. Assistance recipient and/or contractor maintains receipts or invoices showing total value of exempted items <input type="checkbox"/> Yes <input type="checkbox"/> No	

The de minimis waiver allows up to 5% of materials costs to be exempted from Buy American requirements. For most inspections, compare the value of incidental manufactured goods exempted from Buy American to the estimated materials costs from the plans and specs. On the final or close-out inspection, compare the value of items exempted from de minimis to the actual final materials cost. This value of items exempted should not exceed 5% of total materials costs.

Value of incidental manufactured goods exempted from Buy American: _____

d. Items exempted under the de minimis waiver make up 5% or less of total materials cost Yes No

Estimate/final cost of materials (to be) procured for project: _____

e. Notes:

Percentage of material costs exempted: _____

9. Confirm that green components are incorporated into the project as planned

Section B-9 may not be applicable to this project or this inspection. If so, please indicate reason for skipping Section B-9:

- N/A – Not a Green Reserve project
 N/A – Green components satisfactorily reviewed in previous inspection
 N/A – Current stage of construction does not allow for review of green components

a. Description of green component(s) or design feature(s):

<i>Documentation Review</i>	<i>Project Site Review</i>
<p>b. Project is categorically qualified for the Green Reserve, or the assistance recipient and/or contractor maintains a copy of an approved business case including supporting documentation (as required, see Section A-1i)</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>	<p>c. Green design and/or equipment is incorporated into the project as described in the project plans and/or business case</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>d. The green components used in the project are the same character and type as described in the project plans and/or business case</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>e. Notes:</p>

10. Confirm that project is in compliance with remaining ARRA requirements

<i>Documentation Review</i>	<i>Project Site Review</i>
<p>a. Assistance recipient maintains documentation supporting job creation/retention reports that have been submitted to the state</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>b. Job creation/retention reports are developed according to methods described in EPA and State guidance</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>	<p>c. If the number of workers observed working onsite is significantly lower than the cumulative number of jobs created/retained reported (see Section A-2a), provide an explanation (example: previous stage of construction required a greater number of workers):</p> <p>_____</p> <p>_____</p> <p>d. ARRA logo is posted at the construction site</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>e. ARRA whistleblower poster is posted at the construction site</p> <p style="text-align: right;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </p> <p>f. Notes:</p>