

GENERAL CONTRACTOR MANUAL FOR AFFIRMATIVE ACTION COMPLIANCE

The Affirmative Action Compliance package is provided by CHFA to assist general contracting companies in completing their Affirmative Action Compliance, as required by the General Contractor Agreement, Assignment & Consent, pursuant to the provisions of the Connecticut Housing Finance Authority Act, Chapter 134 of the Connecticut General Statutes, as amended. Plan is required for CHFA provided financing projects (Construction-only or Construction to Permanent or Permanent-only loans).

Every effort has been made to anticipate problems and questions that commonly arise when completing these forms. **READ ALL INSTRUCTIONS BEFORE BEGINNING.** Complete each section in its entirety, providing all information requested.

If one of the requested sections is not applicable at this time, please state that and indicate that it will be submitted when it is applicable. For example, if bids have been received but not decided upon, state that the form for recording “why bids were not accepted” will be sent when the decisions are made and add “**TO BE DETERMINED**” to each page where applicable.

NOTE: 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.

GENERAL INSTRUCTIONS:

- First, check your package to ascertain that it is complete. Each package should contain compliance pages 1 – 18. If any pages are missing, please contact this office.
- Type or print in **black ink** all information requested. Electronic package must be submitted in color and all signature documents must be executed in **blue ink**.
- To allow adequate time for review and revisions, the Affirmative Action Compliance must be submitted by the General Contractor of a CHFA financed development via ShareFile **at least thirty (30) days prior to the anticipated date of the Initial Loan Closing.**
- Please upload completed packages (and monthly reports) via ShareFile to the designated AA folder (originals are not needed if all documents are clear and legible via upload) or mail to:
Processing and Reporting Unit -- Multifamily
Connecticut Housing Finance Authority
999 West Street
Rocky Hill, CT 06067-4005
- Questions can be directed to **aap@chfa.org**

COVER PAGE (Page 1):

The sample provided shall be used as the format. Specifically note the following:

- Company Name – Provide complete legal name of company. **Do not use acronyms or abbreviations.**
- Address – Provide the company’s complete current address. Also include street address if different from mailing address.
- Period covered – Plan should cover the date action is started through completion of the project.
- Signature – Provide clearly printed and/or typed name and title of the person performing equal employment opportunity duties and that of the Chief Executive Officer of the General Contractor. Signatures are required in the designated spaces.
- The name of the development, as well as the CHFA project number should also be listed.

POLICY STATEMENT (Page 2):

The company can adopt the statement provided and fill in the applicable information or write its own policy statement. If a company elects to write its own policy, **the first paragraph of the sample provided must be included without changes.** The policy must include all protected classes and references to compliance with applicable laws, statutes, and regulations. In addition, the policy must apply to all phases of the employment process. The name of the person responsible for the day-to-day activities should also be included. It should be dated and signed by the Chief Executive Officer.

INTERNAL COMMUNICATION (Page 3):

This section of the Affirmative Action Requirements describes actions the company should take to inform present employees about Company equal employment opportunity policies and affirmative action hiring commitments. You should also describe any additional actions that you do or have planned to do.

EXTERNAL COMMUNICATION (a.k.a. OUTREACH or MARKETING) (Page 4):

This section of the Affirmative Action Compliance describes actions the company should take to inform prospective employees and subcontractors, employment resources and the public about the Company’s commitment to equal employment opportunity and affirmative action. It should also describe any additional actions that are done or planned.

ORGANIZATIONAL ANALYSIS (Page 5):

Provide a list of trades or occupations that will be employed in this project.

AFFIRMATIVE ACTION STEPS (Page 6-7):

The General Contractor shall agree to the eighteen specific steps listed in Section I.(f) of the General Contractor Agreement, Assignment & Consent (sample General Contractor Agreement, Assignment & Consent is available on CHFA website, page 109 of [Master of Loan Documents Sample](#) (Base_Form_4-27-16)).

Please number your statements 1 through 18 so that each numbered item matches its corresponding numbered step from the General Contractor Agreement, Assignment & Consent.

AFFIRMATIVE ACTION GOAL (Pages 8-9):

This section should list the projected percentages of the total workforce hours that will be worked by all minority trade workers and female trade workers. These percentages should be reflective of the worker availability statistics for the area where the development will be constructed.

SUBCONTRACTOR OUTREACH/RECRUITMENT (Pages 10-12):

Be sure to list Associations on page 11, only Media resources at the top of page 12, and all other organizations and referral sources in the final section of page 12.

CONTRACTORS ESTIMATE INFORMATION (Pages 13-15):

A copy of the Affirmative Action in Employment form must be submitted without changes for each contract negotiated. When the contract is finalized, ALL subcontractors submitting estimates, whether they are accepted or not, should be listed on the Contractor's Estimate Information form. **All subcontractors hired for work** on the development are required to sign and submit the Affirmative Action in Employment form on page 15. The affirmation document should be used as provided in the package without changes. These affirmations must be submitted to CHFA with the Contractors Estimate Information.

PROJECT REPORTING AND MONITORING PROCEDURES (Pages 16-17):

The contractor must affirm their commitment to submit the Utilization Report (Form CHFA-257) on a monthly basis. Reports must be obtained from all subcontractors hired for work on the development regardless of minority status.

CONCLUDING STATEMENT (Page 18):

The signature of the Chief Executive Officer of the General Contractor and the EEO/AA Officer are required to evidence their support of the Affirmative Action Compliance.

**AFFIRMATIVE ACTION PLAN
FOR
EQUAL OPPORTUNITY EMPLOYMENT**

Company Name _____

Company Address _____

Period Covered _____ through project completion.
(Date submitted)

Date Signature of EEO/Affirmative Action Officer

Printed name and title of EEO/AA Officer

Date Signature of Company CEO

Printed name of CEO

This Affirmative Action Plan is submitted for:

(Name of Development) CHFA Project
Number _____

AFFIRMATIVE ACTION/EQUAL OPPORTUNITY EMPLOYMENT (EOE)
POLICY STATEMENT

_____ (hereafter referred to as "The Company")
(Name of Company)

hereby reaffirms its policy of practicing equality of employment opportunities to all regardless of race, creed, color, national origin or ancestry, sex, marital status, age, sexual orientation, genetic information, learning disability, present or past history of mental disability, mental retardation, or physical disability (except as permitted in section 46a-60 of the General Statutes), or other classification(s) protected by state or federal law.

This policy applies to all phases of the employment process such as recruitment, selection, appointment and placement, training, upward mobility, transfers, layoffs and recalls. All compensation, benefits, transfers, education and tuition assistance, social and recreation programs will be administered according to the EOE policy.

The Company complies with local, state, and federal laws on the subject of equal employment opportunity as well as provides affirmative efforts to recruit those persons who may have formerly been excluded from the mainstream of the economic system.

Managers and supervisory staff are being advised of their responsibility to ensure the success of the program.

Ultimate responsibility for the Affirmative Action Program rests with the Chief Executive Officer. However, the day-to-day duties will be coordinated by _____,
_____ (Title), who has been designated as Affirmative Action Officer.

This Affirmative Action Plan has my full support. In addition, each manager and supervisor as well as all employees are to aid in development and implementation of the program and will be held responsible for compliance to its objectives.

Printed Name of CEO/President

Date

Signature of CEO/President

INTERNAL COMMUNICATION

- A copy of the Affirmative Action/Equal Opportunity Employment (EOE) Policy Statement will be distributed to every employee.
- Managers and supervisors will be made aware of the Affirmative Action Program by orientation sessions.
- The policy statement will be displayed on the company bulletin board.
- The Affirmative Action Program and equal employment policy will be described in the supervisors' handbook, employees' handbook, and other company publications.
- Please describe any additional actions planned:

EXTERNAL COMMUNICATION

- The following statement will be included in all employment recruiting notices.

“Affirmative Action/Equal Opportunity Employer”

- The union(s), if applicable, with which the workers are affiliated will be advised in writing of the Affirmative Action Program. It will be advised of the hiring goals and of the expectation that the union will cooperate in achievement of the goals.
- Regular recruitment sources, community ethnic groups, women’s organizations, advocate, and rehabilitation groups for the handicapped and the aged will be notified in writing of the company’s Affirmative Action/Equal Opportunity Employment policy.
- Major subcontractors, vendors and suppliers will be informed in writing of the Affirmative Action/Equal Opportunity Employment policy.
- Please describe any additional actions planned:

ORGANIZATIONAL ANALYSIS

This section should include a listing of all 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).

AFFIRMATIVE ACTION STEPS

Section I.(f) of the General Contractor Agreement, Assignment & Consent lists 18 specific affirmative action steps to be taken, which steps shall be at least as extensive and specific as the following:

Contractor shall agree:

1. Notify Minority recruitment sources and community organizations, in writing, that Contractor has employment opportunities available and shall maintain records of the organizations' responses.
2. In hiring Minority journeymen, helpers, apprentices, and trainees (where applicable), advertise in Minority newspapers, as well as utilize other available resources.
3. Maintain a file of the names and addresses of Minority workers referred to Contractor, what action was taken with respect to each such referred worker and the reasons therefore. If such worker was not employed by Contractor, Contractor's file shall document this and the reasons therefore.
4. Promptly notify the Authority when (i) any union or unions with which Contractor has a collective bargaining agreement have not referred to Contractor a Minority worker sent by Contractor or (ii) Contractor has other information that the union referral process has impeded Contractor in efforts to meet its goals.
5. Participate in training programs including apprenticeship, trainee, and journeyman programs.
6. Disseminate its affirmative action/equal employment opportunity policy within its own organization by including such policy in any policy manual; by publicizing it in firm publications, e.g., newspaper(s), newsletter(s), and annual report(s); by conducting meetings to explain and discuss the policy; by posting the policy in conspicuous places on the Development site; and by specific review of the policy with employees.
7. Disseminate its affirmative action/equal employment opportunity policy externally by informing and discussing it with all recruitment sources; by advertising in Minority newspapers; and by notifying and discussing it with all subcontractors and suppliers with whom Contractor does or anticipates doing business.
8. Make specific recruitment efforts directed at Minority organizations, schools with Minority students, Minority recruitment organizations, and Minority training organizations within Contractor's recruitment area.
9. Make efforts to encourage present Minority employees to recruit others.
10. Validate all tests and other selection requirements which adversely affect the opportunities of Minorities by showing that such requirements are relevant to performance on the job(s) in question.
11. Use its best efforts to make available after-school, summer, and vacation employment for Minority youth.

12. Use good faith efforts to develop on-the-job training opportunities and participate and assist in the development of off-site Minority training programs.
13. Evaluate all Minority personnel for promotional opportunities and encourage Minority employees to seek such opportunities.
14. Assure that seniority practices, Job Classifications, craft categories, and promotion procedures do not have a discriminatory effect.
15. Assure that all firm facilities and activities are non-segregated.
16. Monitor all personnel activities to assure that its Affirmative Action Plan is being carried out.
17. Undertake a good faith effort, as hiring opportunities occur, to include a specific percentage of minority and female trade workers. Such percentage shall be based on participation goals for the Metropolitan Statistical Area (MSA) in which the Development is located.
18. Require that all subcontractors affirm, in writing, their commitment to affirmative action in employment.

AFFIRMATIVE ACTION GOAL

_____ will make a good faith effort to include:
(Name of Company)

_____ % minority workers and

_____ % female trade workers

on construction of _____
(Development Name)

to be located in _____.
(Metropolitan Statistical Area)

Minority/Female Trade Worker Availability is listed below, and the Metropolitan Statistical Areas are listed on the following page.

PROJECT WORKSITE AFFIRMATIVE ACTION HIRING GOALS
State Metropolitan Statistical Area (MSA)
Minority/Female Trade Worker Availability

MSA	% Minority Workers Availability	% Female Workers Availability
Bridgeport	14%	6.9%
Hartford	15%	6.9%
New Britain	11%	6.9%
New Haven	14%	6.9%
New London/Norwich	8%	6.9%
Norwalk	17%	6.9%
Stamford	17%	6.9%
Waterbury	10%	6.9%
Bristol	2%	6.9%
Danbury	4%	6.9%
Middletown	8%	6.9%
Balance of State	2%	6.9%

CONNECTICUT METROPOLITAN STATISTICAL AREAS

<u>MSA – Bridgeport</u>	<u>MSA – Hartford</u>	<u>MSA – New Haven</u>	<u>Balance of State</u>
Ansonia	Andover	Bethany	Ashford
Beacon Falls	Avon	Branford	Brooklyn
Bridgeport	Barkhamsted	Cheshire	Canaan
Derby	Bloomfield	Clinton	Chaplin
Easton	Bolton	East Haven	Chester
Fairfield	Canton	Guilford	Colebrook
Milford	Colchester	Hamden	Cornwall
Monroe	Columbia	Killingworth	Deep River
Oxford	Coventry	Madison	Eastford
Seymour	East Granby	Meriden	Essex
Shelton	East Haddam	New Haven	Goshen
Stratford	East Hartford	North Branford	Hampton
Trumbull	East Windsor	North Haven	Hartland
	Ellington	Orange	Harwinton
<u>MSA – Bristol</u>	Enfield	Wallingford	Kent
Bristol	Farmington	West Haven	Killingly
Burlington	Glastonbury	Woodbridge	Lebanon
Plymouth	Granby		Litchfield
	Hartford	<u>MSA – New London/Norwich</u>	Lyme
<u>MSA - Danbury</u>	Hebron	Bozrah	Mansfield
Bethel	Manchester	Canterbury	Morris
Bridgewater	Marlborough	East Lyme	Norfolk
Brookfield	New Hartford	Franklin	North Canaan
Danbury	Newington	Griswold	Old Saybrook
New Fairfield	Rocky Hill	Groton	Plainfield
New Milford	Simsbury	Ledyard	Pomfret
Newtown	Somers	Lisbon	Putnam
Redding	South Windsor	Montville	Roxbury
Ridgefield	Stafford	New London	Salisbury
Sherman	Suffield	North Stonington	Scotland
	Tolland	Norwich	Sharon
<u>MSA - Middletown</u>	Vernon	Old Lyme	Sterling
Cromwell	West Hartford	Preston	Thompson
Durham	Wethersfield	Salem	Torrington
East Hampton	Willington	Sprague	Union
Haddam	Windsor	Stonington	Voluntown
Middlefield	Windsor locks	Waterford	Warren
Middletown			Washington
Portland	<u>MSA – Norwalk</u>	<u>MSA – Waterbury</u>	Westbrook
	Norwalk	Bethlehem	Winchester
<u>MSA – New Britain</u>	Weston	Middlebury	Windham
Berlin	Westport	Naugatuck	Woodstock
New Britain	Wilton	Prospect	
Plainville		Southbury	
Southington	<u>MSA – Stamford</u>	Thomaston	
	Darien	Waterbury	
	Greenwich	Watertown	
	New Canaan	Wolcott	
	Stamford	Woodbury	

SUBCONTRACTOR OUTREACH / RECRUITMENT

In this section of the Affirmative Action Plan, the Company should document the “good faith efforts” that it undertakes to include minority and woman owned companies as project subcontractors or suppliers of material. For example, the Company should identify in this section the steps that will be taken to locate and solicit estimates from minority and woman owned companies.

The forms on pages 11 and 12 should be used to list contractor associations, minority organizations, and referral sources contacted.

The form on page 13, “Contractor’s Estimate Information”, should be used to identify ALL estimates received for each subcontract. This form should be submitted to CHFA when each subcontract is signed. Each subcontractor hired should complete and sign the form titled “Affirmative Action in Employment” on page 15 regardless of minority status. You should also obtain from the subcontractor, if applicable, a copy of their “Certificate of Eligibility” issued through the “Small Contractors Set-Aside Program” by the State of Connecticut Department of Administrative Services. Each of the aforementioned forms should be submitted with the “Contractor’s Estimate Information” form.

LIST OF MINORITY SUBCONTRACTOR AND MINORITY CONTRACTOR ASSOCIATIONS CONTACTED IN THE PROCESS OF SELECTING SUBCONTRACTORS

Association's Name and Address	Trade	Date Contacted
1. _____ _____ _____	_____	_____
2. _____ _____ _____	_____	_____
3. _____ _____ _____	_____	_____
4. _____ _____ _____	_____	_____
5. _____ _____ _____	_____	_____
6. _____ _____ _____	_____	_____

**LIST OF MINORITY MEDIA AND ORGANIZATION AND
REFERRAL SOURCES CONTACTED**

Minority Media:

	Name	Phone Number	Date Contacted
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____

Organizations and Referral Sources:

	Name	Phone Number	Date Contacted
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____

**THE REASON FOR DECLINING MINORITY
SUBCONTRACTOR/CONTRACTOR'S BID**

Name of Subcontractor/Contractor

Reason

1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____
6.	_____	_____
7.	_____	_____
8.	_____	_____
9.	_____	_____
10.	_____	_____
11.	_____	_____
12.	_____	_____
13.	_____	_____
14.	_____	_____

**AFFIRMATIVE ACTION IN EMPLOYMENT
ALL CONTRACTORS AND SUBCONTRACTORS**

(Name of Development)

The Connecticut Housing Finance Authority requires that all contractors and subcontractors engaged in the construction or rehabilitation of housing assisted by the Authority shall take affirmative action to provide equal opportunity for employment without discrimination as to race, creed, national origin, ancestry, or sex. The developer and contractors shall utilize creative and aggressive approaches to provide equal opportunity for employment.

During the performance of any contracts for the construction of the above-captioned development (the "Development") the undersigned contractor (the "Contractor") agrees to comply with CHFA policy as follows:

1. To abide by the provisions of Executive Order 11246 and incorporate the Order in all nonexempt contracts entered into by the Contractor.
2. Not to discriminate against any employee or applicant for employment because of race, creed, color, national origin or ancestry, sex, marital status, age, sexual orientation, genetic information, learning disability, present or past history of mental disability, mental retardation, or physical disability or any other classifications protected by state and federal law in connection with performance of work under this Program, or other classifications protected by state or federal law. The aforesaid provisions shall include, but not be limited to, the following: advertising, recruitment, layoff, termination, rates of pay or other forms of compensation, conditions or privileges of employment, and selection for apprenticeship. The contractor shall hereafter post on the Development site in conspicuous places, available for employees and applicants for employment, notices to be provided by Authority citing the applicable provisions of the Connecticut General Statutes.
3. In hiring minority journeymen, helpers, apprentices, and trainees (where applicable), to advertise in minority newspapers, and to rely on referrals from the Authority, as well as traditional methods utilized by the construction industry.
4. In the performance of any contracts for the construction of the Development, and prior to completion of such contracts, not to discriminate in hiring or employment on grounds of race, color, creed, national origin, ancestry, sex or sexual orientation or on grounds of any other classifications protected by state or federal law, or to discriminate on such grounds in the selection or retention of subcontractors, or in the procurement of materials or services or rentals of equipment.

Agreed to by:

Name of Contractor

Signature

Date

Name (type or print)

Title

PROJECT REPORTING AND MONITORING PROCEDURES

In this section of the Affirmative Action Plan, the Company includes the commitment to submit monthly work hour reports using standard form CHFA-257 on the next page or similar equivalent form to report on the participation of minority and female trade workers for itself and for all subcontractors who work on the project. **THIS FORM MUST BE SUBMITTED MONTHLY BY ALL CONTRACTORS AND SUBCONTRACTORS** working on the development, regardless of minority status, from initial closing until completion. Failure to submit reports may result in withholding of retainage.

When a contractor has completed their work on the project, their final form CHFA-257 should be marked as "FINAL".

INSTRUCTIONS FOR FILING EMPLOYMENT UTILIZATION REPORT (Form CHFA-257)

The Monthly Employment Utilization Report is to be completed by each subject contractor (both prime and subcontractors) and signed by a responsible official of the company. The reports are to be filed each month during the term of the contract, and they shall include the total workhours worked for each employee level in each designated trade for the entire reporting period. The prime contractor shall submit a report for its aggregate work force and shall collect and submit reports for each subcontractor's aggregate work force to the Compliance Agency that is funding their construction project.

Form CHFA-257 (Monthly Employment Utilization Report)

- o Fill out all required cells in the sheet every month from the date that the project started.
- o For the months employee(s) did not work on the project site, fill out one form for each month & check the box marked "No Work Performed" which is located under Company Name and Trade.
- o 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 CHFA-257, one for each month.

Ex: If employee(s) did not work in Jan. fill out a Form CHFA-257 for the month of Jan. & check the "No Work Performed" box.

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

- o 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 CHFA-257 & check the box marked "FINAL" which is located under Company Name and Trade.

*** Minority is defined as including Blacks, Hispanics, American Indians, and Asian and Pacific Islander – both men and women. ***

CONCLUDING STATEMENT

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

Date

Chief Executive Officer

Date

Affirmative Action Officer