Caltrans Labor Compliance Program
Wage Case Checklist

Contract Number: ____________________ District LCO: __________________________

Offending Contractor: __________________________ Prime Contractor: __________________________

DIR Registration Number: __________________

Yes No N/A

___ ___ ___ Has the contract been terminated?

___ ___ ___ Has the contractor been terminated? (Also check the license of the
qualifying person (QP) under the person’s name)

QP’s Name: __________________________

QP’s CSLB Number: __________________

___ ___ ___ Does the contractor have an active contractor’s license?

CSLB Number: __________________________

If not, when did the license expire? __________________________

Documents That Must Be Submitted with All Cases:

___ Print-out of this form

___ Prime Contractor (if applicable) CSLB Number: __________________________

___ Form C E M-2506 (Also, please e-mail Excel spreadsheet to HQ Wage Case)

___ Form C E M-2507 (Case Summary)

___ Form C E M-2508 (Source Document Audit – SDA Summary)

___ Form C E M-2509 (SDA Checklist)

___ Pre-job Checklist and Sign-in sheet

___ Scope of Work (bid items)

___ Special Provisions (front sheet)

___ Wage Determinations (state and federal, if applicable)

___ Correspondence between Caltrans and Contractor

___ Certified Payroll Records

___ Fringe Benefit Statements

___ Trust Fund Statements

___ Inspector Reports

___ Source Document Audit / Date Conducted: __________________________

___ Cancelled Checks Form-D E 9

___ Time Cards Form-941

___ Bank Statement Form W-2

___ Payroll Journal Paycheck Stubs

___ Employee Complaints (EEO Form)

___ Case History of Events
## Caltrans Labor Compliance Program
### Wage Case Checklist

<table>
<thead>
<tr>
<th>Information from Labor Union or Labor Management Group</th>
<th>Other:</th>
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### Additional Information Needed for Specific Cases:

#### Misclassification

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- Has LCO interviewed employees?
- Inspectors/Resident Engineers (R E) interviews conducted?
- Can Inspector/R E verify and confirm hours and work description on daily diaries?
- Independent record of work performed/hours on job? (employee, union, etc.)

#### Certified Payrolls – Not Submitted

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<tr>
<th>Yes</th>
<th>No</th>
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- Violation by prime contractor?
- Violation by subcontractor?
- If YES, is subcontractor still working on project?
- Employee interviews conducted?
- Independent record of work performed on job? (employee, union, etc.)
- Are Inspector/R E diaries complete?
  - If NO, please explain: ________________________________

#### Fringe Benefit (FB) Underpayment/Non-Payment

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<th>Yes</th>
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- Has LCO contacted Trust Fund? If no, specify: ________________________________
- Did employees receive separate compensation for FB?
  - If YES, please specify: ________________________________
- Other sources of information about failure to pay FB?
  - If YES, please specify: ________________________________

#### Employees / Hours Missing from Certified Payrolls

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<th>Yes</th>
<th>No</th>
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- Did you obtain time cards for verification of hours and location work
  - If NO, please specify: ________________________________
- Has LCO interviewed employees?
  - If NO, please specify: ________________________________

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Rev 6/19/19
Summary

Please provide narrative summaries covering the following:

A. Statement of Issues.

B. Investigative Report (detailed narrative including but not limited to how the investigation was conducted including worker declarations, reviewing certified payroll records, verification of employer payment contributions, etc.).
C. Audit Report (detailed explanation of how audit was completed addressing each of the issues above).
D. Affected contractor and subcontractor information *(how affected contractor and subcontractor were informed of potential violations; summary of their response with respect to violations and penalty issues; and any other information considered in determining recommended penalties).*

E. Recommended penalties under Labor Code Section 1775(a) and basis for recommendation, including how factors in subsection (a)(2) of Section 1775 were applied to arrive at the recommended amount.