

# **Contract Packet**

## **Governmental**

### **Includes:**

1. Contract Packet
2. AIS Sample Certification Letters
3. AIS and De Minimis Worksheet
4. Sample Wage Determination (Wage Decision Schedule)
5. Project Wage Rate Worksheet
6. Request for Authorization of Additional Classification and Rate (Wage Determination Request) form (SF1444) and instructions
7. Davis-Bacon poster (WH-1321) – English and Spanish versions
8. Payroll certification form (WH-347) and instructions
9. Employee Interview form and instructions
10. Construction Sign Specifications
11. Sample Disbursement Request form

**Water Infrastructure Finance Authority of Arizona**  
**Clean Water Revolving Fund**  
**Drinking Water Revolving Fund**

**CONTRACT PACKET for Governmental Borrowers**

*This packet lists required contract conditions that apply to all Clean Water and Drinking Water Revolving Fund projects and contains forms that must be used in the procurement process. Please review this packet prior to bidding.*

**PLEASE NOTE**

- **This packet, in its entirety, must be physically included in all bidding, solicitation and contract documents.**
- Use of American Iron and Steel (AIS) applies to this project.:
  - AIS includes the following products made primarily of iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.
- Federal Davis-Bacon prevailing wages apply to this project.
  - Payment of the wages, fringe benefits and overtime rates is required.
  - The appropriate Federal (Davis-Bacon) Prevailing Wage Decision must be physically incorporated into the bidding and contract documents.
  - The construction category of Heavy (excluding dam construction) should typically be applied to all projects funded by WIFA. If you believe that a different category of wages, such as Building, should be applied to your project or portions of your project, please contact WIFA in advance.
  - Weekly certified payroll submittal is required under the Federal Davis-Bacon laws.
- Compliance with the Civil Rights Act and Equal Employment Opportunity is required.
- Promotion of Small, Minority and Women-owned Businesses and participation in EPA's Disadvantaged Business Enterprise (DBE) Program is required.
- Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment.

**Water Infrastructure Finance Authority of Arizona**  
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**Required Contract Conditions**

This project is being financed in whole or in part by the Water Infrastructure Finance Authority of Arizona through the Clean Water or Drinking Water Revolving Fund. The loan recipient is required to comply with the following federal and state laws, rules and regulations and must ensure that their contractor(s) also comply(ies) with these regulations, laws and rules.

1. (i) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. Sec. 2000d), (ii) the Rehabilitation Act of 1973 (Pub. L. 93-1123, 87 Stat. 355, 29 U.S.C. Sec. 794), (iii) the Age Discrimination Act of 1975 (Pub. L. 94-135 Sec. 303, 89 Stat. 713, 728, 42 U.S.C. Sec. 6102), (iv) Section 13 of the Federal Water Pollution Control Act (Pub. L. 92-500, 33 U.S.C. Sec. 1251), and subsequent regulations, ensures access to facilities or programs regardless of race, color, national origin, sex, age or handicap.
2. Equal Employment Opportunity (Executive Order 11246, as amended by Executive Orders 11375 and 12086 and subsequent regulations). Prohibits employment discrimination on the basis of race, color, religion, sex or national origin. Inclusion of the seven clauses in Section 202 of Executive Order 11246 as amended by Executive Orders 11375 and 12086 are required in all project related contracts and subcontracts over \$10,000.
3. (i) Promoting the use of Small, Minority, and Women-owned Businesses (Executive Orders 11625, 12138 and 12432), (ii) Small Businesses Reauthorization & Amendment Act of 1988 (Section 129 of Pub. L. 100-590), (iii) Department of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1993 (Pub. L. 102-389, 42 U.S.C. Sec. 437d), and (iv) Title X of the Clean Air Acts Amendments of 1990 (Pub. L. 101-549, 42 U.S.C. Sec. 7601 note) (“EPA’s 10% statute”). Encourages recipients to award construction, supply and professional service contracts to minority and women’s business enterprises (MBE/WBE) and small businesses and requires recipients to utilize affirmative steps in procurement.
4. Participation by Disadvantaged Business Enterprises in Procurement under Environmental Protection Agency (EPA) Financial Assistance Agreements (40 C.F.R. Part 33).
5. Debarment and Suspension (Executive Order 12549). Prohibits entering into contracts or sub-contracts with individuals or businesses who are debarred or suspended. Borrowers are required to check the status of all contractors (construction and professional services) and must require contractors to check the status of subcontractors for contracts expected to be equal to or over \$25,000 via this Internet address: <https://www.sam.gov/SAM/>.

6. E-Verify (A.R.S. § 41-4401). A governmental entity shall not award a contract to any contractor or subcontractor that fails to comply with A.R.S. § 23-214(A). Every government entity shall (i) ensure that every government entity contractor and subcontractor complies with the federal immigration laws and regulations that relate to their employees and A.R.S. § 23-214(A); (ii) require that every government entity contract include the required provisions listed under A.R.S. § 41-4401(A); and (iii) establish procedures to conduct random verification of the employment records of government entity contractors and subcontractors.

**Water Infrastructure Finance Authority of Arizona**  
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**Use of American Iron and Steel**

**Public Law 113-76, enacted January 17, 2014**

SEC. 436. (a)(1) None of the funds made available by a State water pollution control revolving fund as authorized by title VI of the Federal Water Pollution Control Act (33 U.S.C. 1381 et seq.) or made available by a drinking water treatment revolving loan fund as authorized by section 1452 of the Safe Drinking Water Act (42 U.S.C. 300j-12) shall be used for a project for the construction, alteration, maintenance, or repair of a public water system or treatment works unless all of the iron and steel products used in the project are produced in the United States.

(2) In this section, the term “iron and steel products” means the following products made primarily of iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.

(b) Subsection (a) shall not apply in any case or category of cases in which the Administrator of the Environmental Protection Agency (in this section referred to as the “Administrator”) finds that—

- (1) applying subsection (a) would be inconsistent with the public interest;
- (2) iron and steel products are not produced in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or
- (3) inclusion of iron and steel products produced in the United States will increase the cost of the overall project by more than 25 percent.

(c) If the Administrator receives a request for a waiver under this section, the Administrator shall make available to the public on an informal basis a copy of the request and information available to the Administrator concerning the request, and shall allow for informal public input on the request for at least 15 days prior to making a finding based on the request. The Administrator shall make the request and accompanying information available by electronic means, including on the official public Internet Web site of the Environmental Protection Agency.

(d) This section shall be applied in a manner consistent with United States obligations under international agreements.

(e) The Administrator may retain up to 0.25 percent of the funds appropriated in this Act for the Clean and Drinking Water State Revolving Funds (CWSRF and DWSRF) for carrying out the provisions described in subsection (a)(1) for management and oversight of the requirements of this section.

(f) This section does not apply with respect to a project if a State agency approves the engineering plans and specifications for the project, in that agency’s capacity to approve such plans and specifications prior to a project requesting bids, prior to the date of the enactment of this Act.

**Highlights from EPA Guidance on Use of American Iron and Steel**  
Complete document available at [http://water.epa.gov/grants\\_funding/aisrequirement.cfm](http://water.epa.gov/grants_funding/aisrequirement.cfm)

**What is considered American Iron and Steel?**

**What is an iron or steel product?**

For purposes of the CWSRF and DWSRF projects that must comply with the AIS requirement, an iron or steel product is one of the following made primarily of iron or steel that is permanently incorporated into the public water system or treatment works: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.

**What is a ‘construction material’ for purposes of the AIS requirement?**

Construction materials are those articles, materials, or supplies made primarily of iron and steel, that are permanently incorporated into the project, not including mechanical and/or electrical components, equipment and systems. Some of these products may overlap with what is also considered “structural steel”. This includes, but is not limited to, the following products: wire rod, bar, angles, concrete reinforcing bar, wire, wire cloth, wire rope and cables, tubing, framing, joists, trusses, fasteners (i.e., nuts and bolts), welding rods, decking, grating, railings, stairs, access ramps, fire escapes, ladders, wall panels, dome structures, roofing, ductwork, surface drains, cable hanging systems, manhole steps, fencing and fence tubing, guardrails, doors, and stationary screens.

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**What is NOT considered American Iron and Steel?**

**What is NOT considered a ‘construction material’ for purposes of the AIS requirement?**

Mechanical and electrical components, equipment and systems are NOT considered construction materials. Mechanical equipment is typically that which has motorized parts and/or is powered by a motor. Electrical equipment is typically any machine powered by electricity and includes components that are part of the electrical distribution system. The following examples (including their appurtenances necessary for their intended use and operation) are NOT considered construction materials: pumps, motors, gear reducers, drives (including variable frequency drives (VFDs)), electric/pneumatic/manual accessories used to operate valves (such as electric valve actuators), mixers, gates, motorized screens (such as traveling screens), blowers/aeration equipment, compressors, meters, sensors, controls and switches, supervisory control and data acquisition (SCADA), membrane bioreactor systems, membrane filtration systems, filters, clarifiers and clarifier mechanisms, rakes, grinders, disinfection systems, presses (including belt presses), conveyors, cranes, HVAC (excluding ductwork), water heaters, heat exchangers, generators, cabinetry and housings (such as electrical boxes/enclosures), lighting fixtures, electrical conduit, emergency life systems, metal office furniture, shelving, laboratory equipment, analytical instrumentation, and dewatering equipment.

**Water Infrastructure Finance Authority of Arizona**  
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**Use of American Iron and Steel - De Minimis Waiver**

Every water infrastructure project involves the use of thousands of miscellaneous, generally low-cost components that are essential for, but incidental to, the construction and are incorporated into the physical structure of the project. For many of these incidental components, the country of manufacture and the availability of alternatives is not always readily or reasonably identifiable prior to procurement in the normal course of business; for other incidental components, the country of manufacture may be known but the miscellaneous character in conjunction with the low cost, individually and (in total) as typically procured in bulk, mark them as properly incidental.

Examples of incidental components could include small washers, screws, fasteners (i.e., nuts and bolts), miscellaneous wire, corner bead, ancillary tube, etc.

Example of items that are clearly not incidental include significant process fittings (i.e., tees, elbows, flanges, and brackets), distribution system fittings and valves, force main valves, pipes for sewer collection and/or water distribution, treatment and storage tanks, large structural support structures, etc.

EPA has established a public interest waiver for de minimis incidental components. This action permits the use of products when they occur in de minimis incidental components of such projects.

- Funds used for such de minimis incidental components cumulatively may comprise no more than a total of 5% of the total cost of the materials used in and incorporated into a project.
- The cost of an individual item may not exceed 1% of the total cost of the materials used in and incorporated into a project.

Assistance recipients who wish to use this waiver should in consultation with their contractors determine the items to be covered by this waiver and must retain relevant documentation (i.e., invoices) as to those items in their project files.

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**Davis-Bacon Contract Conditions (Federal Prevailing Wages)**

**PLEASE NOTE:** Federal Davis-Bacon prevailing wages apply to this project. Payment of the wages, fringe benefits and overtime rates is required.

The “subrecipient” referred to throughout the Davis-Bacon contract conditions is the WIFA Borrower.

“WIFA” is the Water Infrastructure Finance Authority of Arizona, State Capitalization Grant recipient, recipient, or the Authority.

## **Wage Rate Requirements (Also referred to as Attachment 6)**

### **Preamble**

With respect to the Clean Water and Drinking Water State Revolving Funds, EPA provides capitalization grants to each State which in turn provides subgrants or loans to eligible entities within the State. Although EPA and the State remain responsible for ensuring subrecipients' compliance with the wage rate requirements set forth herein, those subrecipients shall have the primary responsibility to maintain payroll records as described in Section 3(3)(ii)(A) below and for compliance as described in Section 5.

### **Requirements for Subrecipients That Are Governmental Entities:**

The following terms and conditions specify how recipients will assist EPA in meeting its Davis-Bacon (DB) responsibilities with respect to State recipients and subrecipients that are governmental entities. If a subrecipient has questions regarding when DB applies, obtaining the correct DB wage determinations, DB provisions, or compliance monitoring, it may contact the State recipient. If a State recipient needs guidance, the recipient will contact EPA. The recipient or subrecipient may also obtain additional guidance from DOL's web site at <https://www.dol.gov/agencies/whd/government-contracts/construction>.

#### **1. Applicability of the Davis-Bacon prevailing wage requirements.**

Davis-Bacon prevailing wage requirements apply to the construction, alteration, and repair of treatment works carried out in whole or in part with assistance made available by a Clean Water Revolving Fund and to any construction project carried out in whole or in part by assistance made available by a Drinking Water Revolving Fund. If a subrecipient encounters a unique situation at a site that presents uncertainties regarding DB applicability, the subrecipient must discuss the situation with the State recipient before authorizing work on that site.

#### **2. Obtaining Wage Determinations.**

(a) Subrecipients shall obtain the wage determination for the locality in which a covered activity subject to DB will take place prior to issuing requests for bids, proposals, quotes or other methods for soliciting contracts (solicitation) for activities subject to DB. These wage determinations shall be incorporated into solicitations and any subsequent contracts. Prime contracts must contain a provision requiring that subcontractors follow the wage determination incorporated into the prime contract.

(i) While the solicitation remains open, the subrecipient shall monitor <https://beta.sam.gov/> weekly to ensure that the wage determination contained in the solicitation remains current. The subrecipient shall amend the solicitation if DOL issues a modification more than 10 days prior to the closing date (i.e. bid opening) for the solicitation. If DOL modifies or supersedes the applicable wage determination 10 days or less prior to the closing date, the subrecipient may request a finding from the State recipient that there is not a reasonable time to notify interested contractors of the modification of the wage determination. The State recipient will provide a report of its findings to the subrecipient.

(ii) If the subrecipient does not award the contract within 90 days of the closure of the solicitation, any modifications or supersedes DOL makes to the wage

determination contained in the solicitation shall be effective unless the State recipient, at the request of the subrecipient, obtains an extension of the 90 day period from DOL pursuant to 29 CFR 1.6(c)(3)(iv). The subrecipient shall monitor <https://beta.sam.gov/> on a weekly basis if it does not award the contract within 90 days of closure of the solicitation to ensure that wage determinations contained in the solicitation remain current.

- (b) If the subrecipient carries out activity subject to DB by issuing a task order, work assignment or similar instrument to an existing contractor (ordering instrument) rather than by publishing a solicitation, the subrecipient shall insert the appropriate DOL wage determination from <https://beta.sam.gov/> into the ordering instrument. Typically, the appropriate wage determination would be the one in effect on the date the task order, work assignment or similar instrument is awarded.
- (c) Subrecipients shall review all subcontracts subject to DB entered into by prime contractors to verify that the prime contractor has required its subcontractors to include the applicable wage determinations.
- (d) As provided in 29 CFR 1.6(f), DOL may issue a revised wage determination applicable to a subrecipient's contract after the award of a contract or the issuance of an ordering instrument if DOL determines that the subrecipient has failed to incorporate a wage determination or has used a wage determination that clearly does not apply to the contract or ordering instrument. If this occurs, the subrecipient shall either terminate the contract or ordering instrument and issue a revised solicitation or ordering instrument or incorporate DOL's wage determination retroactive to the beginning of the contract or ordering instrument by change order. The subrecipient's contractor must be compensated for any increases in wages resulting from the use of DOL's revised wage determination.

### **3. Contract and Subcontract provisions.**

The recipient shall insure that the subrecipient(s) shall insert in full in any contract in excess of \$2,000 which is entered into for the actual construction, alteration and/or repair, including painting and decorating, of a treatment work under the CWSRF or a construction project under the DWSRF financed in whole or in part from Federal funds or in accordance with guarantees of a Federal agency or financed from funds obtained by pledge of any contract of a Federal agency to make a loan, grant or annual contribution (except where a different meaning is expressly indicated), and which is subject to the labor standards provisions of any of the acts listed in 29 CFR § 5.1, the following clauses:

- (1) Minimum wages.
  - (i) All laborers and mechanics employed or working upon the site of the work will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (a)(1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR § 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: provided that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph (a)(1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

Subrecipients may obtain wage determinations from the U.S. Department of Labor's web site, <https://beta.sam.gov/>.

(ii)(A) The subrecipient(s), on behalf of EPA, shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The State award official shall approve a request for an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

- (1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and
- (2) The classification is utilized in the area by the construction industry; and
- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the subrecipient(s) agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), documentation of the action taken and the request, including the local wage determination shall be sent by the subrecipient(s) to the State award official. The State award official will transmit the request, to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210 and to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification request within 30 days of receipt and so advise the State award official or will notify the State award official within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the subrecipient(s) do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the award official shall refer the request and the local wage determination, including the views of

all interested parties and the recommendation of the State award official, to the Administrator for determination. The request shall be sent to the EPA DB Regional Coordinator concurrently. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt of the request and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii)(B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, provided that the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(2) Withholding. The subrecipient(s), shall upon written request of the EPA Award Official or an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the recipient may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) Payrolls and basic records.

(i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the

contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly, for each week in which any contract work is performed, a copy of all payrolls to the subrecipient, that is, the entity that receives the sub-grant or loan from the State capitalization grant recipient. Such documentation shall be available on request of the State recipient or EPA. As to each payroll copy received, the subrecipient shall provide written confirmation in a form satisfactory to the State indicating whether or not the project is in compliance with the requirements of 29 CFR 5.5(a)(1) based on the most recent payroll copies for the specified week. The payrolls shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on the weekly payrolls. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at [www.dol.gov/whd/forms/wh347instr.htm](http://www.dol.gov/whd/forms/wh347instr.htm) or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the subrecipient(s) for transmission to the State or EPA if requested by EPA, the State, the contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the subrecipient(s).

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be provided under § 5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under § 5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the State, EPA or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency or State may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

(4) Apprentices and trainees -

(i) Apprentices. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the Apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency

recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

(5) Compliance with Copeland Act requirements. The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.

(6) Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the EPA determines may be appropriate, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

(7) Contract termination; debarment. A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

(8) Compliance with Davis-Bacon and Related Act requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

(9) Disputes concerning labor standards. Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and subrecipient(s), the State recipient, EPA, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility.

(i) By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

#### **4. Contract Provision for Contracts in Excess of \$100,000.**

(a) Contract Work Hours and Safety Standards Act. The subrecipient shall insert the following clauses set forth in paragraphs (a)(1), (2), (3), and (4) of this section in full in any contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by Item 3 above or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

(1) Overtime requirements. No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of 40 hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of 40 hours in such workweek.

(2) Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph (a)(1) of this section the contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (a)(1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of 40 hours without payment of the overtime wages required by the clause set forth in paragraph (a)(1) of this section.

(3) Withholding for unpaid wages and liquidated damages. The subrecipient, upon written request of the EPA Award Official or an authorized representative of the Department of Labor, shall withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b)(2) of this section.

(4) Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (a)(1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (a)(1) through (4) of this section.

(b) In addition to the clauses contained in Item 3 above, in any contract subject only to the Contract Work Hours and Safety Standards Act and not to any of the other statutes cited in 29 CFR 5.1, the subrecipient shall insert a clause requiring that the contractor or subcontractor shall maintain payrolls and basic payroll records during the course of the work and shall preserve them for a period of three years from the completion of the contract for all laborers and mechanics, including guards and watchmen, working on the contract. Such records shall contain the name and address of each such employee, social security number, correct classifications, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. Further, the subrecipient shall insert in any such contract a clause providing that the records to be maintained under this paragraph shall be made available by the contractor or subcontractor for inspection, copying, or transcription by authorized representatives of the recipient and the Department of Labor, and the contractor or subcontractor will permit such representatives to interview employees during working hours on the job.

## **5. Compliance Verification**

(a) The subrecipient shall periodically interview a sufficient number of employees entitled to DB prevailing wages (covered employees) to verify that contractors or subcontractors are paying the appropriate wage rates. As provided in 29 CFR 5.6(a)(6), all interviews must be conducted in confidence. The subrecipient must use WIFA's interview form, Department of Labor's Standard Form 1445, or equivalent documentation to memorialize the interviews. WIFA's interview form and instructions are included with this packet.

(b) The subrecipient shall establish and follow an interview schedule based on its assessment of the risks of noncompliance with DB posed by contractors or subcontractors and the duration of the contract or subcontract. Subrecipients must conduct more frequent interviews if the initial interviews or other information indicated that there is a risk that the contractor or subcontractor is not complying with DB. Subrecipients shall immediately conduct interviews in response to an alleged violation of the prevailing wage requirements. All interviews shall be conducted in confidence.

(c) The subrecipient shall periodically conduct spot checks of a representative sample of weekly payroll data to verify that contractors or subcontractors are paying the appropriate

wage rates. The subrecipient shall establish and follow a spot check schedule based on its assessment of the risks of noncompliance with DB posed by contractors or subcontractors and the duration of the contract or subcontract. At a minimum, if practicable, the subrecipient should spot check payroll data within two weeks of each contractor or subcontractor's submission of its initial payroll data and two weeks prior to the completion date the contract or subcontract. Subrecipients must conduct more frequent spot checks if the initial spot check or other information indicates that there is a risk that the contractor or subcontractor is not complying with DB. In addition, during the examinations the subrecipient shall verify evidence of fringe benefit plans and payments thereunder by contractors and subcontractors who claim credit for fringe benefit contributions.

- (d) The subrecipient shall periodically review contractors and subcontractors use of apprentices and trainees to verify registration and certification with respect to apprenticeship and training programs approved by either the U.S Department of Labor or a state, as appropriate, and that contractors and subcontractors are not using disproportionate numbers of laborers, trainees and apprentices. These reviews shall be conducted in accordance with the schedules for spot checks and interviews described in Item 5(b) and (c) above.
- (e) Subrecipients must immediately report potential violations of the DB prevailing wage requirements to the EPA DB contact listed below and to the appropriate DOL Wage and Hour District Office listed at [www.dol.gov/whd](http://www.dol.gov/whd).

**Joe Ochab, EPA Region 9, 75 Hawthorne St. (P-22), San Francisco, CA 94105**

**Clean Water Revolving Fund  
Drinking Water Revolving Fund**

**Equal Employment**

Inclusion of these seven clauses (excerpt from Executive Order No. 11246, Section 202 as amended by Executive Order 11375 and 12086) is required in all CWRF and DWRF project related contracts and subcontracts over \$10,000:

During the performance of this contract, the contractor agrees as follows:

- (1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of this nondiscrimination clause.
- (2) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- (3) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer, advising the labor union or worker's representative of the contractor's commitments under Section 202 of Executive Order No. 11246 of September 24, 1965, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (4) The contractor will comply with all provisions of Executive Order No. 11246 of Sept. 24, 1965, and all of the rules, regulations, and relevant orders of the Secretary of Labor.
- (5) The contractor will furnish all information and reports required by Executive Order No. 11246 of Sept. 24, 1965, and by the rules, regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the contracting agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (6) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, this contract may be cancelled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts in accordance with procedures authorized in

Executive Order No. 11246 of Sept. 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order No. 11246 of Sept. 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.

(7) The contractor will include the provisions of paragraphs (1) through (7) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of Sept. 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as may be directed by the Secretary of Labor as a means of enforcing such provisions including sanctions for noncompliance: provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**Water Infrastructure Finance Authority of Arizona**  
**Clean Water Revolving Fund**  
**Drinking Water Revolving Fund**

**Disadvantaged Business Enterprises (DBE)**

**Good Faith Efforts**

Borrowers and their prime contractors must follow, document, and maintain documentation of their good faith efforts as listed below to ensure that Certified Disadvantaged Business Enterprises\* (DBEs) have the opportunity to participate in the project by increasing DBE awareness of procurement efforts and outreach.

1. Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities; including placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitation for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
3. Consider in the contracting process whether firms competing for large contracts could be subcontracted with DBEs. This will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
5. Use the services and assistance of the Small Business Administration and the Minority Business Development Agency of the U. S. Department of Commerce.
6. If the prime contractor awards subcontracts, require the prime contractor to take the steps in numbers 1 through 5 above.

**Required Contract Conditions**

These conditions must be included in all procurement contracts entered into by the Borrower for all DWRF and CWRF projects:

1. The prime contractor must pay its subcontractor for satisfactory performance no more than 30 days from the prime contractor's receipt of payment from the owner.
2. The prime contractor must notify the owner in writing prior to the termination of any Disadvantaged Business Enterprise subcontractor for convenience by the prime contractor.
3. If a Disadvantaged Business Enterprise contractor fails to complete work under the subcontract for any reason, the prime contractor must employ the six good faith efforts if soliciting a replacement contractor.
4. The prime contractor must continue to employ the six good faith efforts even if the prime contractor has achieved its fair share objectives.

5. A Borrower must ensure that each procurement contract it awards contains the following terms and conditions:

The contractor shall not discriminate on the basis of race, color, national origin or sex in the performance of this contract. The contractor shall carry out applicable requirements of 40 CFR Part 33 in the award and administration of contracts awarded under EPA financial assistance agreements. Failure by the contractor to carry out these requirements is a material breach of this contract which may result in the termination of this contract or other legally available remedies.

*\* A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.*

*\*\* More information about DBE requirements can be found at  
<https://www.epa.gov/grants/frequently-asked-questions-disadvantaged-business-enterprises>*

**Water Infrastructure Finance Authority of Arizona**  
**Clean Water Revolving Fund**  
**Drinking Water Revolving Fund**

**Prohibition on Certain Telecommunication and Video Surveillance Equipment**

**Public Law 115-232, enacted August 13, 2020**

WIFA borrowers must comply with regulations at 2 CFR 200.216, *Prohibition on certain telecommunication and video surveillance services or equipment*, implementing section 889 of Public Law 115-232. The regulation prohibits the use of Federal funds to procure (enter into, extend, or renew contracts) or obtain equipment, systems, or services that use “covered telecommunications equipment or services” identified in the regulation as a substantial or essential component of any system, or as critical technology as part of any system. Prohibitions extend to the use of Federal funds by recipients and subrecipients to enter into a contract with an entity that “uses any equipment, system, or service that uses covered telecommunications equipment or services” as a substantial or essential component of any system, or as critical technology as part of any system. Certain equipment, systems, or services, including equipment, systems, or services produced or provided by entities subject to the prohibition are recorded in the System for Award Management exclusion list (<https://sam.gov/SAM/>).

As described in section 889 of Public Law 115-232, covered telecommunications equipment or services includes:

- **Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).**
- For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other security purposes, **video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).**
- Telecommunications or video surveillance services provided by such entities or using such equipment.
- Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

There is no exhaustive list of components and services that fall under the prohibition. Borrowers and contractors should be particularly mindful of project components with internet or cellular connections. For example, automatic meter reading (AMR) technology and advanced metering infrastructure (AMI), instrumentation control systems (e.g. process control systems, distributed control systems and programmable logic controls), and security cameras and other electronic security measures. Items included in the prohibition are not eligible costs, and WIFA cannot reimburse borrowers for these costs.

**SAMPLE Step Certification Letter (Processed/Manufactured)**  
**Use of American Iron and Steel**  
**Water Infrastructure Finance Authority of Arizona**  
**CWSRF and DWSRF Funded Projects**

*The following information is provided as a sample letter of certification for AIS compliance (From March 20, 2014 EPA Memorandum American Iron and Steel Requirement Guidance).*

*Documentation must be provided on company letterhead.*

*Documentation should include the following five items:*

- *Project name*
- *Product identification*
- *City and state where process took place*
- *Reference to American Iron and Steel Requirements as mandated by the EPA State Revolving Fund Programs.*
- *Signature*

Date

Company Name

Company Address

City, State Zip

Subject: American Iron and Steel Step Certification for Project (XXXXX)

I, (company representative), certify that the (melting, bending, coating, galvanizing, cutting, etc.) process for (manufacturing or fabricating) the following products and/or materials shipped or provided for the subject project is in full compliance with the American Iron and Steel requirement as mandated in EPA's State Revolving Fund Programs.

Item, Products and/or Materials:

1. XXXX
2. XXXX
3. XXXX

Such process took place at the following location: CITY AND STATE

If any of the above compliance statements change while providing material to this project we will immediately notify the prime contractor and the engineer.

Signed by company representative

**SAMPLE Step Certification Letter (Shipped/Provided)**  
**Use of American Iron and Steel**  
**Water Infrastructure Finance Authority of Arizona**  
**CWSRF and DWSRF Funded Projects**

*The following information is provided as a sample letter of certification for AIS compliance (From March 20, 2014 EPA Memorandum American Iron and Steel Requirement Guidance).*

*Documentation must be provided on company letterhead.*

*Documentation should include the following five items:*

- *Project name*
- *Product identification*
- *City and state where process took place*
- *Reference to American Iron and Steel Requirements as mandated by the EPA State Revolving Fund Programs.*
- *Signature*

Date

Company Name

Company Address

City, State Zip

Subject: American Iron and Steel Certification for Project (XXXXXX)

I, (company representative), certify that the following products and/or materials shipped/provided to the subject project are in full compliance with the American Iron and Steel requirement as mandated in EPA's State Revolving Fund Programs.

Item, Products and/or Materials:

1. XXXX
2. XXXX
3. XXXX

Such process took place at the following location: CITY AND STATE

If any of the above compliance statements change while providing material to this project we will immediately notify the prime contractor and the engineer.

Signed by company representative

American Iron and Steel Materials and De Minimis Worksheet

Rev: 03/2020

# Water Infrastructure Finance Authority of Arizona **CWSRF and DWSRF Funded Projects**

Visit EPA's [Guidance Document](#) for more information on American Iron and Steel Covered Products and De Minimis items.

Project: \_\_\_\_\_

Total Materials Cost:	\$0.00
Total Amount Covered Under De Minimis Waiver (incidental items):	\$0.00
Percent (must be 5% or less of total materials cost):	#DIV/0!

*Covered products include: Lined or unlined pipes or fittings; manhole covers; municipal castings; pipe clamps and restraints; valves; structural steel; hydrants, tanks; flanges; reinforced precast concrete; construction materials.*

Products not subject to American Iron and Steel include mechanical and electrical equipment and related annutances.

Incidental items are miscellaneous, generally low-cost items, often procured in bulk, such as washers, screws, fasteners; small amounts of wire, etc.



## Guidance Document Viewer

De Minimis Exemption

Go to:

### De Minimis Exemption

#### On this page:

##### Section 1: Regulatory Text

- ▶ Section 2: Summary
- Section 3: Examples
- Section 4: Questions and Answers

### Section 1: Regulatory Text

40 CFR §372.38(a):

*“De minimis concentrations of a toxic chemical in a mixture. If a toxic chemical is present in a mixture of chemicals at a covered facility and the toxic chemical is in a concentration in the mixture which is below 1 percent of the mixture, or 0.1 percent of the mixture in the case of a toxic chemical which is a carcinogen as defined in 29 CFR 1910.1200(d)(4), a person is not required to consider the quantity of the toxic chemical present in such mixture when determining whether an applicable threshold has been met under §372.25 or determining the amount of release to be reported under §372.30. This exemption applies whether the person received the mixture from another person or the person produced the mixture, either by mixing the chemicals involved or by causing a chemical reaction which resulted in the creation of the toxic chemical in the mixture. However, this exemption applies only to the quantity of the toxic chemical present in the mixture. If the toxic chemical is also manufactured (including imported), processed, or otherwise used at the covered facility other than as part of the mixture or in a mixture at higher concentrations, in excess of an applicable threshold quantity set forth in §372.25, the person is required to report under §372.30. This exemption does not apply to toxic chemicals listed in §372.28, except for purposes of §372.45(d)(1).”*

### Section 2: Summary

The de minimis exemption allows covered facilities to disregard certain minimal concentrations of non-PBT chemicals in mixtures or trade name products. The de minimis exemption does not apply to the manufacture of a non-PBT chemical except if that toxic chemical is manufactured as an impurity and remains in the product distributed in commerce, or if the toxic chemical is imported below the appropriate de minimis level. The de minimis exemption does not apply to a byproduct manufactured coincidentally as a result of manufacturing, processing, otherwise use, or any waste management activities.

When determining whether the de minimis exemption applies to a listed non-PBT chemical, the owner/operator should consider only the concentration of the non-PBT chemical in mixtures and trade name products. If the non-PBT chemical is manufactured as an impurity, imported, processed, or otherwise used and is below the appropriate de minimis concentration level, then the quantity of the toxic chemical in that process stream does not have to be applied to threshold determinations nor included in release or other waste management calculations. If a non-PBT chemical in a mixture or trade name product is below the appropriate de minimis level, all releases and other waste management activities associated with the toxic chemical in the mixture or trade name product are exempt from EPCRA Section 313 reporting. It is possible to meet an activity (e.g., processing) threshold for a toxic chemical on a facility-wide basis, but not be required to calculate releases or other waste management quantities associated with a particular process because that process involves only mixtures or trade name products containing the toxic chemical below the de minimis level.

Once a non-PBT chemical concentration is above the appropriate de minimis level in mixture or trade name product, threshold determinations and release and other waste management calculations must be made, even if the chemical later falls below the de minimis level in the same mixture or trade name product. Thus, all releases and other quantities managed as waste that occur after the de minimis level has been exceeded are subject to reporting. If a non-PBT chemical in a mixture or trade name product above de minimis is brought on-site, the de minimis exemption never applies.

The 0.1 percent de minimis levels are dictated by determinations made by the National Toxicology Program (NTP), Annual Report on Carcinogens, the International Agency for Research and Cancer (IARC) ADDENDUM EPCRA Section 313 Questions and Answers Addendum 32 Monographs, or 29 CFR part 1910, subpart Z. Therefore, once a chemicals status under NTP, IARC, or 29 CFR part 1910, subpart Z indicates that the chemical is a carcinogen or potential carcinogen, the reporting facility may disregard levels of the chemical below the 0.1 percent de minimis concentration provided that the other criteria for the de minimis exemption is met. De minimis levels for chemical categories apply to the total concentration of all chemicals in the category within a mixture, not the concentration of each individual category member within the mixture. All other listed toxic chemicals have a one percent (1.0 percent) de minimis level.

### Section 2.1: De Minimis Application to the Processing or Otherwise Use of a Mixture

The de minimis exemption applies to the processing or otherwise using, of a listed non-PBT chemical in a mixture. Threshold determinations and release and other waste management calculations begin at the point where the chemical exceeds de minimis. If a listed non-PBT chemical is present in a mixture at a concentration below the de minimis level, this quantity of the substance does not

have to be included for threshold determination, release and other waste management reporting. The exemption will apply as long as the mixture containing de minimis amounts of a non-PBT chemical never goes above the de minimis limit. Also, see the two examples below in which a manufacturing activity would qualify for the de minimis exemption.

## Section 2.1.1: Examples of Process and Otherwise Use Scenarios

There are many cases in which the de minimis limit is crossed or recrossed within a process or otherwise use scenario. The following examples are meant to illuminate these complex reporting scenarios. These applications are further described in the general section of the Toxic Chemical Release Inventory Reporting Forms and Instructions.

### Section 2.1.1.1: A. Example of Increasing Process Concentration to Above De Minimis Levels

A manufacturing facility receives toluene which contains less than the de minimis concentration of chlorobenzene. Through distillation, the chlorobenzene content in process streams is increased over the de minimis concentration of 1 percent. From the point at which the chlorobenzene concentration exceeds 1 percent in process streams, the amount present must be factored into threshold determinations and release and other waste management calculations. The facility does not need to consider the amount of chlorobenzene in the raw material, i.e., when below de minimis levels, when making threshold determinations. The facility does not have to report emissions of chlorobenzene from storage tanks or any other equipment where the chlorobenzene content is less than 1 percent.

### Section 2.1.1.2: B. Example of Fluctuating Process Concentration

A manufacturer produces an ink product which contains toluene, a listed toxic chemical below the de minimis level. The process used causes the percentage of toluene in the mixture to fluctuate: it rises above the de minimis level for a time but drops below the level as the process winds down. The facility must consider the chemical toward threshold determinations from the point at which it first exceeds the de minimis limit. Once the de minimis limit has been crossed the exemption cannot be taken.

### Section 2.1.1.3: C. Example of Concentration Levels that Straddle the De minimis Level

A facility processes 9,500,000 lbs. of mixtures containing 0.25–1.25 percent manganese. Manganese is subject to 1 percent de minimis concentration exemption. The amount of mixture subject to reporting is:

$$9,500,000 \times (1.2 - 0.99)/(1.2 - 0.25) = 2,000,000 \text{ lbs. non-exempt mixture}$$

The average concentration above de minimis is 1.1 percent.

$$2,900,000 \times 0.011 \text{ manganese} = 22,000 \text{ lbs manganese (below threshold)}$$

In this example, because the facility's information pertaining to the toxic chemical is available to two digits past the decimal point, the facility used 0.99 to determine the amount of the toxic chemical below the de minimis level. If the facility has information pertaining to the chemical that is available only to one digit past the decimal point, the facility should use 0.9.

## Section 2.2: De Minimis Application in the Manufacture of the Listed Chemical in a Mixture

De Minimis Application in the Manufacture of the Listed Chemical in a Mixture The de minimis exemption generally does not apply to the manufacture of a non-PBT chemical. The de minimis exemption may apply to mixtures and trade name products containing non-PBT chemicals that are imported into the United States. Another exception applies to non-PBT chemicals that are coincidentally manufactured as impurities that remain in the product distributed in commerce at below the de minimis levels. In that case, the amount remaining in the product is exempt from threshold determinations. If the non-PBT chemical is separated from the final product, thereby classifying the chemical as a byproduct, it cannot qualify for the exemption. Any amount that is separated, or is separate from the product, is considered a byproduct and is subject to threshold determinations and release and other waste management calculations. Any amount of a toxic chemical that is manufactured in a wastestream must be accounted for on the Form R.

## Section 2.2.1: Examples of Coincidental Manufacture Scenarios

### Section 2.2.1.1: A. Example of Coincidental Manufacture as a Product Impurity

Toluene 2,4-diisocyanate reacts with water to form trace quantities of 2,4-diaminotoluene. The resulting product contains 99 percent toluene 2,4-diisocyanate and 0.05 percent 2,4-diaminotoluene. The 2,4-diaminotoluene would not be subject to Section 313 reporting nor would supplier notification be required because the concentration of 2,4-diaminotoluene is below its de minimis concentration of 0.1 percent in the product. Coincidental manufacture/production refers only to production of a chemical via a chemical reaction. It would not include separation of a byproduct from a purchased mixture during a processing operation.

### Section 2.2.1.2: B. Example of Coincidental Manufacture as a Commercial Byproduct and Impurity

Chloroform is a reaction byproduct in the production of carbon tetrachloride. It is removed by distillation to a concentration of less than 150 ppm (0.0150 percent) remaining in the carbon tetrachloride. The separated chloroform at 90 percent concentration is sold as a byproduct. Chloroform is subject to a 0.1 percent (1,000 ppm) de minimis level. Any amount of chloroform manufactured and separated as byproduct must be included in threshold determinations because the de minimis exemption does not apply to manufacture of a chemical byproduct. Releases of chloroform prior to and during purification of the carbon tetrachloride should be reported. The de minimis level can, however, be applied to the chloroform remaining in the carbon tetrachloride as an impurity. Because the concentration of chloroform remaining in the carbon tetrachloride is below the de minimis level, this quantity of chloroform is exempt from threshold determinations, release and other waste management reporting, and supplier notification.

### Section 2.2.1.3: C. Example of Coincidental Manufacture as a Waste Byproduct

A small amount of formaldehyde is manufactured as a reaction byproduct during the production of phthalic anhydride. The formaldehyde is separated from the phthalic anhydride as a waste gas and burned, leaving no formaldehyde in the phthalic anhydride. The amount of formaldehyde produced and removed as waste must be included in threshold determinations and release and other waste management calculations even if the formaldehyde is present below the de minimis level in the process stream where it was manufactured or in the wastestream which it was separated.

The de minimis exemption also does not apply to situations where the manufactured chemical is released or transferred to wastestreams and thereby diluted to below the de minimis level.

## Section 2.3: De Minimis Levels Impact Supplier Notification Requirements

If the toxic chemical in a mixture or trade name product is present below the de minimis level for that toxic chemical, supplier notification is not required for that chemical regardless of whether or not it is a PBT chemical.

## Section 3: Examples

Example 5: De Minimis Applications to Process and Otherwise Use Scenarios for Non-PBT Chemicals

### Example 5: De Minimis Applications to Process and Otherwise Use Scenarios for Non-PBT Chemicals

There are many cases in which the *de minimis* "limit" is crossed or re-crossed by non-PBT chemicals within a process or otherwise use scenario. The following examples are meant to illustrate these complex reporting scenarios.

#### Increasing Concentration to or Above De Minimis Levels During Processing for Non-PBT Chemicals

A manufacturing facility receives toluene that contains chlorobenzene at a concentration below its *de minimis* limit. Through distillation, the chlorobenzene content in process streams is increased over the *de minimis* concentration of 1 percent. From the point at which the chlorobenzene concentration equals 1 percent in process streams, the amount present must be factored into threshold determinations and release and other waste management estimates. The facility does not need to consider the amount of chlorobenzene in the raw material when below *de minimis* levels, i.e., prior to distillation to 1 percent, when making threshold determinations. The facility does not have to report emissions of chlorobenzene from storage tanks or any other equipment associated with that specific process where the chlorobenzene content is less than 1 percent.

#### Fluctuating Concentration During Processing for Non-PBT Chemicals

A manufacturer produces an ink product that contains toluene, an EPCRA Section 313 chemical, below the *de minimis* level. The process used causes the percentage of toluene in the mixture to fluctuate: it rises above the *de minimis* level for a time but drops below the level as the process winds down. The facility must consider the chemical toward threshold determinations from the point at which it first equals the *de minimis* limit. Once the *de minimis* limit has been met the exemption cannot be taken.

Example 6: Concentration Ranges Straddling the De Minimis Value

### Example 6: Concentration Ranges Straddling the De Minimis Value

**Scenario 1:** A facility processes 8,000,000 pounds of a mixture containing 0.25 to 1.25 percent manganese. Manganese is eligible for the *de minimis* exemption at concentrations up to 1 percent. The amount of mixture subject to reporting is the quantity containing manganese at or above the *de minimis* concentration:

$$[(8,000,000) \times (1.25\% - 0.99\%)] \div (1.25\% - 0.25\%)$$

The average concentration of manganese that is not exempt (above the *de minimis*) is:

$$(1.25\% + 1.00\%) \div (2)$$

Therefore, the amount of manganese that is subject to threshold determination and release and other waste management estimates is:

$$\left[ \frac{(8,000,000) \times (1.25\% - 0.99\%)}{(1.25\% - 0.25\%)} \right] \times \left[ \frac{(1.25\% + 1.00\%)}{2} \right] = 23,400 \text{ pounds}$$

= 23,400 pounds manganese (which is below the processing threshold for manganese)

In this scenario, because the facility's information pertaining to manganese was available to two decimal places, 0.99 was used to determine the amount below the *de minimis* concentrations. If the information was available to one decimal place, 0.9 should be used, as in the scenario below.

**Scenario 2:** As in the previous example, manganese is present in a mixture, of which 8,000,000 pounds is processed. The SDS states the mixture contains 0.2 percent to 1.2 percent manganese. The amount of mixture subject to reporting (at or above *de minimis* limit) is:

$$[(8,000,000) \times (1.2\% - 0.9\%)] \div (1.2\% - 0.2\%)$$

The average concentration of manganese that is not exempt (at or above *de minimis* limit) is:

$$(1.2\% + 1.0\%) \div (2)$$

Therefore, the amount of manganese that is subject to threshold determinations and release and other waste management estimates is:

$$\left[ \frac{(8,000,000) \times (1.2\% - 0.9\%)}{(1.2\% - 0.2\%)} \right] \times \left[ \frac{(1.2\% + 1.0\%)}{2} \right] = 26,400 \text{ pounds}$$

= 26,400 pounds manganese (which is above the processing threshold for manganese)

Example 6: Concentration Ranges Straddling the De Minimis Value

### Example 7: De Minimis Application in the Manufacture of a Toxic Chemical in a Mixture

#### Manufacture as a Product Impurity

Toluene 2,4 diisocyanate reacts with trace amounts of water to form trace quantities of 2,4-diaminotoluene. The resulting product contains 99 percent toluene 2,4-diisocyanate and 0.05 percent 2,4-diaminotoluene. The 2,4 diaminotoluene would not be subject to EPCRA Section 313 reporting nor would supplier notification be required because the concentration of 2,4-diaminotoluene is below its *de minimis* limit of 0.1 percent in the product.

#### Manufacture as a Commercial Byproduct and Impurity

Chloroform is a reaction byproduct in the production of carbon tetrachloride. It is removed by distillation to a concentration of less than 150 ppm (0.0150 percent) remaining in the carbon tetrachloride. The separated chloroform at 90 percent concentration is sold as a byproduct. Chloroform is subject to a 0.1 percent (1000 ppm) *de minimis* limit. Any amount of chloroform manufactured and separated as byproduct must be included in threshold determinations because EPA does not interpret the *de minimis* exemption to apply to the manufacture of a chemical as a byproduct. Releases of chloroform prior to and during purification of the carbon tetrachloride must be reported. The *de minimis* exemption can, however, be applied to the chloroform remaining in the carbon tetrachloride as an impurity.

Because the concentration of chloroform remaining in the carbon tetrachloride is below the *de minimis* limit, this quantity of chloroform is exempt from threshold determinations, release and other waste management reporting, and supplier notification.

#### Manufacture as a Waste Byproduct

A small amount of formaldehyde is manufactured as a reaction byproduct during the production of phthalic anhydride. The formaldehyde is separated from the phthalic anhydride as a waste gas and burned, leaving no formaldehyde in the phthalic anhydride. The amount of formaldehyde produced and removed must be included in threshold determinations and release and other waste management estimates even if the formaldehyde were present below the *de minimis* level in the process stream where it was manufactured or in the waste stream to which it was separated because EPA does not interpret mixtures and trade name products to include wastes.

## Section 4: Questions and Answers

TEST

When <i>de minimis</i> may Apply (Q&A #)	When <i>de minimis</i> does not Apply (Q&A #)
<ul style="list-style-type: none"> <li>Question Number 246: Impurity; Process</li> <li>Question Number 265: De minimis Exemption; Solvent Recovery</li> <li>Question Number 299: Otherwise Use</li> <li>Question Number 410: De minimis Exemption; Mixture; Trade Name</li> <li>Question Number 413: De minimis Exemption; Release Reporting</li> <li>Question Number 430: Ash; De minimis Exemption; Otherwise Use</li> <li>Question Number 433: De minimis Exemption; Waste</li> <li>Question Number 434: Ash; De minimis</li> <li>Question Number 593: Release Reporting; Releases; Storage</li> </ul>	<ul style="list-style-type: none"> <li>Question Number 248: Activity Threshold; Coincidental Manufacturing</li> <li>Question Number 265: De minimis Exemption; Solvent Recovery</li> <li>Question Number 410: De minimis Exemption; Mixture; Trade Name</li> <li>Question Number 412: Coincidental Manufacturing; De minimis Exemption; Impurity</li> <li>Question Number 423: De minimis Exemption; Manufacture; Threshold Determination; Wastewater Treatment</li> <li>Question Number 425: Ammonia; De minimis Exemption</li> <li>Question Number 427: De minimis Exemption</li> <li>Question Number 429: De minimis Exemption; Otherwise Use; Waste Stream</li> <li>Question Number 435: De minimis Exemption; Waste</li> <li>Question Number 492: Air Releases; De minimis Exemption; Storage Tanks</li> <li>Question Number 594: Otherwise Use</li> </ul>

No Previous Section | Table of Contents | Guidance Document List | No Next Section

General Decision Number: AZ120010 03/30/2012 AZ10

Superseded General Decision Number: AZ20100010

State: Arizona

Construction Type: Heavy

Counties: Coconino, Maricopa, Mohave, Pima, Pinal and Yuma  
Counties in Arizona.

HEAVY CONSTRUCTION PROJECTS (excluding dam construction)

Modification Number	Publication Date
0	01/06/2012
1	03/30/2012

\* BOIL0627-004 01/01/2012

	Rates	Fringes
BOILERMAKER.....	\$ 31.39	25.46

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CARP0408-003 07/01/2011

	Rates	Fringes
CARPENTER (Including Cement Form Work).....	\$ 23.58	8.49
PILEDRIVERMAN.....	\$ 24.08	8.49

-----  
ELEC0518-005 08/01/2010

PINAL COUNTY (North of the line, "First Standard Parallel  
South", and East of the line, "Second Guide Meridian East".

	Rates	Fringes
Electrician/Wireman.....	\$ 24.25	9.67

-----  
ELEC0570-001 12/01/2011

PIMA, PINAL [Remaining Southern Area], and YUMA COUNTIES

	Rates	Fringes
Electrician/Wireman.....	\$ 23.75	18%+4.70

ZONE DEFINITIONS-

Zone A: the area within a twenty-nine (29) mile radius from  
a basing point at the Tucson Town Hall.  
Zone B: 29 to 46 mile radius from the town hall in Tucson- an  
additional \$ 1.25 per hour  
Zone C: 47 mile radius from the town hall in Tucson to the  
outer limits of the geographic jurisdiction- an additional  
\$ 3.75 per hour

-----  
ELEC0611-005 11/01/2011

APACHE COUNTY [Area North of Highway 66]

	Rates	Fringes
Electrician/Wireman Zone 1.....	\$ 29.30	3%+8.68

ZONE 1: 0 to 10 miles from Gallup, NM  
ZONE 2: 10 to 30 miles from Gallup - Add 9%  
ZONE 3: 30 to 40 miles from Gallup - Add 15%  
ZONE 4: Over 40 miles from Gallup - Add 26%

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ELEC0640-001 06/21/2011

COCONINO; MARICOPA; MOHAVE COUNTIES; and the following portion  
of PINAL COUNTY (Area lying North andWest of the boundary line  
beginning at a point where Papago Indian Reservation Road No.15  
crosses the Pima-Pinal County line, then extending in a

Northeasterly direction on Papago Indian Reservation Road No. 15 to the intersection with Highway FAS-267, extending North on Highway FAS-267 to the intersection with the Florence Canal, North and East on the Florence Canal to the intersection of the line "Second Guide Meridian East" then North to the Pinal-Maricopa County lines )

	Rates	Fringes
Electrician/Wireman.....	\$ 25.01	3%+7.50

ELEC0769-001 05/01/2011

	Rates	Fringes
Line Construction:		
Cable Splicer.....	\$ 42.24	19%+5.04
Groundman.....	\$ 22.32	19%+5.04
Lineman.....	\$ 38.48	19%+5.04
Powderman.....	\$ 27.13	19%+5.04
Technician, Crane 80 Ton & over, Pilot.....	\$ 37.39	19%+5.04

Equipment Operator: 75% of Lineman rate.  
HD Equipment Operator: 85% of Lineman rate.  
Mechanic: 75% of Lineman rate.

ENGI0428-013 06/01/2010

	Rates	Fringes
Power Equipment Operator		
(2) Asphalt Roller.....	\$ 25.22	9.79

IRON0075-007 08/01/2011

	Rates	Fringes
Ironworker		
Rebar & Structural.....	\$ 26.52	19.35

Zone 1: 0 to 50 miles from City Hall in Phoenix or Tucson  
Zone 2: 050 to 100 miles - Add \$4.00  
Zone 3: 100 to 150 miles - Add \$5.00  
Zone 4: 150 miles & over - Add \$6.50

LAB00383-008 06/01/2010

	Rates	Fringes
Laborers		
(2) Concrete Worker.....	\$ 18.63	4.35
(3) Power tools.....	\$ 19.42	4.35
(6) Construction Specialist.	\$ 19.39	4.35

PLUM0469-004 07/01/2011

ZONE A: COCONINO, MARICOPA, MOHAVE & YUMA COUNTIES

ZONE B: PIMA AND PINAL COUNTIES

	Rates	Fringes
PLUMBER		
Zone A.....	\$ 32.50	15.15
Zone B.....	\$ 32.50	15.15

INDUSTRIAL WORK: Add \$6.00 to basic hourly rate

SHEE0359-002 08/01/2011

PIMA and PINAL (South of the 33rd Parallel) COUNTIES

	Rates	Fringes
Sheet Metal Worker (Including HVAC)		
Zone 1.....	\$ 29.55	14.05

COCONINO, MARICOPA, MOHAVE, PINAL (North of the 33rd Parallel),  
and YUMA COUNTIES

	Rates	Fringes
Sheet Metal Worker (Including HVAC).....	\$ 29.55	14.05

SUAZ2004-007 03/04/2004

	Rates	Fringes
Cement Mason/Finisher.....	\$ 17.18	2.12
<b>Laborers</b>		
General/Cleanup.....	\$ 10.32	0.00
Pipelayer.....	\$ 11.11	1.74
MILLWRIGHT.....	\$ 16.97	3.40
<b>Power Equipment Operator</b>		
Backhoe.....	\$ 16.82	2.52
Blade/Grader.....	\$ 14.45	2.45
Crane.....	\$ 20.76	4.42
Excavator.....	\$ 18.00	0.00
Loader.....	\$ 16.67	2.14
Scraper.....	\$ 12.91	1.68
<b>Sound &amp; Communication</b>		
Technician.....	\$ 22.00	0.00
<b>TRUCK DRIVER</b>		
Dump.....	\$ 12.13	1.16
Flatbed Utility.....	\$ 12.50	1.48
Water Truck.....	\$ 11.91	1.32

WELDERS - Receive rate prescribed for craft performing  
operation to which welding is incidental.

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Unlisted classifications needed for work not included within  
the scope of the classifications listed may be added after  
award only as provided in the labor standards contract clauses  
(29CFR 5.5 (a) (1) (ii)).

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The body of each wage determination lists the classification  
and wage rates that have been found to be prevailing for the  
cited type(s) of construction in the area covered by the wage  
determination. The classifications are listed in alphabetical  
order of "identifiers" that indicate whether the particular  
rate is union or non-union.

#### Union Identifiers

An identifier enclosed in dotted lines beginning with  
characters other than "SU" denotes that the union  
classification and rate have found to be prevailing for that  
classification. Example: PLUM0198-005 07/01/2011. The  
first four letters, PLUM, indicate the international union and  
the four-digit number, 0198, that follows indicates the local  
union number or district council number where applicable,  
i.e., Plumbers Local 0198. The next number, 005 in the  
example, is an internal number used in processing the wage  
determination. The date, 07/01/2011, following these  
characters is the effective date of the most current  
negotiated rate/collective bargaining agreement which would be  
July 1, 2011 in the above example.

Union prevailing wage rates will be updated to reflect any  
changes in the collective bargaining agreements governing the  
rate.

## Non-Union Identifiers

Classifications listed under an "SU" identifier were derived from survey data by computing average rates and are not union rates; however, the data used in computing these rates may include both union and non-union data. Example: SULA2004-007 5/13/2010. SU indicates the rates are not union rates, LA indicates the State of Louisiana; 2004 is the year of the survey; and 007 is an internal number used in producing the wage determination. A 1993 or later date, 5/13/2010, indicates the classifications and rates under that identifier were issued as a General Wage Determination on that date.

Survey wage rates will remain in effect and will not change until a new survey is conducted.

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## WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- \* an existing published wage determination
- \* a survey underlying a wage determination
- \* a Wage and Hour Division letter setting forth a position on a wage determination matter
- \* a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations  
Wage and Hour Division  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

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END OF GENERAL DECISION

# WIFA PROJECT WAGE RATE WORKSHEET

*The construction category of Heavy (excluding dam construction) should typically be applied to all projects funded by WIFA. If you believe that a different category of wages, such as Building, should be applied to your project or portions of your project, please contact WIFA in advance.*

## **ADDITIONAL CLASSIFICATIONS NEEDED (DOL FORM SF-1444)**

WORK CLASSIFICATION	BASIC HOURLY RATE	FRINGE BENEFITS	TOTAL HOURLY WAGE RATE	DATE OF WIFA SUBMISSION TO DOL	DATE OF DOL APPROVAL

## **SF 1444 Instructions**

### **Request for Additional Classification and Wage Rate Form**

Attached is a copy of the federal standard form 1444, Request for Authorization of Additional Classification and Wage Rate. This form must be submitted when a wage classification is not listed on the applicable wage decision. The classification and wage rate submitted on the form should bear a reasonable likeness to similar skill classifications listed in the federal wage determination.

The prime contractor is responsible for the completion and submission of this form. The following are the procedures for the completion and submission of the form:

1. Check "Construction Contract" in the upper right-hand corner.
- Box 2. Insert the following information:

**Water Infrastructure Finance Authority of Arizona**  
**(WIFA) 100 N. 7th Ave., Ste. 130**  
**Phoenix, AZ 85007**
- Box 3. Prime contractor's name.
- Box 4. Date the prime contractor submitted the form to WIFA.
- Box 5. Contract number.
- Box 6. Date the bid was opened, if applicable.
- Box 7. Date the contract was awarded.
- Box 8. Actual date the contractor will be starting or started work.
- Box 9. (This box is not applicable.)
- Box 10. List all subcontractors that will utilize the labor classification listed in box 13a. If none, enter "N/A."
- Box 11. Project title and a brief description of the project.
- Box 12. Include both the city and county, as well as Arizona.
- Box 13. Federal "General Decision Number" (e.g. AZ00009) and the date.
- Box 13a. List all classifications not covered by the federal wage determination, which are utilized by either the prime or the subcontractor(s).
- Box 13b. The wage rate should bear a reasonable likeness to the category classification wage rates (equipment operators, laborers, truck drivers, etc.) listed in the federal wage determination.
- Box 13c. The fringe rate should bear a reasonable likeness to the category classification fringe rates (equipment operators, laborers, truck drivers, etc.) listed in the federal wage determination.
- Box 14. If there is a subcontractor listed on line 10, its representative signs on this line.
- Box 15. The prime contractor's representative must sign on this line.
- Box 16. If the contractor has a specific employee who will be performing the labor classification(s) listed in box 13a, or if the employees' have legal representation (union, etc.), they should sign this line and include their title. If no specific employee is identified to perform work under the listed classification(s), then write "unknown" in the box. The "Agree" or "Disagree" boxes are checked by anyone signing in boxes 14, 15, and 16.

**The contractor will make a copy of the completed signed form and submit the original to WIFA (not required to be in quadruplicate).**

**WIFA will complete the section below the heavy line TO BE COMPLETED BY CONTRACTING OFFICER and submit it to DOL and EPA. Typically DOL responds in 30 days. WIFA will send the borrower a copy of the approved wage classification.**

**REQUEST FOR AUTHORIZATION OF  
ADDITIONAL CLASSIFICATION AND RATE**

CHECK APPROPRIATE BOX  
 SERVICE CONTRACT  
 CONSTRUCTION CONTRACT

**OMB Control Number: 9000-0066**  
**Expiration Date: 4/30/2022**

Paperwork Reduction Act Statement - This information collection meets the requirements of 44 U.S.C. § 3507, as amended by section 2 of the Paperwork Reduction Act of 1995. You do not need to answer these questions unless we display a valid Office of Management and Budget (OMB) control number. The OMB control number for this collection is 9000-0066. We estimate that it will take .5 hours to read the instructions, gather the facts, and answer the questions. Send only comments relating to our time estimate, including suggestions for reducing this burden, or any other aspects of this collection of information to: U.S. General Services Administration, Regulatory Secretariat Division (M1V1CB), 1800 F Street, NW, Washington, DC 20405.

**INSTRUCTIONS: THE CONTRACTOR SHALL COMPLETE ITEMS 3 THROUGH 16, KEEP A PENDING COPY, AND SUBMIT THE REQUEST, IN QUADRUPPLICATE, TO THE CONTRACTING OFFICER.**

1. TO:  ADMINISTRATOR, WAGE AND HOUR DIVISION U.S. DEPARTMENT OF LABOR WASHINGTON, DC 20210	2. FROM: (REPORTING OFFICE)
--	-----------------------------

3. CONTRACTOR	4. DATE OF REQUEST
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5. CONTRACT NUMBER	6. DATE BID OPENED (SEALED BIDDING)	7. DATE OF AWARD	8. DATE CONTRACT WORK STARTED	9. DATE OPTION EXERCISED (IF APPLICABLE) (SERVICE CONTRACT ONLY)
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10. SUBCONTRACTOR (IF ANY)
----------------------------

11. PROJECT AND DESCRIPTION OF WORK (ATTACH ADDITIONAL SHEET IF NEEDED)
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12. LOCATION (CITY, COUNTY, AND STATE)
--

13. IN ORDER TO COMPLETE THE WORK PROVIDED FOR UNDER THE ABOVE CONTRACT, IT IS NECESSARY TO ESTABLISH THE FOLLOWING RATE(S) FOR THE INDICATED CLASSIFICATION(S) NOT INCLUDED IN THE DEPARTMENT OF LABOR DETERMINATION

NUMBER: _____	DATED: _____	
a. LIST IN ORDER: PROPOSED CLASSIFICATION TITLE(S); JOB DESCRIPTION(S); DUTIES; AND RATIONALE FOR PROPOSED CLASSIFICATIONS (Service contracts only)  (Use reverse or attach additional sheets, if necessary)	b. WAGE RATE(S)	c. FRINGE BENEFITS PAYMENTS

14. SIGNATURE AND TITLE OF SUBCONTRACTOR REPRESENTATIVE (IF ANY)	15. SIGNATURE AND TITLE OF PRIME CONTRACTOR REPRESENTATIVE
--	--

16. SIGNATURE OF EMPLOYEE OR REPRESENTATIVE	TITLE	CHECK APPROPRIATE BOX-REFERENCING BLOCK 13.  <input type="checkbox"/> AGREE <input type="checkbox"/> DISAGREE
---	-------	---

**TO BE COMPLETED BY CONTRACTING OFFICER (CHECK AS APPROPRIATE - SEE FAR 22.1019 (SERVICE CONTRACT LABOR STANDARDS) OR FAR 22.406-3 (CONSTRUCTION WAGE RATE REQUIREMENTS))**

THE INTERESTED PARTIES AGREE AND THE CONTRACTING OFFICER RECOMMENDS APPROVAL BY THE WAGE AND HOUR DIVISION. AVAILABLE INFORMATION AND RECOMMENDATIONS ARE ATTACHED.

THE INTERESTED PARTIES CANNOT AGREE ON THE PROPOSED CLASSIFICATION AND WAGE RATE. A DETERMINATION OF THE QUESTION BY THE WAGE AND HOUR DIVISION IS THEREFORE REQUESTED. AVAILABLE INFORMATION AND RECOMMENDATIONS ARE ATTACHED.  
(Send 3 copies to the Department of Labor)

SIGNATURE OF CONTRACTING OFFICER OR REPRESENTATIVE	TITLE AND COMMERCIAL TELEPHONE NUMBER	DATE SUBMITTED
--	---------------------------------------	----------------

# EMPLOYEE RIGHTS UNDER THE DAVIS-BACON ACT

## FOR LABORERS AND MECHANICS EMPLOYED ON FEDERAL OR FEDERALLY ASSISTED CONSTRUCTION PROJECTS

### PREVAILING WAGES

You must be paid not less than the wage rate listed in the Davis-Bacon Wage Decision posted with this Notice for the work you perform.

### OVERTIME

You must be paid not less than one and one-half times your basic rate of pay for all hours worked over 40 in a work week. There are few exceptions.

### ENFORCEMENT

Contract payments can be withheld to ensure workers receive wages and overtime pay due, and liquidated damages may apply if overtime pay requirements are not met. Davis-Bacon contract clauses allow contract termination and debarment of contractors from future federal contracts for up to three years. A contractor who falsifies certified payroll records or induces wage kickbacks may be subject to civil or criminal prosecution, fines and/or imprisonment.

### APPRENTICES

Apprentice rates apply only to apprentices properly registered under approved Federal or State apprenticeship programs.

### PROPER PAY

If you do not receive proper pay, or require further information on the applicable wages, contact the Contracting Officer listed below:

#### Water Infrastructure Finance Authority of Arizona

100 N. 7th Ave. Suite 130  
Phoenix, AZ 85007

Tel: (602) 364-1310  
Fax: (602) 364-1327

or contact the U.S. Department of Labor's Wage and Hour Division.



WAGE AND HOUR DIVISION  
UNITED STATES DEPARTMENT OF LABOR

1-866-487-9243  
TTY: 1-877-889-5627  
[www.dol.gov/whd](http://www.dol.gov/whd)



# DERECHOS DEL EMPLEADO

## BAJO LA LEY DAVIS-BACON

### PARA OBREROS Y MECÁNICOS EMPLEADOS EN PROYECTOS DE CONSTRUCCIÓN FEDERAL O CON ASISTENCIA FEDERAL

#### SALARIOS PREVALECENTES

No se le puede pagar menos de la tasa de pago indicada en la Decisión de Salarios Davis-Bacon fijada con este Aviso para el trabajo que Ud. desempeña.

#### SOBRETIEMPO

Se le ha de pagar no menos de tiempo y medio de su tasa básica de pago por todas las horas trabajadas en exceso de 40 en una semana laboral. Existen pocas excepciones.

#### CUMPLIMIENTO

Se pueden retener pagos por contratos para asegurarse que los obreros reciban los salarios y el pago de sobretiempo debidos, y se podría aplicar daños y perjuicios si no se cumple con las exigencias del pago de sobretiempo. Las cláusulas contractuales de Davis-Bacon permiten la terminación y exclusión de contratistas para efectuar futuros contratos federales hasta tres años. El contratista que falsifique los registros certificados de las nóminas de pago o induzca devoluciones de salarios puede ser sujeto a procesamiento civil o criminal, multas y/o encarcelamiento.

#### APRENDICES

Las tasas de aprendices sólo se aplican a aprendices correctamente inscritos bajo programas federales o estatales aprobados.

#### PAGO APROPIADO

Si Ud. no recibe el pago apropiado, o precisa de información adicional sobre los salarios aplicables, póngase en contacto con el Contratista Oficial que aparece abajo:

#### Water Infrastructure Finance Authority of Arizona

100 N. 7th Ave. Suite 130  
Phoenix, AZ 85007

Tel: (602) 364-1310  
Fax: (602) 364-1327

o póngase en contacto con la División de Horas y Salarios del Departamento de Trabajo de los EE.UU.



DIVISIÓN DE HORAS Y SALARIOS  
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# Instructions For Completing Payroll Form, WH-347

- [WH-347 \(PDF\)](#)  
OMB Control No. 1235-0008, Expires 04/30/2021.

**General:** Form WH-347 has been made available for the convenience of contractors and subcontractors required by their Federal or Federally-aided construction-type contracts and subcontracts to submit weekly payrolls. Properly filled out, this form will satisfy the requirements of Regulations, Parts 3 and 5 (29 C.F.R., Subtitle A), as to payrolls submitted in connection with contracts subject to the Davis-Bacon and related Acts.

While completion of Form WH-347 is optional, it is mandatory for covered contractors and subcontractors performing work on Federally financed or assisted construction contracts to respond to the information collection contained in 29 C.F.R. §§ 3.3, 5.5(a). The Copeland Act (40 U.S.C. § 3145) requires contractors and subcontractors performing work on Federally financed or assisted construction contracts to "furnish weekly a statement with respect to the wages paid each employee during the preceding week." U.S. Department of Labor (DOL) Regulations at 29 C.F.R. § 5.5(a)(3)(ii) require contractors to submit weekly a copy of all payrolls to the Federal agency contracting for or financing the construction project, accompanied by a signed "Statement of Compliance" indicating that the payrolls are correct and complete and that each laborer or mechanic has been paid not less than the proper Davis-Bacon prevailing wage rate for the work performed. DOL and federal contracting agencies receiving this information review the information to determine that employees have received legally required wages and fringe benefits.

Under the Davis-Bacon and related Acts, the contractor is required to pay not less than prevailing wage, including fringe benefits, as predetermined by the Department of Labor. The contractor's obligation to pay fringe benefits may be met either by payment of the fringe benefits to bona fide benefit plans, funds or programs or by making payments to the covered workers (laborers and mechanics) as cash in lieu of fringe benefits.

This payroll provides for the contractor to show on the face of the payroll all monies to each worker, whether as basic rates or as cash in lieu of fringe benefits, and provides for the contractor's representation in the statement of compliance on the payroll (as shown on page 2) that he/she is paying for fringe benefits required by the contract and not paid as cash in lieu of fringe benefits. Detailed instructions concerning the preparation of the payroll follow:

**Contractor or Subcontractor:** Fill in your firm's name and check appropriate box.

**Address:** Fill in your firm's address.

**Payroll No.:** Beginning with the number "1", list the payroll number for the submission.

**For Week Ending:** List the workweek ending date.

**Project and Location:** Self-explanatory.

**Project or Contract No.:** Self-explanatory.

**Column 1 - Name and Individual Identifying Number of Worker:** Enter each worker's full name and an individual identifying number (e.g., last four digits of worker's social security number) on each weekly payroll submitted.

**Column 2 - No. of Withholding Exemptions:** This column is merely inserted for the employer's convenience and is not a requirement of Regulations, Part 3 and 5.

**Column 3 - Work Classifications:** List classification descriptive of work actually performed by each laborer or mechanic. Consult classification and minimum wage schedule set forth in contract specifications. If additional classifications are deemed necessary, see Contracting Officer or Agency representative. An individual may be shown as having worked in more than one classification provided an accurate breakdown or hours worked in each classification is maintained and shown on the submitted payroll by use of separate entries.

**Column 4 - Hours worked:** List the day and date and straight time and overtime hours worked in the applicable boxes. On all contracts subject to the Contract Work Hours Standard Act, enter hours worked in excess of 40 hours a week as "overtime".

**Column 5 - Total:** Self-explanatory

**Column 6 - Rate of Pay (Including Fringe Benefits):** In the "straight time" box for each worker, list the actual hourly rate paid for straight time worked, plus cash paid in lieu of fringe benefits paid. When recording the straight time hourly rate, any cash paid in lieu of fringe benefits may be shown separately from the basic rate. For example, "\$12.25/.40" would reflect a \$12.25 base hourly rate plus \$0.40 for fringe benefits. This is of assistance in correctly computing overtime. See "Fringe Benefits" below. When overtime is worked, show the overtime hourly rate paid plus any cash in lieu of fringe benefits paid in the "overtime" box for each worker; otherwise, you may skip this box. See "Fringe Benefits" below. Payment of not less than time and one-half the basic or regular rate paid is required for overtime under the Contract Work Hours Standard Act of 1962 if the prime contract exceeds \$100,000. In addition to paying no less than the predetermined rate for the classification which an individual works, the contractor must pay amounts predetermined as fringe benefits in the wage decision made part of the contract to approved fringe benefit plans, funds or programs or shall pay as cash in lieu of fringe benefits. See "FRINGE BENEFITS" below.

**Column 7 - Gross Amount Earned:** Enter gross amount earned on this project. If part of a worker's weekly wage was earned on projects other than the project described on this payroll, enter in column 7 first the amount earned on the Federal or Federally assisted project and then the gross amount earned during the week on all projects, thus "\$163.00/\$420.00" would reflect the earnings of a worker who earned \$163.00 on a Federally assisted construction project during a week in which \$420.00 was earned on all work.

**Column 8 - Deductions:** Five columns are provided for showing deductions made. If more than five deduction are involved, use the first four columns and show the balance deductions under "Other" column; show actual total under "Total Deductions" column; and in the attachment to the payroll describe the deduction(s) contained in the "Other" column. All deductions must be in accordance with the provisions of the Copeland Act Regulations, 29 C.F.R., Part 3. If an individual worked on other jobs in addition to this project, show actual deductions from his/her weekly gross wage, and indicate that deductions are based on his gross wages.

**Column 9 - Net Wages Paid for Week:** Self-explanatory.

**Totals** - Space has been left at the bottom of the columns so that totals may be shown if the contractor so desires.

**Statement Required by Regulations, Parts 3 and 5:** While the "statement of compliance" need not be notarized, the statement (on page 2 of the payroll form) is subject to the penalties provided by 18 U.S.C. § 1001, namely, a fine, possible imprisonment of not more than 5 years, or both. Accordingly, the party signing this statement should have knowledge of the facts represented as true.

**Items 1 and 2:** Space has been provided between items (1) and (2) of the statement for describing any deductions made. If all deductions made are adequately described in the "Deductions" column above, state "See Deductions column in this payroll." See "FRINGE BENEFITS" below for instructions concerning filling out paragraph 4 of the statement.

**Item 4 FRINGE BENEFITS - Contractors who pay all required fringe benefits:** If paying all fringe benefits to approved plans, funds, or programs in amounts not less than were determined in the applicable wage decision of the Secretary of Labor, show the basic cash hourly rate and overtime rate paid to each worker on the face of the payroll and check paragraph 4(a) of the statement on page 2 of the WH-347 payroll form to indicate the payment. Note any exceptions in section 4(c).

**Contractors who pay no fringe benefits:** If not paying all fringe benefits to approved plans, funds, or programs in amounts of at least those that were determined in the applicable wage decision of the Secretary of Labor, pay any remaining fringe benefit amount to each laborer and mechanic and insert in the "straight time" of the "Rate of Pay" column of the payroll an amount not less than the predetermined rate for each classification plus the amount of fringe benefits determined for each classification in the application wage decision. Inasmuch as it is not necessary to pay time and a half on cash paid in lieu of fringe benefits, the overtime rate shall be not less than the sum of the basic predetermined rate, plus the half time premium on basic or regular rate, plus the required cash in lieu of fringe benefits at the straight time rate. In addition, check paragraph 4(b) of the statement on page 2 the payroll form to indicate the payment of fringe benefits in cash directly to the workers. Note any exceptions in section 4(c).

#### Use of Section 4(c), Exceptions

Any contractor who is making payment to approved plans, funds, or programs in amounts less than the wage determination requires is obliged to pay the deficiency directly to the covered worker as cash in lieu of fringe benefits. Enter any exceptions to section 4(a) or 4(b) in section 4(c). Enter in the Exception column the craft, and enter in the Explanation column the hourly amount paid each worker as cash in lieu of fringe benefits and the hourly amount paid to plans, funds, or programs as fringe benefits. The contractor must pay an amount not less than the predetermined rate plus cash in lieu of fringe benefits as shown in section 4(c) to each such individual for all hours worked (unless otherwise provided by applicable wage determination) on the Federal or Federally assisted project. Enter the rate paid and amount of cash paid in lieu of fringe benefits per hour in column 6 on the payroll. See paragraph on "Contractors who pay no fringe benefits" for computation of overtime rate.

**Public Burden Statement:** We estimate that it will take an average of 55 minutes to complete this collection of information, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection of information, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S3502, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

**Note:** In order to view, fill out, and print PDF forms, you need Adobe® Acrobat® Reader® version 5 or later, which you may download for free at [www.adobe.com/products/acrobat/readstep2.html](http://www.adobe.com/products/acrobat/readstep2.html).

Topics	For Workers	For Employers	Resources	Interpretive Guidance	State Laws	News
 <p><b>Wage and Hour Division</b> An agency within the U.S. Department of Labor 200 Constitution Ave NW Washington, DC 20210 1-866-4-US-WAGE 1-866-487-9243  <a href="http://www.dol.gov">www.dol.gov</a></p>	<b>FEDERAL GOVERNMENT</b>		<b>LABOR DEPARTMENT</b>		<b>WHD PORTALS</b>	
	White House	Coronavirus Resources	About DOL	Guidance Search	Office of Inspector General	YouthRules!
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<a href="#">Site Map</a>   <a href="#">Important Website Notices</a>   <a href="#">Privacy &amp; Security Statement</a>						



Date

I, \_\_\_\_\_, (Name of Signatory Party) \_\_\_\_\_ (Title)

ne of Signatory Party)

do hereby state.

(b) WHERE EBINGE BENEFITS ARE PAID IN CASH

- Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefit as listed in the contract except as noted in section 4(c) below.

(1) That I pay or supervise the payment of the persons employed by

\_\_\_\_\_, on the \_\_\_\_\_; during the payroll period commencing on the \_\_\_\_\_, (Contractor or Subcontractor) \_\_\_\_\_, and ending the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, (Building or Work) \_\_\_\_\_, day of \_\_\_\_\_, \_\_\_\_\_, all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said

from the full weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3.3 (29 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 967; 63 Stat. 108; 72 Stat. 967; 76 Stat. 357; 40 U.S.C. § 3145), and described below:

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(Contractor or Subcontractor)

### (c) EXCEPTIONS

EXPLANATION (DRAFT)

SYNTHETIC

EXCEPTION (CRAFT)	EXPLANATION																												

111

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classification set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

4) That:

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS

□

in addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in section 4(c) below.

THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR  
SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 1001 OF TITLE 18 AND SECTION 231 OF TITLE  
31 OF THE UNITED STATES CODE.

NAME AND TITLE \_\_\_\_\_

SIGNATURE \_\_\_\_\_



## EMPLOYEE INTERVIEW FOR DAVIS-BACON LABOR STANDARDS INSTRUCTIONS

The Davis-Bacon Act requires interviews to determine if the contractor is complying with the Federal Davis-Bacon prevailing wages. Interviewers must use WIFA's interview form, Department of Labor's Standard Form 1445, or equivalent documentation. WIFA's form may be downloaded from WIFA's website: [www.azwifa.gov/contract-packet](http://www.azwifa.gov/contract-packet). See Section 5: Compliance Verification of the WIFA Contract Packet for the interview requirements.

Interviews should be conducted in the following manner:

Interviewer: Each borrower is required to conduct interviews. The interviewer must be someone unaffiliated with the contractors and on site regularly (i.e., project manager, or consultant, etc.).

Purpose: The purpose of the interview is to ensure that the work actually being done by construction workers and mechanics is consistent with the corresponding job titles and wages being reported on the certified payrolls. The payroll checker must compare the interviews to the payrolls to identify inconsistencies. Any inconsistencies must be addressed. Keep in mind that both the interview and the information on the interview form are considered confidential. Interviews should be conducted individually and in private. All employees on the work site should be available for an interview if requested by the interviewer; however, the employee's participation is voluntary.

Number of Interviews: A representative sample of interviews is required. The interviewer must interview at least one person from every contractor and subcontractor company on the job site.

Timing: Interviews should be done, at minimum, on two different occasions. One should be within the first two weeks after construction begins and whenever a new subcontractor begins work on the project. The second round should be done closer to substantial completion while workers are still on site. Additional interviews should be done when issues or discrepancies arise and should be targeted at the contractor in question.

Records: Interview forms should be kept by the borrower with the rest of the project records at least three years after the contract is completed. The interview forms have employee information that should be kept confidential from contractors generally, but the project folders must be available for inspection by WIFA, EPA, or Department of Labor upon request.

Item	INTERVIEW
2b. - 2c.	This information is required in case it is necessary to follow up with the employee.
3a.	The interviewer should make it clear to the employee that these items relate only to work on this project, not necessarily to other projects.
3b.	Employees should be encouraged (but not required) to produce pay stubs or pay envelopes which document the wages received.
5. - 6.	If the employee does not know where the wage rate decision and Davis-Bacon poster are posted, the interviewer should inform the person of the location(s) and encourage them to look at the documents.
8.	Many employees will not be familiar with the term "fringe benefits." The interviewer should explain to the employee that fringe can be paid as part of their hourly rate, or can be in the form of benefits such as vacation, medical, etc.
9a. -9c.	The interviewer should make it clear to the employee that these items relate only to work on this project, not necessarily to other projects.

11. - 13.	Be certain that the employee's responses are specific. The employee may not be familiar with the classifications used on the wage determination and thus may use a term which may not be found on the determination. The answers to questions 12 and 13 should elicit enough information to identify the appropriate wage classification. Confirm the presumed wage classification with the employee.
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<b>INTERVIEWER'S COMMENTS</b>	
16.	This represents some of the most important information gathered while conducting on-site interviews. Be specific about the duties the employee was observed performing. It may be easiest to make these observations before the interview. Comments in this section should include whether observed duties and tools used were the same as those described by the employee during the interview.
19. - 20.	This refers to the wage decision and date as posted on the job site. This information should be consistent with the contract documents.

<b>FOR USE BY PAYROLL CHECKER</b>	
21. - 22.	<p>The payroll checker can be the same person as the interviewer. If not, it should be someone familiar with the wage rate decision, labor standards provisions and the construction project.</p> <p>This part of the form is completed <i>after</i> receipt of the payroll reports covering the week during which the interview was conducted. It is important that the payroll reports are received in a timely manner so that the payroll checker can compare and verify the interview information and investigate discrepancies.</p> <p>Once the corresponding payroll reports are received, the information on the interview form must be compared to the payroll reports. Specifically, the payroll checker must check that:</p> <ul style="list-style-type: none"> <li>• the payroll report is consistent with the dates and hours the employee worked (Items 9a.-9c.).</li> <li>• the payroll report indicates that the employee's job classification is the same as that indicated by the employee in Items 11 - 13.</li> <li>• the payroll report indicates that the employee received the wages as s/he stated in Item 3a.</li> <li>• the payroll report indicates that the employee received the fringe benefits in the amount and as stated in Item 8.</li> <li>• the wages/fringes paid agree with the wage rate decision in the contract and any additional classification requests approved by DOL (SF1444).</li> </ul> <p>Any discrepancies noted between the interview form and payroll reports shall be reported in Item 22. <u>If discrepancies are noted, follow-up actions to resolve the discrepancies must be taken.</u> For example, if the payroll indicates that the employee worked a different number of hours than the employee indicated, the payroll checker must: a) contact the employee and ask for clarification; and b) request the contractor's actual time records. This should be done without revealing the identity of the employee, e.g. by asking for all employee records for one work week.</p>



## EMPLOYEE INTERVIEW FOR DAVIS-BACON LABOR STANDARDS

1a. Project Name		2a. Employee Name	
1b. Contract Number		Wage Decision and Date	
1c. Name of Prime Contractor		2b. Employee Phone Number	
1d. Name of Employer and Supervisor		2c. Employee Home Address and Zip Code	
3a. Hourly rate of pay <u>on this project</u> :		4. Do you know that you are working on a federally-funded project and that you are to be paid wages set by DOL (Davis-Bacon wages)?	
3b. Do you have your most recent paystub? Y <input type="checkbox"/> N <input type="checkbox"/>		Y <input type="checkbox"/> N <input type="checkbox"/>	
5. Do you know where the Davis-Bacon Wage Rate Decision for this project is posted?		6. Do you know where the "Employee Rights under the Davis-Bacon Act" poster is posted?	
7a. Do you ever work over 8 hours per day? Y <input type="checkbox"/> N <input type="checkbox"/>		7b. Do you ever work over 40 hours per week? Y <input type="checkbox"/> N <input type="checkbox"/>	
7c. Are you paid at least time and a half for overtime hours? Y <input type="checkbox"/> N <input type="checkbox"/> N/A <input type="checkbox"/>		8. Do you receive Fringe Benefits? Vacation Y <input type="checkbox"/> N <input type="checkbox"/> Medical Y <input type="checkbox"/> N <input type="checkbox"/> Pension Y <input type="checkbox"/> N <input type="checkbox"/> Cash/pay Y <input type="checkbox"/> N <input type="checkbox"/> Other:	
9a. Date you began work <u>on this project</u> :		9b. Date of last work day <u>on this project</u> before interview:	
9c. How many hours did you work on your last work day before this interview <u>on this job</u> ?		10. What deductions other than taxes and social security are made from your pay?	
11. Work Classification (list all <u>on this project</u> ):			
12. Your duties <u>on this project</u> :		13. Tools and equipment you use <u>on this project</u> :	
<b>THE ABOVE IS CORRECT TO THE BEST OF MY KNOWLEDGE</b>			
14. Employee Signature		Date	
15. Interviewer Signature		Interviewer Name	Date
<b>INTERVIEWER'S COMMENTS</b>			
16. Work employee was doing/tools employee was using when interviewed:		17. Is employee properly classified and paid? Y <input type="checkbox"/> N <input type="checkbox"/>	18. Are wage rate and poster displayed? Y <input type="checkbox"/> N <input type="checkbox"/>
		19. Wage Rate Decision Number:	20. Wage Rate Decision Date:
<b>FOR USE BY PAYROLL CHECKER</b>			
21. Is above information in agreement with payroll data? Y <input type="checkbox"/> N <input type="checkbox"/>	22. If no, provide explanation and resolution:		
23. Payroll Checker Signature		Payroll Checker Name	Date

## **WIFA Project Construction Sign Guidelines and Specifications**

In accordance with Exhibit B Section 4.6 of the WIFA Loan Agreement, WIFA Construction Sign(s), at commencement of construction the Local Borrower will establish (in consultation with WIFA staff) one or more WIFA construction signs at prominent locations at or near the construction site per the following guidance and attached specifications.

1. The general contractor as directed by the Owner shall furnish and install a construction sign(s) for identification of the WIFA project. The sign shall be constructed in accordance with the enclosed drawing/specifications. (If the contractor chooses to erect a separate sign, it may be attached to or adjacent to the project sign, but no other contractor or subcontractor or material signs will be permitted on the WIFA sign.)
2. The cost of preparation and erection of the sign is loan eligible.
3. The construction sign for identification of the WIFA project will be installed prior to commencement of construction at a location which is near the project site and amenable to public viewing.
4. The sign will be adequately supported with regard to site conditions and will be an adequate distance above the prevailing grade to permit public viewing.
5. The sign will be constructed of a 4.0 feet by 8.0 feet exterior type high density overlaid plywood or other sign material of equivalent quality and framed with nominal 2 inch by 4 inch wood of suitable grade.
6. The sign will be painted with black lettering on a matte white background. The WIFA logo will be painted with process blue color and black lettering in strict proportion to the attached detail.
7. Lettering will be of professional quality and in accordance with the attached drawing; all lettering will be in proportion to the sizes shown and centered on the sign.
8. Information specified on the attached detail will be displayed on the sign. A draft sign will be rendered and reviewed by WIFA prior to production.
9. Any additional information displayed on the sign will not detract from or displace the information required in the drawing. Changes must be approved by WIFA.
10. The sign will be maintained in good condition by the contractor until completion of the construction project.
11. The sign will be removed and appropriately disposed of when the construction is complete and accepted by WIFA.

# WIFA Project Construction Sign Guidelines and Specifications

## City of Bullhead City Sewer Collection Line Project

Financed by the Water Infrastructure Finance Authority of Arizona

**Sponsor:** City of Bullhead City

**Mayor:** Norm Hicks, JoAnn Allen,

**Council:** Olivia Brusso-McCormick, Don Sullivan, DArchy Down-Vollbracht, Damian Holthler, and Jacquie Jessie

**Engineers:** Sunrise Engineering, Inc., Filmore Utah

**Contractor:** Barnard Construction, Bozeman, Montana



State of Arizona  
Douglas A. Ducey

EPA Horizontal Logo

Engineers logo

U.S. EPA  
Andrew Wheeler, Administrator

**Water Infrastructure Finance Authority Requisition 1, Page 1 of 6**

**Certifications & Signatures**

**«Borrower Name»**

**«Loan\_Number»**

This disbursement request is made in accordance with the Loan Agreement between the Water Infrastructure Finance Authority and the Borrower.

**Borrower Certifications**

The Borrower hereby states as follows:

1. The amount requested is a proper and accurate cost of the project, which is unpaid or unreimbursed and which has not been the basis of any previous request.
2. The materials, equipment, labor or services represented by this request have been satisfactorily purchased, performed, or received and applied to the project and under the terms and provisions of the contracts related to the project, the Borrower is required to make such payments.
3. As of the date of this request, there does not exist any Event of Default under the Loan Agreement nor any condition which, with the passage of time, would constitute an Event of Default thereunder.
4. The undersigned are duly authorized to submit this disbursement request.

By \_\_\_\_\_

Title \_\_\_\_\_

Dated \_\_\_\_\_

By \_\_\_\_\_

Title \_\_\_\_\_

Dated \_\_\_\_\_

**Engineer Certifications**

The Engineer certifies that the amounts requested constitute proper costs of the project; that the materials, equipment, labor and services represented by the invoices have been satisfactorily purchased, received, and applied to the project in accordance with contract documents; that payment is in accordance with the contract provisions and that the construction, to date, complies with the contract documents. This certification is not applicable to administrative costs.

Engineer's Seal

By \_\_\_\_\_

Title \_\_\_\_\_

Dated \_\_\_\_\_

Firm \_\_\_\_\_

**Approvals by the Water Infrastructure Finance Authority**

By \_\_\_\_\_  
Controller

By \_\_\_\_\_  
Environmental Manager

Dated \_\_\_\_\_

Dated \_\_\_\_\_

**Water Infrastructure Finance Authority Requisition 1, Page 2 of 6**

**Davis-Bacon Compliance Certification**

**«Borrower Name»**

**«Loan\_Number»**

**Davis-Bacon Compliance Certification**

The Loan Agreement Addendum - Wage Rate Requirements for Compliance with P.L. 111-88 requires that all laborers and mechanics employed by contractors and subcontractors on projects funded with this loan shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with the subchapter IV of chapter 31 of title 40, United States Code.

The contractor shall submit weekly, for each week in which any contract work is performed, a copy of all payrolls to the Borrower, that is, the entity that receives a loan from WIFA.

As the Borrower, you are required to receive this documentation and the documentation must be available at the request of WIFA or EPA. It is further required, as to each payroll copy received, the Borrower shall provide written confirmation in a form satisfactory to WIFA indicating whether or not the project is in compliance with the requirements of 29CFR 5.5 (a)(1), based on the most recent payroll copies for the specified week.

Each Disbursement Request submitted requesting loan funds requires certification of compliance with Davis-Bacon including the requirements outlined above. Please sign below certifying that during the period covering this disbursement request, payroll copies have been received and the project is in compliance.

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Signature

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Date

**Water Infrastructure Finance Authority Requisition 1, Page 3 of 6**  
**Cost Incurred Report and Disbursement Request**

**«Borrower Name»**

**«Loan\_Number»**

Type of Request:	Select One	Period Covered:	to
------------------	------------	-----------------	----

\*If final, please complete page 6.

**Borrower Contact & Address:**

«Borrower Name»  
«LA3\_Mailing\_Address\_Street»  
«LA4\_Mailing\_Address\_City», Arizona  
«LA5\_Mailing\_Address\_Zip»

Wire Transfer Instructions (Optional)	
Bank Name:	
Bank ABA Number:	
Account Number:	
Reference:	
Attention:	
Phone:	

Contact Name:

Phone #:

*Attach statements, invoices, or other proof that the amount requested below is currently due or has been advanced by the Borrower.*

Request by Budget Item * (1)	Loan Budget * (2)	Previously Disbursed (3)	This Request (4)	Total to Date (5)=(4)+(3)	Budget (6)=(5)/ (2)	Balance (7)=(2)-(5)
Planning	«DR1_Budget_Planning»			\$0.00	#VALUE!	#VALUE!
Design & Engineering	«DR2_Budget_Design_Eng»			\$0.00	#VALUE!	#VALUE!
Legal/Debt Authorization	«DR3_Budget_Legal_Debt_Auth»			\$0.00	#VALUE!	#VALUE!
Financial Advisor	«DR4_Budget_Financial_Advisor»			\$0.00	#VALUE!	#VALUE!
Land/System Acquisition	«DR5_Budget_Land_Systems_Acq»			\$0.00	#VALUE!	#VALUE!
Equipment/Materials	«DR6_Budget_Equip_Materials»			\$0.00	#VALUE!	#VALUE!
Construction/Installation/ Improvement	«DR7_Budget_Const_Inst_Impr»			\$0.00	#VALUE!	#VALUE!
Inspection & Construction Management	«DR8_Budget_Insp_Const_Mgmt»			\$0.00	#VALUE!	#VALUE!
Project Officer	«DR9_Budget_Project_Officer»			\$0.00	#VALUE!	#VALUE!
Administration	«DR10_Budget_Administration»			\$0.00	#VALUE!	#VALUE!
Staff Training	«DR11_Budget_Staff_Training»			\$0.00	#VALUE!	#VALUE!
Capitalized Interest	«DR12_Budget_Cap_Interest»			\$0.00	#VALUE!	#VALUE!
Other	«DR13_Budget_Other»			\$0.00	#VALUE!	#VALUE!
Refinancing/Rollover Loan	«DR15_Budget_Refinance»			\$0.00	#VALUE!	#VALUE!
<b>Totals</b>	«DR14_Budget_Total_Requested»	\$0.00	\$0.00	\$0.00	#VALUE!	#VALUE!

\* If adjustments to the loan budget categories are necessary, please contact your project manager:

Sara Konrad at 602-364-1319, Nicole Petker at 602-364-1321 or Brandon Nguyen at 602-364-1326

**Water Infrastructure Finance Authority Requisition 1, Page 4 of 6**  
**Invoice Detail Report**  
**«Borrower Name»**  
**«Loan\_Number»**

A. Within Column A in the table below, list each contractor, subcontractor, or vendor that provided supplies, equipment, construction, or other goods or services included in this disbursement request. List subcontractors separately only if separately invoiced.

B. Within Column B, detail each invoice number and date included with this disbursement request.

C. Within Column C, enter the amount paid or payable for each invoice listed in Column B. The total for Column C must equal the total requested on page 3 of this request.

Should you require additional pages to list invoices please contact your project manager:  
Sara Konrad at 602-364-1319, Nicole Petker at 602-364-1321 or Brandon Nguyen at 602-364-1326

**Water Infrastructure Finance Authority Requisition 1, Page 5 of 6**  
**Status Report**  
**«Borrower Name»**  
**«Loan\_Number»**

1. Provide a narrative summary in one or two paragraphs of the work included in this requisition:

2. Since the previous requisition, have total project cost estimates changed by 5% or more due to a Change Order or other project event? If Yes, explain below.

**Select One**

3. Are the Borrower, contractors, and subcontractors current on all reporting requirements of the Loan Agreement, Standard Terms and Conditions, Exhibits and Addendum? If No, explain below.

**Select One**

4. Weekly payrolls filed by prime contractor and all sub-contractors are on file with the owner and have been reviewed. If No, explain below.

**Select One**

Date Payroll Last Checked

5. Certification has been obtained or is in the process of being obtained for all American Iron and Steel Products. If No, explain below.

**Select One**

6. Report on Disadvantaged Business Enterprises (DBE): list all Minority Business Enterprises (MBE) and Women-Owned Business Enterprises (WBE) included in this requisition.

<b>Contractor/Subcontractor/Vendor Name</b>	<b>MBE or WBE</b>	<b>Code</b>	<b>Amount</b>
		1 = Construction 2 = Supplies 3 = Services 4 = Equipment	

**Water Infrastructure Finance Authority Requisition 1, Page 6 of 6**  
**Future Disbursements & Final Deobligation Authorization**

**«Borrower Name»**

**«Loan\_Number»**

Within the table below, estimate future loan disbursements.

Loan Obligation Remaining	#VALUE!
---------------------------	---------

# of Weeks from Requisition Date	Estimated Disbursements
Less than 4 Weeks	
Between 4 and 12 Weeks	
Between 12 and 26 Weeks	
More than 26 Weeks	
Total Estimated Disbursements	\$0.00
Estimated De-Obligation	#VALUE!

**Final Deobligation Authorization**

*Only fill out the portion below if this is your final disbursement request and you are requesting a deobligation of the remaining loan balance.*

This confirms that «Borrower Name» is deobligating the amount of \_\_\_\_\_ on loan number «Loan\_Number», and therefore acknowledges that WIFA has completed its obligation to make disbursements on the loan.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_  
(Authorized Representative)

Dated: \_\_\_\_\_

If you have any questions regarding this form, please contact your project manager:  
Sara Konrad at 602-364-1319, Richard Mendolia at 602-364-1321 or Brandon Nguyen at  
602-364-1326