

**FEDERAL-AID HIGHWAY CONSTRUCTION CONTRACTOR'S ANNUAL EEO REPORT  
Form FHWA-1391 (Rev. 09-13)**

**GUIDELINES FOR CONTRACTORS AND SUBCONTRACTORS OF  
ARIZONA DEPARTMENT OF TRANSPORTATION  
Reporting Period July 2016**

**Introduction**

The Annual Equal Employment Opportunity (EEO) Report is a Federal Highway Administration (FHWA) requirement and an Arizona Department of Transportation (ADOT) required contract provision for all federal-aid construction contracts ([FHWA-1273](#)). The purpose of the Contractor's Annual EEO Report is to collect employment data (including a breakdown of all racial/ethnic minorities and women employed) from all highway construction contractors who have an active Federal-Aid Contract of \$10,000 or more during the reporting period. This provides instrumental information used by both the Federal and State Government in evaluating the effectiveness of the Equal Employment Opportunity (EEO) Program. It is extremely important that accurate data is collected, and submitted, as it can directly affect future status of funding for Federal-Aid Highway Construction Projects throughout the State of Arizona.

**Each ADOT prime contractor and subcontractor (regardless of tier level) with active Federal-Aid Highway Construction contract or subcontract of \$10,000.00 or more, during the last pay period preceding the end of the month of July, must submit information by [DUE DATE] to complete report [FHWA-1391](#) (Rev. 09-13), except as otherwise provided for by [23 U.S.C. 140a](#) and [23 CFR Part 230.121 U.S.C. 117](#).**

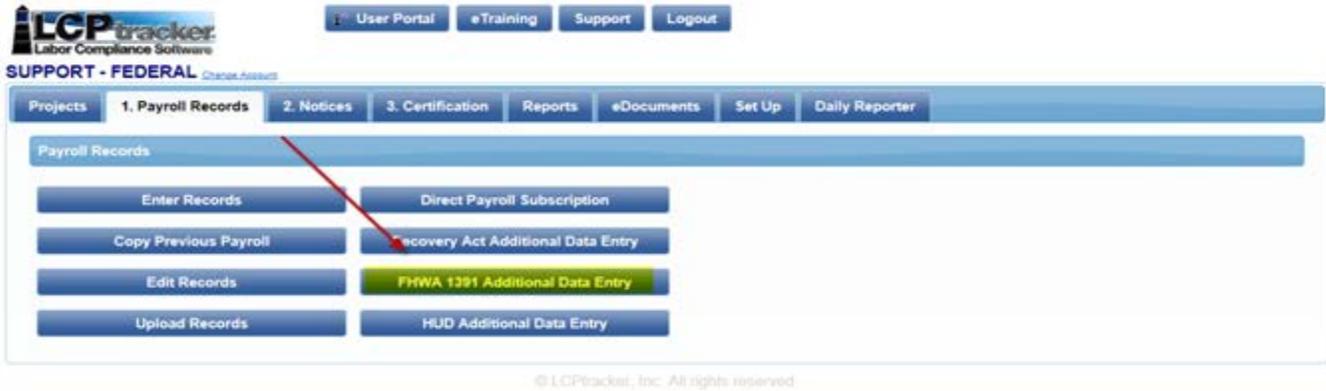
This report is a summary of the contractor's project workforce for the last completed pay period before the end of July. The employment data entered should reflect the project's workforce in all or any part of the last payroll period preceding the end of the month of July. The purpose of the report is to get a "snapshot" of a contractor's workforce showing how minorities and females are distributed throughout various crafts.

**NOTE: No submission of information is necessary if contractors do not perform any work (no certified payroll) during the last complete pay period preceding the end of the month of July.**

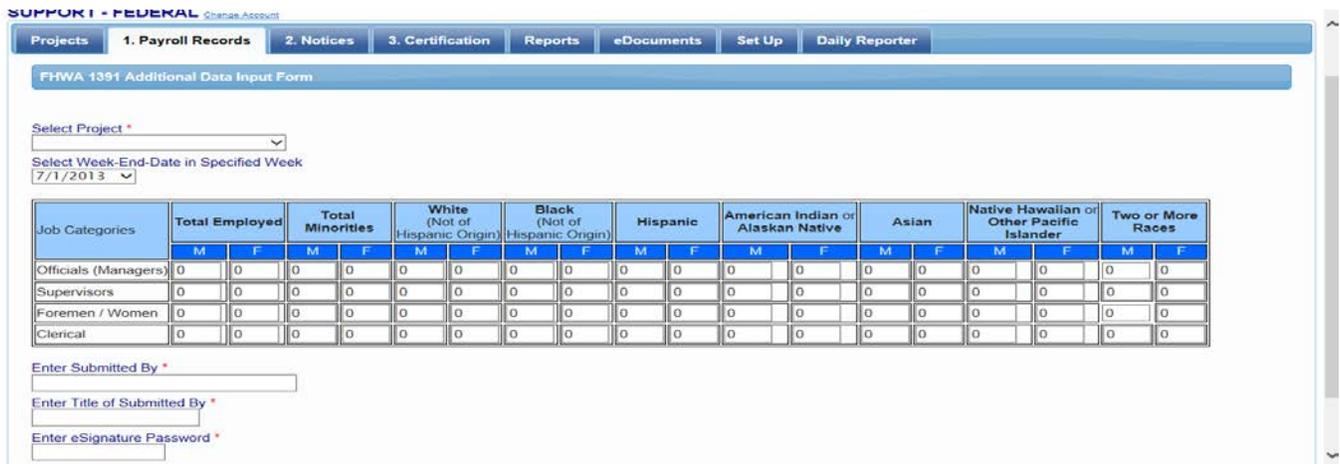
ADOT requires its contractors and subcontractors to submit information in support of the [FHWA-1391](#) via **LCPtracker** system, a labor compliance software monitoring certified payroll and prevailing wage. Prime contractors submit the information for their workforce only and are not responsible for submitting subcontractors' information, although primes are responsible for ensuring all subcontractors are aware of, and comply with, EEO Contract Special Provision requirements. Please refer to the **LCPtracker** user instructions below for specific information.

**LCPtracker user instructions:**

Contractors and subcontractors will enter only the clerical workers employed and working on the specific project for the reporting period; the weekly Certified Payroll Records collect the prevailing wage crafts and their information.



Select the project and the week end date, name of the person submitting the information and their title. For further assistance with the LCPtracker system please customer support at [support@lcptracker.com](mailto:support@lcptracker.com)



The screenshot shows the 'FHWA 1391 Additional Data Input Form'. It includes a 'Select Project' dropdown menu and a 'Select Week-End-Date in Specified Week' dropdown menu (set to 7/1/2013). Below these is a large data entry table with columns for 'Job Categories', 'Total Employed', 'Total Minorities', and various racial/ethnic groups. Each group has sub-columns for 'M' and 'F'. Below the table are input fields for 'Enter Submitted By', 'Enter Title of Submitted By', and 'Enter eSignature Password'.

Job Categories	Total Employed		Total Minorities		White (Not of Hispanic Origin)		Black (Not of Hispanic Origin)		Hispanic		American Indian or Alaskan Native		Asian		Native Hawaiian or Other Pacific Islander		Two or More Races		
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	
Officials (Managers)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Supervisors	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Foremen / Women	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Clerical	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

**Form FHWA-1391 general instructions:**

- Prime contractors report their own workforce and dollar amount of the contract for each active federal-aid project
- Subcontractors report their own workforce and dollar amount of the contract for each active federal-aid project
- Information reported must reflect the workforce on board during all or any part of the last pay period preceding the end of the month of July
- Must be filled out for each project – e.g. *Prime ABC has 3 active federally funded project with City of Mine therefore Prime ABC will submit three 1391 forms*
- Contractors who do not perform any work (no certified payroll) during the last pay period preceding the end of the month of July are not required to report.

For questions related to FHWA-1391 submission please email [ContractorCompliance@azdot.gov](mailto:ContractorCompliance@azdot.gov)



The following information is for reference only. DO NOT SUBMIT AN ELECTRONIC FORM AS THE ONLY ACCEPTED FHWA-1391 SUBMISSION IS VIA LCPtracker.

Form [FHWA-1391](#) (Rev 09-13) All previous form versions are obsolete

FEDERAL-AID HIGHWAY CONSTRUCTION CONTRACTORS ANNUAL EEO REPORT																						
1. MARK APPROPRIATE BLOCK - Contractor - Subcontractor		2. COMPANY NAME, CITY, STATE:				3. PROJECT NUMBER:				4. DOLLAR AMOUNT OF CONTRACT:				5. PROJECT LOCATION: (County and State)								
This collection of information is required by law and regulation 23 U.S.C. 140a and 23 CFR Part 230. The OMB control number for this collection is 2125-0013 expiring in March, 2013.																						
6. WORKFORCE ON FEDERAL-AID AND CONSTRUCTION SITE(S) DURING LAST FULL PAY PERIOD ENDING IN JULY 20__ (INSERT YEAR)																						
TABLE A												TABLE B										
JOB CATEGORIES	TOTAL EMPLOYED		TOTAL RACIAL/ ETHNIC MINORITY		BLACK or AFRICAN AMERICAN		HISPANIC OR LATINO		AMERICAN INDIAN OR ALASKA NATIVE		ASIAN		NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER		TWO OR MORE RACES		WHITE		APPRENTICES		ON THE JOB TRAINEES	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
OFFICIALS	0	0	0	0																		
SUPERVISORS	0	0	0	0																		
FOREMAN/WOMEN	0	0	0	0																		
CLERICAL	0	0	0	0																		
EQUIPMENT OPERATOR	0	0	0	0																		
MECHANICS	0	0	0	0																		
TRUCK DRIVERS	0	0	0	0																		
IRONWORKERS	0	0	0	0																		
CARPENTERS	0	0	0	0																		
CEMENT MASONS	0	0	0	0																		
ELECTRICIANS	0	0	0	0																		
PIPEFITTER/PLUMBER	0	0	0	0																		
PAINTERS	0	0	0	0																		
LABORERS-SEMI SKILL	0	0	0	0																		
LABORERS-UNSKILLED	0	0	0	0																		
TOTAL	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TABLE C (Table B data by racial status)																						
APPRENTICES	0	0	0	0																		
OJT TRAINEES	0	0	0	0																		
8. PREPARED BY: (Signature and Title of Contractors Representative)									9. DATE				10. REVIEWED BY: (Signature and Title of State Highway Official)						11. DATE			

Form FHWA-1391 (Rev. 06-10) PREVIOUS EDITIONS ARE OBSOLETE

**DEFINITION OF TERMS on form [FHWA-1391](#)**

- OFFICIALS (Managers): Officers, project engineers, superintendents, etc., who have management level responsibility and authority.
- SUPERVISORS: All levels of project supervision, if any, between management and foremen levels.
- FOREMAN/WOMAN: Men and women in direct charge of craft workers and laborers performing work on the project.
- MECHANICS: Equipment service and maintenance personnel.
- LABORERS, SEMI-SKILLED: All laborers classified by specialized type of work.
- LABORERS, UNSKILLED: All Non-classified laborers.
- OTHERS: Miscellaneous job classifications are to be incorporated in the most appropriate category listed on the form. All employees on the project should be accounted for.

## Race and Ethnic Identification/Definitions

**Black or African American (Not Hispanic or Latino)** – A person having origins in any of the black racial groups of Africa

**Hispanic of Latino** – A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin regardless of race

**American Indian or Alaska Native (Not Hispanic or Latino)** – A person having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.

**Asian (Not Hispanic or Latino)** – A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

**Native Hawaiian or Other Pacific Islander (Not Hispanic or Latino)** – A person having origins in any of the peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

**Two or More Races (Not Hispanic or Latino)** – All persons who identify with more than one of the above five races.

**White (Not Hispanic or Latino)** – A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

### Additional guidance to contractors related to *Two or more races*

Similar to EEO-1 form, where employees self-identify, the self-identifying method is preferred for identifying the race and ethnic information for the 1391 report. Employers must attempt to allow employees to use self-identification.

If an employee declines to self-identify, employment records or observer identification may be used.

For race/ethnicity categories including “two or more races,” employees are encouraged to check off only one category per employee. Some examples:

- If a person states they belong to two categories (e.g., Alaskan Native and Asian), then the category that the employee checks should be “two or more races.”
- If a person is a member of two groups but self identifies with only one group, then that person checks off the group that he/she self identifies with
- If a person self-identifies as “Multi-Racial” then for the 1391 he/she would report under “two or more races.”

**FORM [FHWA-1391](#) BLOCK ENTRIES**

Report the number of minority and non-minority employees by gender, employed in each work classification on a Federal-aid contract. The “Job Categories” column is used to identify work classification. When identifying work classification use only the categories listed on the form. Miscellaneous job categories are to be incorporated in the most appropriate category listed on the form.

1. MARK APPROPRIATE BLOCK - Check only one box (\*Required Information)
2. COMPANY NAME AND ADDRESS – Enter the entire name, street address, city or town, state and zip code. Do not abbreviate (\*Required Information)
3. PROJECT NUMBER – Enter all Federal-aid project number(s) associated with the contract number including the ADOT contract number. If you are a subcontractor and do not know the Federal-aid project number, contact the prime contractor (\*Both Federal and ADOT Project Numbers are required information)
4. DOLLAR AMOUNT OF CONTRACT – Enter dollar amount of contract, including amended amounts (\*Required Information)
5. PROJECT LOCATION (County and State) – Enter all county (ies) and state(s) associated with the contract number (\*Required Information)
6. PAY PERIOD ENDING – Insert Year (\*Required Information)
7. EMPLOYMENT DATA – (\*Required Information)
  - (Table A) – Enter number of employee(s) based on race, gender and job category during the reporting period
  - (Table B) – Enter number of apprentice(s) and on-the-job trainee(s) based on gender and job category during the reporting period (must equal Table C)
  - (Table C) – Enter number of apprentice(s) and on-the-job trainee(s) based on race and gender during the reporting period (must equal Table B)
8. PREPARED BY – Signature and Title of Contractor’s Representative certifying the reported data to be true. (\*Required Information)
9. DATE – (\*Required Information)
10. REVIEWED BY – Signature and Title of State/Agency Official reviewing data. (\*Required Information - for ADOT use only)
11. DATE – (\*Required Information - for ADOT use only)