AFFIRMATIVE ACTION PLAN (AAP) FORMAT

Effective 08/15/2010

COVER PAGE

Company Name: _____

Company Address: _____

Telephone No.: _____

FAX No.: _____

E-mail Address: _____

Web Site Address: _____

Date Submitted: _____

AAP Prepared By: _____
(Please Print)

_____
(Please Print)
Name of AA/EOE Officer

_____
(Please Print)
Name and Title of the Head of the Company

This Affirmative Action Plan is submitted for: _____
(Name of Project)

State Contract Number: _____

Awarding Agency: _____

Contract Value: _____

M/W/DisBE Value as Assigned by the Awarding Agency: _____

SBE Value as Assigned by the Awarding Agency: _____

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***Note*: An Affirmative Action Plan (AAP) that meets all the requirements of the following sections, must be filed for *each* state project.**

ANY SUBMISSION THAT DOES NOT STRICTLY ADHERE TO THIS AAP'S FORMATTING WILL NOT BE REVIEWED.

ANY SECTION THAT DOES NOT INCLUDE A RESPONSE TO SAID SECTION AND/OR ITS SUBSECTIONS HEREIN WILL BE DISAPPROVED.

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SECTION 1
Affirmative Action/Equal Opportunity Employment (AA/EOE) Policy Statement

Point of Statutory and/or Regulatory Reference: Conn. Gen. Stat. Sections 4a-60(a)(1),4a-60a(a)(1); 46a-68c, 46a-68d , P.A. 07-142, Contract Compliance Regulations Section 46a-68j-27(1)

Contractors shall create a policy statement that includes, but is not limited to, the following information:

A. Identify the individual assigned affirmative action responsibilities;

B. Affirm the Contractor's commitment to achieve Equal Opportunity Employment through affirmative action for certain defined protected classes of persons;

C. Pledge the Contractor's best good faith efforts to attain the objectives of the plan [Sec 46a-68j-27(1)].

INSTRUCTIONS:

On the next page is an EXAMPLE of an *Affirmative Action/Equal Opportunity Employment (AA/EOE) Policy Statement* that illustrates what may be included in your company's *AA/EOE Policy Statement*.

NOTE: If your company's *AA/EOE Policy Statement* lists the protected classes or if it lists each basis (that under Connecticut Law) an employer cannot discriminate then your lists must be inclusive (for an up to date listing of prohibited forms of employment discrimination, please refer to the *Discrimination Is Illegal* notice.)

This policy statement must be signed and dated by the head of the company. The signature must be original.

SAMPLE

AFFIRMATIVE ACTION/EQUAL OPPORTUNITY EMPLOYMENT POLICY STATEMENT

XYZ Company will not discriminate or permit discrimination against any person or group of persons on the basis of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, sexual orientation, intellectual disability, mental disability or physical disability including, but not limited to, blindness, (unless such disability, even with reasonable accommodation, prevents the applicant from being able to perform the work involved), or in any manner prohibited by the laws of the United States or of the State of Connecticut[1]. Further, **XYZ Company** will not retaliate against or condone retaliation against any person or group of persons who oppose actions, treatment or conduct that they believe to be discriminatory.

As an Equal Opportunity Employer, it is the policy and practice of **XYZ Company** to assure that no person will be discriminated against, or be denied the benefit of any activity, program or employment process, in areas including but not limited to recruiting, advertising, hiring, upgrading, promotion, transfer, demotion, lay off, termination, rehiring, employment, rates of pay and/or other compensation or any other terms and conditions of employment on the basis of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, sexual orientation, intellectual disability, mental disability or physical disability including, but not limited to, blindness, unless such disability prevents performance of the work involved.

XYZ Company shall take affirmative action to insure that applicants with job-related qualifications are employed and to insure that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved. If an individual has a disability for which a reasonable accommodation is requested, **XYZ Company** will engage in an interactive process with the individual/representative to determine the individual's needs and accommodation.

(If **XYZ Company** is a union contractor) **XYZ Company** assures that each labor union or representative of its workers has been provided with a copy of this statement and has been informed that **XYZ Company** is an Affirmative Action/Equal Opportunity Employer and has been informed of **XYZ Company's** obligations to comply with state and federal law.

XYZ Company also assures that each of its vendors has been informed that **XYZ Company** is an Affirmative Action/Equal Opportunity Employer and of **XYZ Company's** obligations to comply with state and federal law.

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[1] If XYZ Company is a firm located in Connecticut and this EEO policy statement is the Company's only EEO policy statement, the company should include all of the covered statuses protected by Connecticut's employment law (e.g.: learning disability and genetic information) to avoid any confusion of employees' protections against discrimination.

XYZ Company will implement, monitor and enforce this *Affirmative Action/Equal Opportunity Employment Policy Statement* and program in conjunction with all applicable Federal and State laws, regulations and executive orders. In order to implement our Affirmative Action/Equal Opportunity Employment Program, **XYZ Company** will develop written strategies and plans designated to correct any deficiencies identified. Furthermore, this policy statement, as well as the posters regarding Labor and Discrimination Laws, shall be posted and otherwise made known to all workers in the company's home office, each satellite office, and at each job site.

Management and supervisory staff will be advised of their responsibilities to ensure the success of this program. Ultimate responsibility for this Affirmative Action/Equal Opportunity Employment Program will be with the (**Insert Head of Company's Name and Official Title**). The day-to-day duties for the plan will be coordinated by (**Insert the name of the company's Affirmative Action/Equal Opportunity Employment Officer**), who is hereby designated the Affirmative Action/Equal Opportunity Employment Officer for XYZ Company.

I have expressly advised (**Insert the name of the company's Affirmative Action/Equal Opportunity Employment Officer**) of his/her legal responsibilities as **XYZ Company's** Affirmative Action/Equal Opportunity Employment Officer pursuant to the Connecticut State Agency Contract Compliance Regulations Section 46a-68j-27(4).

This Affirmative Action Plan has my total support and **XYZ Company** pledges it best good faith efforts to achieve the objectives of this Affirmative Action Plan. I expect each manager, supervisor and employee of this Company to aid in the implementation of this program and be accountable for complying with the objectives of this Affirmative Action Plan.

_____ _____

Date (Signature)

_____

Printed Name and Printed Title of Person Signing

SECTION 2
INTERNAL COMMUNICATIONS
Information Provided to Employees/Work Force

Point of Statutory and/or Regulatory Reference: Conn. Gen. Stat. Section 4a-60(a)(3); Contract Compliance Regulations Section 46a-68j-27(2)

The policy statement and a summary of the objectives of the plan shall be posted and otherwise made known to all workers. The plan shall indicate what steps the contractor undertook to make information on the plan available to its workforce [Sec. 46a-68j-27(2)].

An employer, employment agency or labor organization is required to post notices regarding statutory provisions, as the commission shall provide [C.G.S. Sec. 46a54(13)]

An employer with three or more employees is required to post in a prominent and accessible location a notice concerning the illegality of sexual harassment and the remedies available to victims of sexual harassment [C.G.S. § 46a- 54(15)]

INSTRUCTIONS:

1. Describe in your Affirmative Action Plan (AAP) the specific actions your company takes to communicate its Affirmative Action/Equal Opportunity Employment (AA/EOE) Policy Statement (see Section 1) and its AA/EOE hiring commitment to its workers. For example, do you distribute your AA/EOE Policy Statement (found in Section 1) to your new hires during orientation? Do you include a copy of your AA/EOE Policy Statement to all your employees with their paycheck every month? Do you post your AA/EOE Policy Statement in prominent and accessible locations? Please describe the locations.

2. Demonstrate in your AAP, that your company complies with posting requirements prohibiting discrimination by describing in detail where in your business office, and on project sites your company posts the *Discrimination Is Illegal* notice. Please attach a copy of the notice your company posts.

3. Demonstrate in your AAP, that your company complies with posting requirements prohibiting sexual harassment by describing in detail where in your business office, and on project sites your company posts the *Sexual Harassment Is Illegal* notice. Please attach a copy of the notice your company.

NOTE: Please be sure the notices that your company posts are current. You may obtain updated notices on CHRO's website at www.ct.gov/chro and clicking on *Publications* at the top of the site page.

SECTION 3
EXTERNAL COMMUNICATIONS
Information Provided to the Public

Point of Statutory and/or Regulatory Reference: Conn. Gen. Stat. Section 4a-60(a)(2), (3), 4a-60a(a)(2); Contract Compliance Regulations Sections 46a-68j-23(9), 46a-68j27(3)

The contractor shall, in all advertisements and business with the public, indicate that it is an affirmative action/equal opportunity employer. The plan shall include information on what steps the contractor undertook to advise the public concerning its affirmative action requirements; [Sec. 46a-68j-27(3)].

INSTRUCTIONS:

1. In this section of the AAP, contractors should include a statement indicating that in all advertisements **and** business with the public, it will hold itself out as an

"Affirmative Action/Equal Opportunity Employer or AA/EOE."

2. To demonstrate your company's commitment to its statement, please attach examples of three different forms of external communication (e.g. letterhead, letters of transmittal, bid notification, purchase order, fax cover sheet, etc.) sent out by your company indicating that you are an AA/EOE.

NOTE: If your company's forms of external communication do not currently indicate your company is an AA/EOE, and your company's forms of external communication are not created in-house, please include a statement ensuring that upon reordering such forms; your company's external communication will indicate it is an AA/EOE. Please include samples of how your revised forms of external communication will appear. **Statements that have been made to such for more than one (1) year are unacceptable.**

SECTION 4
ASSIGNMENT OF RESPONSIBILITY
Duties of Designated Equal Opportunity/Affirmative Action Officer

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-27(4)

The contractor shall designate affirmative action responsibilities to an affirmative action/equal opportunity employment officer. In addition to his/her other duties, the affirmative action officer shall:

A. Develop, implement and monitor progress on the contractor's affirmative action plan;
B. Acquaint workers with their specific responsibilities under the plan;
C. Initiate and maintain contact with unions, recruiting sources and organizations serving members of protected groups concerning the achievement of affirmative action requirements;
D. Conduct meetings and orientation sessions, as necessary, to advise workers and management of the goals of the plan. [Sec. 46a-68j-27(4)].

INSTRUCTIONS:

This section of the AAP should identify who within the company has the day-to-day responsibilities to implement the company's AA/EOE Program. This section should also list the AA/EOE Officer's specific duties as outlined in A-D above.

The individual named in this section as the company's AA/EOE Officer should be the same person named in Section 1 as the company's AA/EOE Officer.

The individual assigned to be the company's AA/EOE Officer should have sufficient authority within the company to carry out these tasks, and thus must be formally appointed to the position by written directive of the head of the company, and report directly to the head of the agency.

The head of the company's signature must therefore appear at the end of the written directive, as well as the signature of the company AA/EOE Officer. Both signatures must be original and dated.

X _____ _____
(Signature)
Name, Head of Company's Title Date

X _____ _____
(Signature)
Name, AA/EOE Officer Date

NOTE: If the head of the company and AA/EOE Officer are the same person, and your company employs twenty (25) or more employees, it is recommended that you appoint an individual other than the head of the company to perform the duties of the AA/EOE Officer.

SECTION 5
Organizational Analysis

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-27(5)

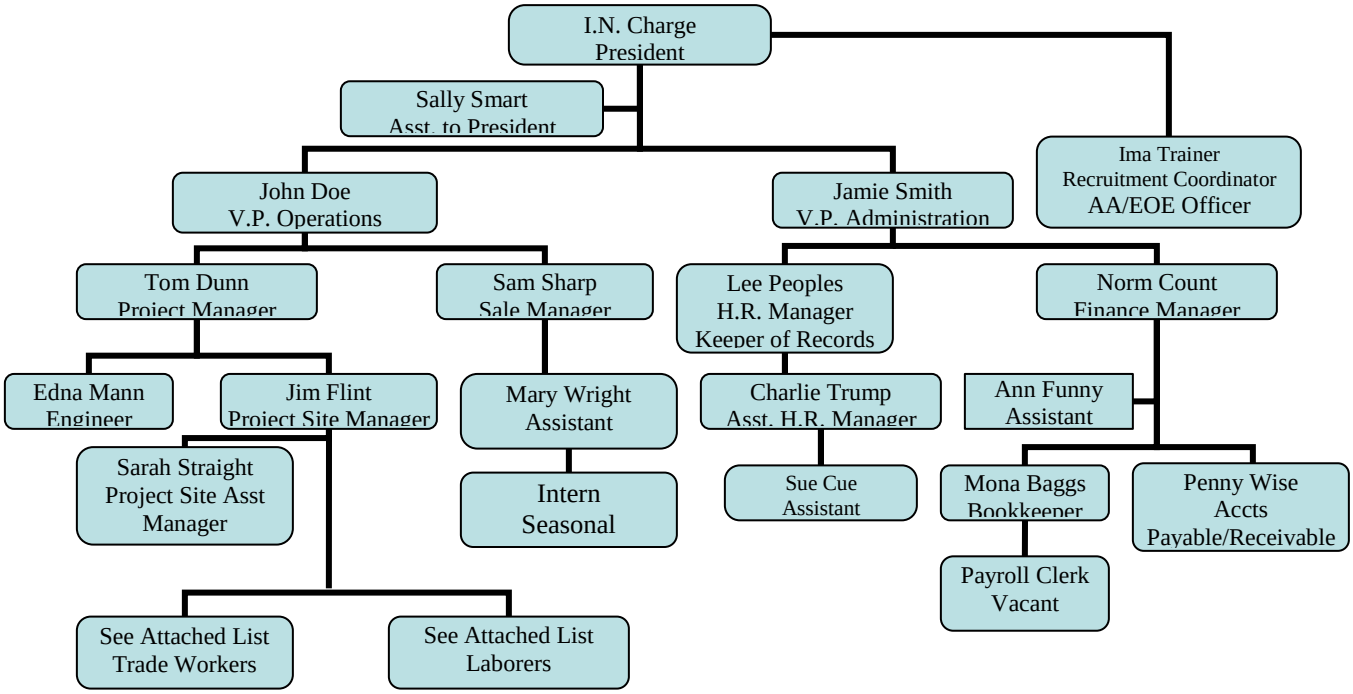
The Contractor shall list each job title as it appears in collective bargaining agreements, job specifications or payroll records, ranked from the lowest to the highest paid. Job titles shall be listed by department or other organizational unit. For lines of progression, the plan shall indicate the order of jobs through which a worker may advance. Job titles without a line of progression shall be listed separately [Sec 46a-68j-27(5)].

INSTRUCTIONS:

Please create an organizational chart for those employees on your day-to-day payroll. Each box should contain a job title and the name of each employee who holds that job title. Please do not attempt to fit more than four names into a box. Instead, attach a list of names for the people who hold the same job title.

On the organizational chart, please be sure to show that your company employs an AA/EOE Officer who reports directly to the head of the company.

XYZ Company



NOTE: Please do not list a name more than once on the organizational chart. If an employee performs various jobs, only use one box to list that employee's name and that employee's job titles.

SECTION 6
Work Force Analysis

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-27(6)

For each job title identified in the organizational analysis, the plan shall report:

A) the total number of incumbents (employees);
B) the total number of male and female incumbents;
C) the total number of male and female incumbents in each of the following groups:
  i. whites;
  ii. blacks;
  iii. Hispanics;
  iv. Others **[Sec. 46a-68j-27(6)].**

INSTRUCTIONS:

Please fill out the attached *Workforce Analysis* Form in its entirety.

Use the job titles listed in Section 5's Organizational Analysis to complete the Job Title Column (first column).

To calculate the *% of Females* on your company's day-to-day payroll divide the number of females in that job title by the total number of employees (add male and female) in that job title and multiply by 100.

To calculate *Subtotal Minority Males* add the number of males listed under Black, Hispanic, or Other Races for that job title.

To calculate *% of Minority Males* divide the subtotal minority males in that job title by the total number of employees (add male and female) in that job title and multiply by 100.

NOTE: The job titles in this section must be identical to the job titles listed on the *Organizational Analysis*. Similarly, the number of names provided in the *Organizational Analysis* must be identical to total number of employees listed in this section. *See attached example.*

SECTION 6 CONT'D

COMPANY EMPLOYMENT STATISTICS REPORT

STATE OF CONNECTICUT
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

COMPANY NAME	STREET ADDRESS	CITY, STATE, ZIP CODE
COMPANY OFFICIAL	TITLE	TELEPHONE NUMBER
PROJECT #:	PROJECT LOCATION	DATE

This report should show the number of employees on your payroll on date of submission.

JOB TITLE	TOTAL # OF EMPLOYEES		% OF FEMALES	TOTAL # OF WHITE EMPLOYEES		TOTAL # OF BLACK EMPLOYEES		TOTAL # OF HISPANIC EMPLOYEES		# OF OTHER RACE EMPLOYEES		SUBTOTAL MINORITY MALES	% OF MINORITY MALES
	Male	Female		Male	Female	Male	Female	Male	Female	Male	Female		

SECTION 6 CONT'D

COMPANY EMPLOYMENT STATISTICS REPORT

COMPANY NAME _____

PROJECT # _____

JOB TITLE	TOTAL # OF EMPLOYEES		% OF FEMALES	TOTAL # OF WHITE EMPLOYEES		TOTAL # OF BLACK EMPLOYEES		TOTAL # OF HISPANIC EMPLOYEES		# OF OTHER RACE EMPLOYEES		SUBTOTAL MINORITY MALES	% OF MINORITY MALES
	Male	Female		Male	Female	Male	Female	Male	Female	Male	Female		
Total # of Employees:			**XXXX**										**XXXXXX**

SAMPLE

COMPANY EMPLOYMENT STATISTICS REPORT

STATE OF CONNECTICUT
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES

COMPANY NAME	STREET ADDRESS	CITY, STATE, ZIP CODE
ACME CORP.	1263 Equal Opportunity Lane	Fair Dealing, CT 06000
COMPANY OFFICIAL	**TITLE**	**TELEPHONE NUMBER**
Ima Trainer	AA/EOE Officer	860-555-5555
PROJECT #:	**PROJECT LOCATION**	**DATE**
BI-29990-BI	University of Diversity Campus 1010 All Are Welcomed Drive New Haven, CT 06222	01/01/2009

This report should show the number of employees on your payroll on date of submission.

JOB TITLE	TOTAL # OF EMPLOYEES		% OF FEMALES	TOTAL # OF WHITE EMPLOYEES		TOTAL # OF BLACK EMPLOYEES		TOTAL # OF HISPANIC EMPLOYEES		# OF OTHER RACE EMPLOYEES		SUBTOTAL MINORITY MALES	% OF MINORITY MALES
	Male	Female		Male	Female	Male	Female	Male	Female	Male	Female		
President	1					1						1	100%
Asst. to Pres		1	100%		1								
V.P. Operat.	1			1									
Proj. Manager	1							1					100%
V.P. Admin		1	100%								1 (Chinese)		
AA/EOE Off.		1			1								
Finance Man.	1					1							100%
Sales Manager	1									1			100% (Pakistani)
H.R. Manager	1			1									
Assistant		3	100%				3						

SECTION 6 SAMPLE CONT'D

COMPANY EMPLOYMENT STATISTICS REPORT

COMPANY NAME _____ACME CORP._____

PROJECT # _____ BI-29990-BI _____

JOB TITLE	TOTAL # OF EMPLOYEES		% OF FEMALES	TOTAL # OF WHITE EMPLOYEES		TOTAL # OF BLACK EMPLOYEES		TOTAL # OF HISPANIC EMPLOYEES		# OF OTHER RACE EMPLOYEES		SUBTOTAL MINORITY MALES	% OF MINORITY MALES
	Male	Female		Male	Female	Male	Female	Male	Female	Male	Female		
Asst. H.R. Manager	1			1									
Engineer		1	100%				1						
Proj. Site Manager	1							1				1	100%
Proj. Site Asst. Man.		1	100%								1 (Native Amer.)		
Bookkeeper		1	100%						1				
Accts Pay/Rec.		1	100%		1								
Trade Workers	27	10	27%	10	5	10	5	7				17	45%
Laborers	18	9	33%	3	2			9	4	6 (3 Asian)	3 (Indian)	15	55%
Total # of Employees: 82	53	29	XXXXXXX	16	10	12	9	18	5	7	5	34	XXXXXXX

SECTION 7
Availability and Utilization Analysis

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-27(7); 46a-68j-27(8); 46a-68j-27(9)

INSTRUCTIONS:

Part A:

On this page of CHRO's format, you will find three columns. In the first column labeled *Job Titles*, you must list the job titles, from Sections 5 and 6 (i.e. employees on your regular day-to-day payroll), you will have working at the project site.

In the second column, labeled *Number of Employees*, you must list how many of your employees (on your day-to-day payroll and accounted for in Section 5 and Section 6), with the listed job title, will be on the project site.

In the third column labeled *Job Category*, you must look to the *Description of Job Categories* provided on pages 17 and 18 of CHRO's format, and determine in which category the job titles listed in the first column belong.

The job categories (not job titles) listed in the third column and the number of employees you list on this page must mirror those you list on the next page's *Availability Worksheet*. Thereby converting job titles into job categories.

It is imperative for CHRO to see this progression of job titles and number of employees from Section 5 carry over into Section 6 and then over into this section, Section 7.

CONVERSION CHART

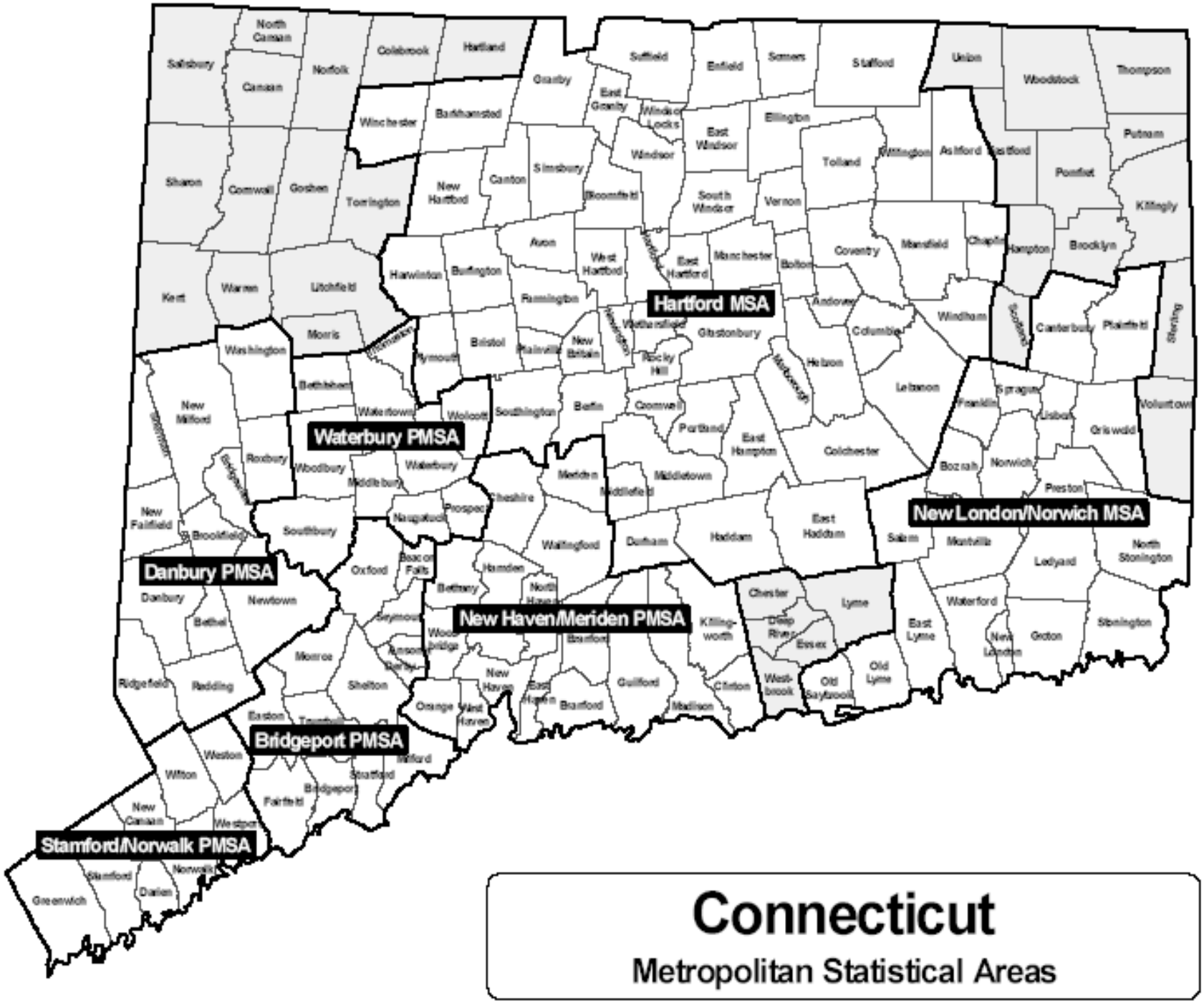
Job Title	**# of Employees**	**Job Category**

NOTE: To complete Section 7, the Contractor should submit this page and the *Availability Worksheet* on the page 18.

SAMPLE

CONVERSION CHART

Job Title	# of Employees	Job Category
President	1	Management
Project Manager	1	Management
Project Site Manager	1	Construction & Extraction
Trade Workers	30	Construction & Extraction
Laborer	20	Construction & Extraction


Hartford MSA
Waterbury PMSA
Danbury PMSA
New Haven/Meriden PMSA
New London/Norwich MSA
Bridgeport PMSA
Stamford/Norwalk PMSA
Connecticut
Metropolitan Statistical Areas

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, cost estimators, management analysts, labor relations specialists, and budget, credit, and financial analysts.

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists.

ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.

CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters.

Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category.

INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

MATERIAL MOVING WORKERS: The job titles included in this group are crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and off bearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

PART B:

To Complete Part B: Contractors should provide the following information on the *Availability Worksheet* on page 17.

1. In column 1 list each job category (not job title) from the chart you completed on page 14.
2. In column 2 determine how many employees within the job category will be at the project site.
3. In column 3 determine how many employees within the job category are minority males.
4. In column 4 determine the % of minority males by dividing the total minority males in that job category by the total number of employees (in column 2) within the job title and multiply by 100.
5. In column 5 determine how many female employees within the job category will be at the project site.
6. In column 6 determine the % of females by dividing the total minority females in that job category by the total number of employees (in column 2) within the job title and multiply by 100.
7. In columns 7 and 8, insert the PMSA/MSA minority male and female percentages as listed on pages 21-22 for the job category within that row.

AVAILABILITY WORKSHEET

STATE PROJECT # _____

Circle the project location identified in Part A:

Bridgeport PMSA

Danbury PMSA

New Haven/Meriden PMSA

Hartford MSA

New London/Norwich CT-RI MSA

Stamford/Norwalk PMSA

Waterbury PMSA

Balance of State of Connecticut

JOB CATEGORIES	PROJECT STATISTICS (employees on site)					CT SITE STATISTICS (Insert PMSA/MSA)	
	Total # of Employees	Total # of Minority Males	% of Minority Males	Total # of Females	% of Females	% of Minority Males*	% of Females*
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**

NOTE: By comparing the % from columns 4 & 6 with the % from columns 7 & 8 within each Job Category, the contractor can determine if the workforce is at parity of if there is underutilization (the company's % are lower than the area %) or over utilization (the company's % are higher than the area %).

Contractors with less than 25 employees on their day-to-day payroll working at the project site are not required to discuss the differences between the company's % listed in the columns. Contractors with 25 or more employees on their day-to-day payroll working at the project site whose company's % listed in the columns shows underutilization, must attach a signed statement pledging its best good faith efforts to meet or surpass the CT Site Stats. if the need to hire more employees for the purposes of this project arises.

Where there is a significant difference, the contractor's statement should also discuss action that the company may take to move toward greater parity within their workforce. For example, the contractors may discuss a strategy that involves hiring employees from under utilized groups if or when there are hiring opportunities on this project. The statement must bear the signatures of the head of the company and AA/EOE Officer and they must be original and dated.

CONNECTICUT OCCUPATIONAL STATISTICS PRIMARY METROPOLITAN STATISTICAL AREAS AND METROPOLITAN STATISTICAL AREAS

OCCUPATION CATEGORIES	BRIDGEPORT PMSA		DANBURY PMSA		NEW HAVEN/ MERIDEN PMSA		HARTFORD MSA	
	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers
Management	6.5	36.7	4.5	30.4	6.9	35.5	5.4	36.9
Business & Financial Operations	6.4	51.2	3.3	44.7	4.9	52.6	4.8	54.8
Computer Specialist	14.6	30.3	14.2	25.8	13.7	29.5	9.3	33.0
Architecture & Engineering	11.6	9.3	7.4	11.1	11.4	12.4	10.1	11.6
Building & Grounds Cleaning & Maintenance	27.4	34.1	22.9	32.9	24.0	33.3	21.1	31.3
Office & Administrative Support	7.0	76.1	3.2	77.2	6.5	74.2	6.1	74.5
Construction & Extraction	22.7	1.4	18.1	2.6	17.9	3.1	13.7	2.1
Installation Maintenance & Repair	22.6	4.1	10.7	3.8	14.9	5.1	14.1	4.4
Material Moving Workers	31.8	24.2	24.1	18.2	35.7	23.7	25.8	20.2

* Note: Balance of State Statistics are an average of the statistics from Litchfield, Middlesex and Windham Counties, the three counties that encompass the major areas not included within MSA or PMSA

CONNECTICUT OCCUPATIONAL STATISTICS PRIMARY METROPOLITAN STATISTICAL AREAS AND METROPOLITAN STATISTICAL AREAS

OCCUPATION CATEGORIES	NEW LONDON/NORWICH CT-RI MSA		STAMFORD/ NORWALK PMSA		WATERBURY PMSA		BALANCE OF THE STATE	
	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers	Minority Male Workers	Female Workers
Management	3.8	37.3	7.4	33.7	3.6	35.2	3.1	37.9
Business & Financial Operations	2.6	54.0	6.5	42.5	2.8	44.4	2.0	55.3
Computer Specialist	5.9	28.4	19.9	31.4	14.8	24.5	7.0	30.2
Architecture & Engineering	5.9	11.7	13.8	15.8	9.1	8.4	3.6	14.0
Building & Grounds Cleaning & Maintenance	14.4	36.7	38.4	38.1	18.6	30.8	6.4	32.6
Office & Administrative Support	2.7	75.7	8.2	74.2	5.1	73.6	2.0	76.5
Construction & Extraction	7.4	3.1	33.2	2.1	12.4	1.6	4.3	1.8
Installation Maintenance & Repair	9.5	4.2	31.4	3.1	12.4	2.8	5.3	3.0
Material Moving Workers	14.0	20.5	38.6	29.5	25.9	26.2	8.3	23.1

NOTE: Balance of State Statistics are an average of the statistics from Litchfield, Middlesex and Windham Counties, the three counties that encompass the major areas not included within MSA or PMSA

SAMPLE

AVAILABILITY WORKSHEET

STATE PROJECT # _____BI-29990-BI_____

Circle the project location identified in Part A:

Bridgeport PMSA

Danbury PMSA

New Haven/Meriden PMSA

Hartford MSA

New London/Norwich CT-RI MSA

Stamford/Norwalk PMSA

Waterbury PMSA

Balance of State of Connecticut

JOB CATEGORIES	**PROJECT STATISTICS (employees on site)**					**CT SITE STATISTICS (Insert PMSA/MSA)**	
	Total # of Employees	Total # of Minority Males	% of Minority Males	Total # of Females	% of Females	% of Minority Males*	% of Females*
Management	2	2	100%	0	0%	6.9%	35.5%
Construction & Extraction	51	24	47%	4	7.8%	17.9%	3.1%

XYZ Corp realizes that females are underutilized in the category of management. We will employ our best good faith efforts to employ females in the category of management, if the need to hire more managers for the purpose of this project arises.

X _____

Signature of the Head of the Company/Title Date

X _____

Signature of the AA/EOE Officer Date

SECTION 8
Project Description, Timeline, and Trades Involved

INSTRUCTIONS:

This section of the AAP should list the trade categories that will be needed to perform the work of this specific project (include those to be employed by your Company and all subcontractors).

1. Briefly describe the work involved in this project.

2. Estimate (mm/dd/yyyy) when construction will commence. If the project has already begun, please provide the actual project mobilization date (mm/dd/yyyy).

3. Estimate (mm/dd/yyyy) when construction will be completed. If the project is complete, then please provide the project end date (mm/dd/yyyy).

4. List all of the types of "trades"-related work to be performed on this project that your company will be hiring a subcontractor(s) to perform (do not provide the name of the subcontractor(s), just identify the trade). Attach a copy of the applicable section of the agency bid document (i.e., Project Manual, ITB, etc.), that specifies all trades required to be performed on this project.

5. List all specific types of materials to be used for this project that your company will be hiring a Vendor(s) to supply (do not provide the name of the vendor(s) just identify the type of supplies/materials to be provided). Attach a copy of the applicable section of the agency bid document (i.e., Project Manual, ITB, etc.), that specifies all materials required to be utilized for the completion of this project.

6. List all specific types of non trades-related services to be used for this project that your company will hire a service company to provide (do not provide the name of the company just identify the type of services to be provided). Attach a copy of the applicable section of the agency bid document (i.e., Project Manual, ITB, etc.), that specifies all non-trades-related services to be utilized for the completion of this project.
   Ex: Port-a-lets
   Trucking Driver Only – No Labor Involved

7. List the any circumstance for which you will be hiring a broker. Do not list the name of the brokerage firm.

8. List all trades that will be performed by your company's employees.

9. List all supplies that will be manufactured by your company for use on this project.

SECTION 9
Employment Analysis

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-28(1), 46a-68j-28 (4), Conn. Gen. Stat. Section 46a-54(15)

Employment Analysis: The contractor shall undertake a comprehensive review of its company's employment process and day-to day operations for the purposes of identifying policies and practices that build in or perpetuate barriers to Equal Opportunity Employment. Where applicable, the following factors shall be addressed:

job qualifications;
job specifications;
recruitment practices;
personnel policies;
training and apprenticeship programs;
subcontracting practices;
layoff and termination policies;
job structuring;

The plan shall report what activities were undertaken to identify barriers to Equal Opportunity Employment [Sec. 46a-68j-28(1)].

Program Goals and Timetables: Where the employment analysis has identified barriers to Equal Opportunity Employment, the contractor shall design specific corrective measures in the form of program goals to eliminate the barriers. Goals shall be accompanied by timetables designed to achieve compliance with affirmative action objectives within the shortest reasonable limits possible. The plan shall describe all actions taken to identify problems areas and realize program goals [Sec. 46a-68j-28(4)].

Sexual Harassment: An employer having fifty (50) or more employees must also provide two hours of sexual harassment prevention training and education to all supervisory employees in the state of Connecticut within six months of their assumption of a supervisory position. [Sec. 46a-54(15)]

INSTRUCTIONS:

Part A: After a comprehensive review of your company's employment process, the Contractor should identify examples for each of the practices listed below for both union and nonunion personnel, as-well-as office and field staff.

NOTE: If any of the following company policies or practices, subtitled 1-8 in this section, are administered by the union(s) your company utilizes; then please provide a statement signed and dated by the head of your company and by your company's AA/EOE Officer declaring the company will not knowingly do business with any union(s) that discriminates in the administration of its employment practices and/or day-to-day operations. The signatures on the statement must be original and dated.

For Instructions numbered 1 and 2 below, identify the job/position title with the most incumbent employees, and then provide the following information for this job/position title.

1. **Job Qualifications** – the job/position incumbent's required skills, experience, job/position-related certifications and/or educational degrees. Also identify position specific requirements such as special license(s) (For example: a craft license, E2; commercial driver's license, etc.), and/or physical requirements of the job/position (For example: the ability to lift 30lbs and ability to bend and reach), and any and all other requirements related to this job/position.

2. **Job Specifications** – Include a brief summary of the job/position. Identify this job/position's duties and responsibilities. Identify the position the incumbent reports to. If this job/position includes supervisory or managerial duties and responsibilities, identify the names of the job/position title(s) that report to this position.

3. **Recruitment Practices** –
   a. how do you recruit new employees?

   b. Explain in brief detail what resources your company utilizes to recruit new employees (not subcontractors/vendors). Where does your company post its vacancies to ensure a diverse group of candidates applies for the vacancy posted?
      Ex: Provide a complete list of comprehensive and diverse recruitment resources such as newspapers, unions, technical schools, organizations, professional recruiters and other types of recruitment resources your company utilizes or will utilize in the future to post its job vacancies targeted toward the protected classes per C.G.S. Sec. 46a-58.; Sec. 46a-59;: Sec. 46a-60; Sec. 46a-81c & Sec. 32-9n. Each recruitment resource listed must include its name, address, contact person, contact number, and website.
      NOTE: The Connecticut Job Service must be on this list.

   c. All recruiting notices posted by your company must state "Affirmative Action/Equal Opportunity Employer" or "AA/EOE." Please confirm that your company is in compliance by attaching copies of your company's most recent job postings. Please be sure the attached posting shows the name of the resource and the date of the posting. If you do not have any recent job postings indicating that your company is both an AA ***and*** an EOE, then please attach a statement ensuring your company will indicate such in all of its future job postings.

4. **Personnel Policies** – Please attach copies of 3-4 of your personnel policies from your Employee Handbook. If your company does not have an Employee Handbook then please briefly, describe 3-4 of your personnel policies, specifically compensation (e.g. salaried or hourly wages); benefits (e.g. vacations or holidays); work environment (e.g. hours of work).

5. **Job Structuring** – does the company have jobs that require the tasks be performed in a specific way? For example, a material handler must grasp material by the right hand and arm, balance it on the right shoulder, and use the left hand/arm to balance the material.

6. **Training and Apprenticeship Programs** –
   a. Does your company offer on-the-job training or participate in apprenticeship and other training programs with unions, technical schools, or other work force training programs?
   b. Companies with 50 employees or more must provide two (2) hours of sexual harassment training to all of its managerial and supervisory personnel. To document compliance to the training provision, please provide specific information as to:
      1) date (if training has yet to be conducted, please provide the date within the next six (6) months in which you company has scheduled training);
      2) place;
      3) agenda (i.e. topics covered during the training);
      4) qualification of presenters; and
      5) names of employees in attendance or that will attend.

   If training has not yet been provided then please provide the same information requested above, as training must take place within the next six (6) months. Further information, regarding these provisions can be found at the CHRO website www.ct.gov/chro under the heading "Legal Issues," then by clicking on "Legal Links."

7. **Subcontracting Practices** – Please briefly explain when and how your company solicits S/M/W/DisBEs to utilize for subcontracting/vending. Provide a complete list of comprehensive and diverse subcontracting/vending sources such as newspapers, unions, technical schools, organizations, professional recruiters and other media that help members of the protected classes (per C.G.S. Sec. 46a-58.; Sec. 46a-59;: Sec. 46a-60; Sec. 46a-81c & Sec. 32-9n) find work as a subcontractor/vendor. Each resource listed must include its name, address, contact person, contact number, and website if applicable.
   NOTE: The Department of Administrative Services (DAS) Supplier Diversity Program must be included on your list.

8. **Layoff and Termination Policies** – Please attach a copy of your company's layoff and termination policies from your Employee Handbook. If you do not have an Employee Handbook please briefly describe what criteria is used by your company to determine how and who is laid off and terminated? For example, does your company use the "last in, first out" approach to layoffs?

Part B: If any barrier(s) to protected classes are found in any of your company's preceding employment practices and policies and/or day-to-day operations, then please indicate:

1. If any barriers were found within your company's employment and business practices.

2. If so, how the barrier(s) will be eliminated, and

3. The estimated time needed to eliminate the barrier(s) and establish a new policy or practice.

SECTION 10
Special Provision-Apprenticeship Training Program

Point of Statutory and/or Regulatory Reference: Equal Opportunity Employment in Apprenticeship Training Regulations Section 46a-68-5

FOR STATE CONTRACTS VALUED IN EXCESS OF $10.0 MILLION
AND A PROJECTED DURATION
OF EIGHTEEN (18) MONTHS OR MORE

INSTRUCTIONS:

A Contractor to be awarded a state contract valued in excess of $10.0 million and with projected duration of eighteen (18) months or more must report in the AAP:

1. Whether the Company has, or is a signatory to, a collective bargaining agreement that sponsors a state registered apprenticeship program; and,

2. What "good faith effort" the Company will make to include registered apprentices in its direct workforce and/or in the workforce of project subcontractors during the course of the project.

SECTION 11
Subcontractor Availability Analysis

Point of Statutory and/or Regulatory Reference: Connecticut General Statutes section 4a-60 and 4a-60g as amended by Public Act 09-158; and Regulations of Connecticut State Agencies Section 46a-68j-28(2):

Applicable portions of the general statutes subsections of Section 4a-60(a) as amended state:

> (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
>
> > (4) The contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; and
> >
> > (5) The contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.
>
> (b) If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.
>
> (f) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
>
> (g) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

Regulations of Connecticut State Agencies §46a-68j-28(2) states the following:

Sec. 46a-68j-28. Elements of plans required by Section 46a-68d of the Connecticut General Statutes as amended by Section 4 of Public Act 89-253.

In addition to the elements in Section 46a-68j-27, affirmative action plans subject to the requirements of Section 46a-68d of the Connecticut General Statutes as amended shall contain the following elements as described below:

2. *Subcontractor Availability Analysis.* When a contractor intends to subcontract all or part of the work to be performed under a State contract to one or more subcontractors, the contractor shall consult the listing of minority business enterprises maintained by the Department of Administrative Services, the practical experience of other contractors, contacts developed by the contractor itself, trade publications and similar sources to develop a base from which the contractor might reasonably be expected to draw minority business enterprises from. The plan shall indicate what sources were consulted and whether the enterprise was ready and able to perform the required work or supply necessary materials;

Also see Conn. Gen. Stat. sections 4a-60g, 46a-68b,§46a-68c, §46a-68d and §46a-68e.

When a contractor intends to subcontract all or part of the work to be performed under a state contract to one or more subcontractors, the contractor shall consult the listing of minority business enterprises maintained by the Department of Administrative Services, the practical experience of other contractors, contacts developed by the contractor itself, trade publications and similar sources to develop a base from which the contractor might reasonably be expected to draw minority business enterprises. The plan shall indicate what sources were consulted and whether the enterprise was ready and able to perform the required work or supply necessary materials [Sec. 46a-68j-28(2)].

INSTRUCTIONS: Use WBE for a woman owned business, MBE for an ethnic minority owned business, DisBE for a business owned by a person(s) with a disability, and SBE for a small business that is not one of the aforementioned.

Design/Build Projects: When projects are design/build (or similar as in multi-phase contracts) where subcontractors/vendors are solicited for bids at different stages of the project, Contractors must continuously file this section at each stage of the bidding process, until the Contractor has provided evidence of its good faith efforts to achieve the set-aside goals at each stage.

PART A: List all the sources used by the company to find S/M/W/DisBE subcontractors and/or vendors for ***this*** project only.

Ex: DAS Supplier Diversity Website www.webaddress.com

Minority Contractor Weekly	1234 Diversity Lane, Hartford, CT 06010 (See attached ad as it appeared in the weekly)
Women In Construction	Lisa Doe, Business Construction Recruiter 5678 Diversity Lane, Hartford, CT 06010
Ready and Able	Ron Doe Disabled Construction Recruiter 9101 Diversity Lane, Hartford, CT 06010

PART B: List every SBE/MBE/WBE/DisBE subcontractor and/or vendor that your company solicited to bid on ***this*** contract, as shown in the example below. Indicate each subcontractor's trade(s). Indicate why you solicited each of the listed DAS certified companies, as shown in the example below (i.e. to perform what trade or to supply what materials/services).

Ex:	ABC Construction	SBE	Carpentry
	Carpenter's LLC	DisBE	Carpentry
	Hard Knocks Woodwork	MBE	Carpentry
	Rumor Mill	MBE	Mill Work
	The Mill Worm	MBE	Mill Work
	Piece Mill	WBE	Mill Work
	XYZ Material Suppliers	WBE	Hardwood Supplier
	Better Floors, Inc.	MBE	Hardwood Supplier
	Best Floor Co.	DisBE	Hardwood Supplier
	Got 2 Go	MBE	Port a lets
	Number 1	SBE	Port a lets
	When Nature Call	SBE	Port a lets

PART C: Indicate what became of each DAS certified subcontractor/vendor you listed in Part B during the bidding process. You must be able to explain and document to CHRO the reason(s) why your company did not award a subcontract to the companies you solicited in Part B, as shown in the example below, thus a vague response such as "Bid Received", "Called/Left Message", "Said Will Bid", etc. are insufficient. Use "Awarded" as the only bid result for those companies that you will utilize for this project.

Ex:	ABC Construction	Bid Incomplete
	Carpenter's LLC	Bid Too High
	Hard Knocks Woodwork	Bid Too High

Rumor Mill	Awarded
The Mill Worm	Bid Too High
Piece Mill	Bid Not Accepted – Received Late
XYZ Material Suppliers	Bid Too High
Better Floors, Inc	Scheduling Conflict
Best Floor Co.	Bid Too High
Got 2 Go	Bid Too High
Number One	Refused To Bid
When Nature Calls	Scheduling Conflict

PART D: List all non-DAS certified companies (including brokers) that you expect to perform on this project or to supply material/services (i.e. companies not already accounted for in Part B & Part C). This list must inform CHRO what trades, materials, or services the companies listed will provide. Any company performing a specialized trade or supplying specialized materials/services must be indicated and accompanied by a letter attesting to such from (i.e. signed) by the awarding agency. See the example below.

Ex:	Color Coded Painting, LLC	Carpentry
	Pristine Port a lets	Port a lets
	Boltz, Inc.	High and Low Voltage Installation*

* The electrical portion of this project is specialized and can only be performed by Boltz, Inc. Please see the attached letter verifying such, in detail, from the project manager at the awarding agency.

******* RECORDS RETENTION NOTICE *******

The CHRO is authorized to audit your company records regarding contract compliance at any time during or after the performance of this project. You must develop and maintain detailed records of your solicitation of and responses from each company listed in this section in the event CHRO requests documentation. See Conn. Gen. Stat. §4a-60(a)(5), §4a-60g(g). If you solicit in writing you must keep those written documents (letters, facsimiles, emails, etc.). If you solicit by phone you must keep written notes about those solicitations and the CHRO may seek phone records. Records are subject to the CHRO's verification with any or all contractors, subcontractors and/or suppliers of materials solicited. Records must be retained for at least 2 years after the contract is performed.

Contracts with brokers or portions of contracts that involve brokering activity are generally not considered toward set-aside program goals. To be considered toward a set-aside goal, an SBE and/or MBE/WBE/DisBE firm must satisfy a number of requirements, including the requirement that the firm must perform at least 30% of the contracted work with its own workforce. A broker would not perform the contracted work with its own workforce.

A broker is a contractor/subcontractor that contracts with the state and/or contracts on state financed construction to provide trade work, supplies and materials and/or services, but

- ***It does not perform the trade work,***
- ***It does not have the same types of materials or supplies in its inventory,***
- ***It does not have the equipment or employees to perform the services.***

SECTION 12
Minority Business Enterprise Goals and Timetables.

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-28(3)

Based upon the availability of minority business enterprises calculated in Sec 46a-68j-28(2), the contractor shall set goals for awarding all or a reasonable portion of the contract to qualified minority business enterprises. The Plan shall detail what steps it took to make such opportunities available (Sec. 46a-68j28(3).

Design/Build Projects: When projects are design/build (or similar as in multi-phase contracts) where subcontractors are solicited for bids at different stages of the project, Contractors must file Attachment IIIa see Section 12) by week, month, or quarter (as determined by CHRO) listing all SBE/MBE/WBE/DisBEs subcontractors/vendors with whom contracts have been signed during that period.

INSTRUCTIONS:

On Attachment III :

- Provide all the information requested in the Attachment III.
- List all the MBE's, WBE's, and DisBE's you designated in Section 11, Part C as "Awarded" in the top portion ("A") of Attachment III.
- List all the SBE's you designated in Section 11, Part C as "Awarded" in the bottom portion ("B") of Attachment III.
- Input all percentages requested in the Attachment III.

Once your Plan is approved, you may not add or delete any of the companies nor alter any of the contract values as listed on the Attachment III of your approved plan, except as follows. Attachment III may be altered after your Plan is approved only if you submit:

I. A Cover Letter:

A) requesting acknowledgement of the change;

B) detailing why CHRO should grant the change; and

C) documentation to support your request in the follow forms:

1) if requesting acknowledgement of a removal: out of business verification, Change Order eliminating a subcontractor's portion of the project from the awarding agency, etc.);

2) if requesting acknowledgement of an addition: a copy of the current DAS certification; and

II. A Revised Attachment III bearing the MM/DD/YYYY of the revision and incorporating the requested change.

NOTE: Upon a project's completion, only those companies that are listed on the latest approved Attachment III, and who have maintained a current DAS certification throughout the duration of the project, will be utilized in CHRO's final calculations of actual goal achievement upon the project's completion.

Attachment III
Small Contractor and Minority Business Enterprise Goals and/or "Good Faith Effort"

Total Project Value is $ _____. Project has SBE requirement of _____ %, which include MBE requirement of _____%; OR, Project requires only "good faith effort" for MBE contractors _____.

A. Please identify MBE/WBE/DisBE subcontractors who will participate on the project.

Company Name	Address	DAS Certification Type (MBE/WBE/DisBE)	DAS Certification Expiration Date	Contract Value
			Total amount of MBE, WBE, & DisBE contract values: $_____	(Total amount of MBE, WBE, & DisBE contract values ÷ project value **x** 100) = _____%

B. Please identify SBE contractors who will participate on the project.

Company Name	Address	DAS Certification Type (SBE)	DAS Certification Expiration Date	Contract Value
			Total amount of SBE contract values: $ _____	Total amount of SBE contract values ÷ project value **x** 100= _____%
Total amount of all contract values listed in A & B =				Total amount of all contract values listed in A & B ÷ project value **x** 100 = _____%

Please use additional sheets if necessary

******* CHRO encourages your company to not just meet its set-aside goals, but to surpass them in order to ensure project circumstances (i.e. delays, change orders, decrease between estimate amount and contract amount, etc.) does not cause your company to fall below its set-aside goals achieved in its approved Affirmative Action Plan.*******

A current copy of the DAS certificate must be attached to this section for each subcontractor/vendor listed on Attachment III. ***Without a current copy of each company's current DAS certification, the value of the contract will not be taken into account for the determination of whether your company has met its set-aside goals.***

For projects with the Connecticut Department of Public Works (DPW), the general contractor cannot utilize its DAS Certification for the purpose of achieving the set-aside goals.

Attachment IIIa

For Design/Build (multi-phase contract) Only

Small Contractor and Minority Business Enterprise Goals and/or "Good Faith Effort" Contractor Participation

Date Submitted: _____ Project Number: _____ Project Name: _____

Project Start Date: _____ Estimated Project Completion Date: _____

Total Project Value is $ _____. Project has SBE requirement of _____ %, which includes MBE requirement of _____%; OR, Project requires only "good faith effort" for MBE contractors _____.

The head of the company has read this Attachment IIIa and confirms that its information is true and correct to the best of his or her knowledge and belief. The general contractor pledges its best good faith efforts to achieve the set-aside goals outlined in this Attachment IIIa. Furthermore, the general contractor is aware of its continuing obligation to remain vigilant in filing an Attachment IIIa on a **monthly bases**, unless new developments require an additional filing of an amended Attachment IIIa prior to the monthly filing due date.

Signature of the Head of the Company/Title Date

Signature of the AA/EOE Officer Date

A. Please identify MBE/WBE/DISBE subcontractors/vendors who will participate on the project.

Company Name	Address	DAS Certification Type (MBE/WBE/DisBE)	DAS Certification Expiration Date	Contract Value
				= _____% of Project Value

B. Please identify SBE contractors/vendors who will participate on the project.

Company Name	Address	DAS Certification Type (SBE)	DAS Certification Expiration Date	Contract Value
				= _____% of Project Value
Total SBE/DisBE/WBE/MBE contract value =				= _____% of Project Value

Please use additional sheets if necessary

SECTION 13
Minority Business Enterprise Assistance and Innovative Programs

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Sections 46a-68j-21(17), 46a-68j-21(22), 46a-68j-28(5)

Consistent with Sec. 46a-68j-21(17) and Sec 46a-68j-21(22), the contractor shall develop programs to assist minority business enterprises in entering the economic mainstream. The plan shall detail what programs the contractor has created to accomplish this endeavor **[Sec. 46a-68j-28(5)].**

INSTRUCTIONS:

Contractors should discuss any actions taken to help small and minority owned businesses. This can be a formal program or it can be an informal policy such as helping MBE and WBE complete paperwork related to state contracts or certification from DAS. Other possibilities include co-signing for rental of equipment for the project or allowing small contractors to order supplies with your discount rate.

SECTION 14
Project Reporting and Monitoring Procedures

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-23(6), 46a-68j-23(8), Conn. Gen. Stat. Section 4a-60(a) (5), 46a-68e

Each contractor shall file, and shall cause each of his subcontractors to file, with the commission such compliance reports at such times as the commission may direct. Compliance reports shall contain such information as to the practices, policies, programs, and employment policies, employment programs, and employment statistics of the contractor and each subcontractor and be in such form as the commission may prescribe (C.G.S. Sec. 46a-68e).

INSTRUCTIONS:

Please provide a statement that your company will file all monthly and quarterly reports as directed by CHRO, and will require its subcontractors and/or vendors to do likewise. This statement should also indicate that your company will forward the original reports to CHRO, and copies will be sent to the awarding agency.

- Forms are due each month of the project's duration with filing to commence thirty (30) days after the project's start date.
- Forms must contain original signatures, printed names & titles of persons signing.
- A copy must be kept at the General Contractor, Subcontractor, Supplier or Service Provider's office for reference when filing Form 257b.
- A copy of all reports must be sent to the awarding agency.

I. General Contractor:

- Form 257 (Monthly Employment Utilization Report)
    - Fill out every month from the date that the project started.
    - For the months employee(s) did not work on the project site, fill out one form for each month & check the box marked "Did not perform work on this project for this month" which is located at the bottom of the form.
    - If employee(s) then returned to the project site and began working after the months they were not working at the project site, fill out a Form 257, one for each month.

      Ex: If employee(s) did not work in Jan. fill out a Form 257 for the month of Jan. & check the "Did not perform work on this project for this month" box.

      If employee(s) worked Feb & Mar fill out a Form 257, one for each month, indicating the hours these employees worked during those months.

- The last month any of the employee(s) worked on the job (i.e. the month the company walked off the project site) fill out a Form 257 & write at the bottom of the form in BIG BOLD letters **"FINAL".**

- Form 257a (Monthly Employment Utilization Report)
    - Fill out every month from the date that the project started only if "On Site Personnel (Other than Trade Workers)" worked on the job.
    - Follow instructions above for Form 257 when a non-trade worker employee is on the site.
    - If no non-trade worker employee(s) are on the site, do not submit Form 257a.

- Form 257b (Cumulative Employment Utilization Report)
    - The last month any of the employee(s) worked at the project site, the fill out a Form 257b (as well as the FINAL Form 257 mentioned above) & write at the bottom of the form in BIG BOLD letters **"FINAL".**
    - Form 257b is a total of all the work hours the employees have worked on the project. Therefore, if you add up all of the hours from each of the Form 257's that have been filed for this project, that number should correspond with the number of total work hours reported on the Form 257b.

- Punch List Items or Other Events
    - If an employee returns to the job to do punch list items or other events after filling out **FINAL** filings a Revised FINAL Form 257 for the months that they worked on the punch list items, as well as a Revised FINAL Form 257b must be filed.
    - These revised reports should be marked in BIG BOLD letters "REVISED MM/DD/YYYY."

- Form 258a (Monthly Payment Status Reports)
    - If the project's anticipated duration is 12 months or less, fill out Form 258a every month from the date that the project started except for the project's quarter months.

        Ex: If the project began in Jan., fill out Form 258a for Jan., Feb., but not for March (e.g. third month of the project, thus the project's quarter month).
    - If you are filing out a Form 258a for the last month of the project write at the bottom of the form in BIG BOLD letters **"FINAL".**
    - If the project's anticipated duration is in excess of 12 months, do not fill out Form 258a.

- Form 258 (Quarterly Payment Status Report)
    - If the project's anticipated duration is in excess of 12 month, fill out Form 258 every project quarter month from the date the project started.
    - The Form 258 filed for the last quarter of the project's duration must indicate ***"FINAL"*** in BIG BOLD letters.

The General Contractor sends the following reports to CHRO:

- Form 2528a (Monthly Small Contractor and Minority Business Enterprise Payment Status Report).
- Form 258 (Quarterly Small Contractor and Minority Business Enterprise Payment Status Report).
- Form 257 & Form 257a (Monthly Employment Utilization Report) from subcontractors.
- Form 257 & Form 257a (Monthly Employment Utilization Report) from the General Contractor .
- Form 257b (Cumulative Employment Utilization Report) from subcontractors & the General Contractor.
- Form 259 (Monthly Materials Consumption Report) from Material Suppliers & Service Providers.

II. Material Suppliers/Service Providers:

- Form 259 (Monthly Materials Consumption Report)
    - Material Supplier/Service Supplier submits every month from the date that the project started. The officer of the company signs in the box that corresponds as to whether they "Did Supply Materials" that month or they "Did Not Supply Materials" that month.
    - At the end of the last month in which the material/servicer provider provided material or service for this project, the officer of the company must write at the bottom of the form in BIG BOLD letters **FINAL".**

III. Subcontractors (Sub):

- Form 257 (Monthly Employment Utilization Report)
    - Sub submits every month from the date that the project started and not from the date that specific sub began.
    - For the months in which the sub did not work on the project site, the sub still fills out one Form 257 for each month & checks the box marked "Did not perform work on this project for this month" which is located at the bottom of the form.

- For whatever months the sub does work on the project site, the sub fills out a Form 257, one for each month indicated the hours its employee(s) worked on the project for the month specified on the Form 257.

  EX: If the sub did not work in Jan. they fill out Form 257 & check the "Did not perform work on this project for this month" box.
  If the sub worked Feb. & March they fill out the hours on Form 257, one for each month.
  If the sub finishes its work in April they fill out Form 257 & write at the bottom of the form in BIG BOLD letters **"FINAL".**

- Form 257a (Monthly Employment Utilization Report)
  - Sub submits every month from the date that the project started only if "On Site Personnel (Other than Trade Workers)" worked on the job.
  - Follow instructions above for Form 257 when a non-trade worker employee is on site.
  - If no non-trade worker employees are on the site, then the sub need not submit Form 257a.

- Form 257b (Cumulative Employment Utilization Report)
  - The last month the sub finishes its work on the project site, that sub must fill out Form 257b (as well as a **FINAL** Form 257 mentioned above) & write at the bottom of the form in BIG BOLD letters **"FINAL".**
  - Form 257b is a total of all the work hours the trade personnel have worked on the project. Therefore, if you add up all of the hours for each of the Form 257s that have been filed for this project, that number should correspond with the number of total work hours reported on the Form 257b.

- Punch List Items or Other Events
  - If a sub returns to the job to do punch list items or other events after filling out **FINAL** filings, a Revised Final Form 257 for the months that they worked on the punch list items, as well as a Revised Form 257b must be filed.
  - These revised reports should be marked in BIG BOLD letters "REVISED MM/DD/YYYY."

Additional copies of CHRO forms and further instructions can be obtained by logging onto www.ct.gov/chro and clicking on "Forms" and then selecting the required from under the second heading "Form and Reports for Construction Workers."

Commission on Human Rights and Opportunities Contract Compliance Unit 450 Columbus Blvd Ste 2 Hartford CT 06103	1. MONTHLY EMPLOYMENT UTILIZATION REPORT ***(FORM chro cc–257)***	PROJECT AREA (MSA): _____ 2. EMPLOYERS FEIN NO.	3. PROJECT AAP GOALS MINORITY: _____ FEMALE:_____	4. REPORTING PERIOD FROM:_____ TO:_____

GENERAL CONTRACTOR: PROJECT NAME: CONTRACT NUMBER:	NAME AND LOCATION OF CONTRACTOR (submitting report):	STATE AWARDING AGENCY:

5. CONSTRUCTION TRADE (please identify)	CLASSIFICATION	6. **WORK HOURS OF TRADE WORKERS EMPLOYED ON PROJECT**												9. TOTAL NUMBER OF EMPLOYEES		10. TOTAL NUMBER OF MINORITY EMPLOYEES	
		6a. TOTAL HOURS BY TRADE		6b. BLACK (Not of Hispanic Origin)		6c. HISPANIC		6d. ASIAN OR PACIFIC ISLANDERS		6e. AMERICAN INDIAN OR ALASKAN NATIVE		7. MINORITY PERCENT	8. FEMALE PERCENT				
		M	F	M	F	M	F	M	F	M	F			M	F	M	F
	Journey Worker Apprentice Trainee SUB-TOTAL																
	Journey Worker Apprentice Trainee SUB-TOTAL																
	Journey Worker Apprentice Trainee SUB-TOTAL																
	Journey Worker Apprentice Trainee SUB-TOTAL																
	Journey Worker Apprentice Trainee SUB-TOTAL																
TOTAL JOURNEY WORKERS TOTAL APPRENTICES TOTAL TRAINEES GRAND TOTAL																	

11. COMPANY OFFICIALS SIGNATURE , PRINTED NAME AND PRINTED TITLE	12. TELEPHONE NUMBER (Including area code)	13. DATE SIGNED	PAGE _____OF_____

☐ **Did not perform work on this project for this month (Please place an "X" in the box if your company did not perform work on this project for this month only.)**

Form CHRO 257

Commission on Human Rights and Opportunities Contract Compliance Unit 450 Columbus Blvd Ste 2 Hartford CT 06103	1. MONTHLY EMPLOYMENT UTILIZATION REPORT ***(FORM chro cc–257A)***	PROJECT AREA (MSA): _____ 2. EMPLOYERΣ FEIN NO.	3. PROJECT AAP GOALS MINORITY: _____ FEMALE:_____	4. REPORTING PERIOD FROM:_____ TO:_____

GENERAL CONTRACTOR: PROJECT NAME: CONTRACT NUMBER:	NAME AND LOCATION OF CONTRACTOR (submitting report):	STATE AWARDING AGENCY:

5. ON SITE PERSONNEL (OTHER THAN TRADE WORKERS) ***(please identify specific job title)***		6. **WORK HOURS OF WORKERS *(OTHER THAN TRADE WORKERS)* EMPLOYED ON PROJECT**												9. TOTAL NUMBER OF EMPLOYEES		10. TOTAL NUMBER OF MINORITY EMPLOYEES	
		6a. TOTAL HOURS BY TRADE		6b. BLACK (Not of Hispanic Origin)		6c. HISPANIC		6d. ASIAN OR PACIFIC ISLANDERS		6e. AMERICAN INDIAN OR ALASKAN NATIVE		7. MINORITY PERCENT	8. FEMALE PERCENT				
		M	F	M	F	M	F	M	F	M	F			M	F	M	F
GRAND TOTAL WORKERS																	

11. COMPANY OFFICIALS SIGNATURE , PRINTED NAME AND PRINTED TITLE	12. TELEPHONE NUMBER (Including area code)	13. DATE SIGNED	PAGE _____OF_____

Form CHRO 257a

Commission on Human Rights and Opportunities Contract Compliance Unit 450 Columbus Blvd Ste 2 Hartford CT 06103	1. **CUMULATIVE EMPLOYMENT UTILIZATION REPORT** (FORM chro cc–257b)	PROJECT AREA (MSA): _____ 2. EMPLOYERS FEIN NO.	3. PROJECT PLAN GOALS MINORITY: _____ FEMALE:_____	4. PROJECT DURATION START DATE:_____ END DATE :_____

GENERAL CONTRACTOR: PROJECT NAME: CONTRACT NUMBER:	NAME AND LOCATION OF CONTRACTOR (submitting report):	STATE AWARDING AGENCY:

5. CONSTRUCTION TRADE (please identify)	CLASSIFICATION	6. **CUMULATIVE WORK HOURS OF TRADE WORKERS EMPLOYED ON PROJECT**												9. CUMULATIVE NUMBER OF EMPLOYEES		10. CUMULATIVE NUMBER OF MINORITY EMPLOYEES	
		6a. CUMULATIVE HOURS BY TRADE		6b. BLACK (Not of Hispanic Origin)		6c. HISPANIC		6d. ASIAN OR PACIFIC ISLANDERS		6e. AMERICAN INDIAN OR ALASKAN NATIVE		7. CUMULATIVE MINORITY PERCENT	8. CUMULATIVE FEMALE PERCENT				
		M	F	M	F	M	F	M	F	M	F			M	F	M	F
	Journey Worker Apprentice Trainee CUMULATIVE TOTAL																
	Journey Worker Apprentice Trainee CUMULATIVE TOTAL																
	Journey Worker Apprentice Trainee CUMULATIVE TOTAL																
	Journey Worker Apprentice Trainee CUMULATIVE TOTAL																
	Journey Worker Apprentice Trainee CUMULATIVE TOTAL																
CUMULATIVE TOTAL JOURNEY WORKERS CUMULATIVE TOTAL APPRENTICES CUMULATIVE TOTAL TRAINEES CUMULATIVE GRAND TOTAL																	

11. COMPANY OFFICIALS SIGNATURE , PRINTED NAME AND PRINTED TITLE	12. TELEPHONE NUMBER (Including area code)	13. DATE SIGNED	PAGE _____OF_____

FORM CHRO 257b

**** NOTE: The purpose of this report is to be a CUMULATIVE Employment Utilization Report (257b); cumulative meaning the total sum of all the 257s filed by your company throughout the duration of this project. Please submit this *Cumulative Employment Utilization Report* (257b) with your *FINAL 257* filing. If punch list items or other events require your company to return to the project after such filings, than please submit a *Revised 257b* with your *Revised FINAL 257*.**

MONTHLY SMALL CONTRACTOR AND
MINORITY BUSINESS ENTERPRISE
PAYMENT STATUS REPORT

Month Ending _____

1) General Contractor Name

2) State Contract Number

3) State Contract Award Agency

4) Project Name 5) Estimated Completion Date ____

6) Project Value 7) Percent Completed to Date ____
(Indicate & attach all Change Orders)

8) Actual Project Mobilization Date (MM/DD/YYYY)

9) Listing of all small contractors and minority business enterprise contractors on the project to comply with contractual small business set aside provisions:

Company Name	Total Contract Amount (Indicate & attach all Change Orders)	Total Payment this Month	Total Payment to Date

_____ _____
Signature of Company Official Date of Report

_____
Printed Name and Printed Title of Person Signing

Original to: CHRO, 450 Columbus Blvd Ste 2, Hartford CT 06103
Copies to: 1) Awarding Agency
2) Contractor's Company File

Form CHRO 258a (for projects less than 12 months or as directed by CHRO).

QUARTERLY SMALL CONTRACTOR AND MINORITY BUSINESS ENTERPRISE PAYMENT STATUS REPORT

Quarter Ending _____

1) General Contractor Name

2) State Contract Number

3) State Contract Award Agency

4) Project Name 5) Estimated Completion Date ____

6) Project Value 7) Percent Completed to Date ____
(Indicate & attach all Change Orders)

8) Actual Project Mobilization Date (MM/DD/YYYY)

9) Listing of all small contractors and minority business enterprise contractors on the project to comply with contractual small business set aside provisions:

Company Name	Total Contract Amount (Indicate & attach all Change Orders)	Total Payment this Quarter	Total Payment to Date

_____ _____
Signature of Company Official Date of Report

_____
Printed Name and Printed Title of Person Signing

Original to: CHRO, 450 Columbus Blvd Ste 2, Hartford CT 06103
Copies to: 1) Awarding Agency
2) Contractor's Company File

Form CHRO 258

MONTHLY MATERIALS CONSUMPTION REPORT

(CHRO FORM–259)

Contract Compliance Unit The Commission on Human Rights and Opportunities 450 Columbus Blvd Ste 2 Hartford CT 06103	**MONTHLY MATERIALS CONSUMPTION REPORT** **(CHRO FORM–259)*** * TO BE FILLED OUT BY SBE/MBE/WBE/DIS CONTRACTORS/VENDORS WHOSE SOLE ROLE IN THE CONTRACT DESCRIBED BELOW IS THAT OF A "SUPPLIER OF MATERIALS."
NAME AND ADDRESS OF SBE/MBE/WBE/DIS CONTRACTOR/VENDOR (submitting report): _____ _____ _____ _____	STATE CONTRACT NUMBER:_____ PROJECT NAME:_____ STATE AWARDING AGENCY_____ REPORTING PERIOD FROM:_____ TO:_____
The SBE/MBE/WBE/DIS Contractor / Vendor, submitting this report, ***DID SUPPLY MATERIALS*** to the General Contractor, or its Subcontractors, for the monthly reporting period listed above and for use in the aforesaid contract. I Agree:_____/Date:_____ Signature of the Head of the Company _____ Printed Name and Printed Title of Person Signing	The SBE/MBE/WBE/DIS Contractor / Vendor, submitting this report, ***DID NOT SUPPLY MATERIALS*** to the General Contractor or its Subcontractors, for the monthly reporting period listed above and for use in the aforesaid contract. I Agree:_____/Date:--_____ Signature of the Head of the Company _____ Printed Name and Printed Title of Person Signing

SECTION 15
Concluding Statement

Point of Statutory and/or Regulatory Reference: Contract Compliance Regulations Section 46a-68j-27(10)

Set-Aside Plans shall contain a concluding provision signed and dated by the contractor stating that the contractor:

A) has read the plan and that the contents of the plan are true and correct to the best of his or her knowledge and belief;

B) pledges his or her best good faith efforts to achieve the objectives of the plan within established timetables.

INSTRUCTIONS:

The *Concluding Statement* must be signed and dated by the head of the company and by the AA/EOE Officer. The signatures must be original.

SAMPLE

CONCLUDING STATEMENT

I have read and pledge my full support to all sections of this Affirmative Action Plan, and the commitments therein, are true and correct to the best of my knowledge and I pledge my “best good faith efforts" to achieve the objectives of the Plan within the established time frames.

The implementation of the goals in this Plan will be evidence that XYZ Company is willing to cooperate with the Commission on Human Rights and Opportunities in its effort to promote Equal Opportunity Employment and affirmative action in the State of Connecticut. I will continue my commitment and total support to the principles of a strong Affirmative Action Plan for this Company.

Date	Head of Company’s Signature
	Printed Name and Printed Title
Date	AA/EOE Officer’s Signature
	Printed Name