This form is **MANDATORY** and must be completed, signed, and returned with the vendor’s bid.

**ACKNOWLEDGMENT OF CONTRACT COMPLIANCE NOTIFICATION TO BIDDERS**

INSTRUCTION: Bidder must sign acknowledgment below, and return this form to the awarding agency with the bid proposal.

The undersigned duly authorized representative of the bidding vendor acknowledges receiving and reading a copy of the **NOTIFICATION TO BIDDERS*.*** *(Please print name under signature line.)*

Signature

Title

Date

**On behalf of:**

Vendor Name

Street Address

City State Zip

Federal Employee Identification Number

(FEIN/SSN)

This form is **MANDATORY** and must be completed, signed, and returned with the vendor’s bid.

**CONTRACTOR/GRANTEE COMPLIANCE REQUIREMENTS**

**NOTE: - THESE REQUIREMENTS APPLY TO ALL CONTRACTORS - INCLUDING GRANTEES AND INDIVIDUALS**

Connecticut General Statute Section 4a-60 was adopted to insure that State agencies do not enter into contracts with organizations or businesses that discriminate against protected class persons. To carry out the provisions of the Statute, the Commission on Human Rights and Opportunities developed Regulations concerning Contract Compliance and approval of Contract Compliance Programs which impose certain obligations on State agencies as well as contractors doing business with the State of Connecticut.

These regulations require that as an awarding agency, in this instance, the Office of Policy and Management

(OPM), must consider the following factors in its selection of any contractor:

 The bidder’s success in implementing an affirmative action plan;

 If the bidder does not have a written affirmative action plan, the bidder’s promise to

develop and implement a successful affirmative action plan;

 The bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;

 The bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and

 The bidder’s promise to set aside a portion of the contract for legitimate minority

business enterprises.

In order to assess the factors above, contractors are required to provide OPM with information about their organizations.

A package of information is provided with forms and instructions that must be completed, signed by responsible parties and returned to OPM with the response to the Request for Proposal or with the Grant Application.

PLEASE NOTE: *If you indicate that you will be sub-contracting a portion of this contract, you will be sent further forms for completion as required in the contract compliance regulations. Thank you for your cooperation.*

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES CONTRACT COMPLIANCE REGULATIONS NOTIFICATION TO BIDDERS**

(Revised 09/3/15)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-

60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and

46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section

46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4)Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

(a) the bidder’s success in implementing an affirmative action plan;

(b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to

46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive; (c) the bidder’s promise to develop and implement a successful affirmative action plan;

(d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and

(e) the bidder’s promise to set aside a portion of the contract for legitimate minority

business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

The following BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder’s good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) Definition of Small Contractor

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding fifteen million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

**MANAGEMENT:** Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

**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, management analysts, labor relations specialists, and budget, credit, and financial analysts.

**MARKETING AND SALES:** Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers and sales representatives including wholesale.

**LEGAL OCCUPATIONS:** In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegals, legal assistants. **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.

**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, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

**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.

**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 offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

**PRODUCTION WORKERS:** The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic; and production workers.

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information) (Page 3)

White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Black(not of Hispanic Origin)- All persons having

origins in any of the Black racial groups of Africa. Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.

American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

**BIDDER CONTRACT COMPLIANCE MONITORING REPORT**

PART I - Bidder Information

|  |  |
| --- | --- |
| Company Name Street Address City & State Chief Executive | Bidder Federal Employer  Identification Number  Or  Social Security Number |
| Major Business Activity  (brief description) | Bidder Identification  (response optional/definitions on page 1)  -Bidder is a small contractor. Yes No  -Bidder is a minority business enterprise Yes No  (If yes, check ownership category)  Black Hispanic Asian American American Indian/Alaskan Native Iberian Peninsula Individual(s) with a Physical Disability Female  - Bidder is certified as above by State of CT Yes No |
| Bidder Parent Company  (If any) |
| Other Locations in Ct.  (If any) |

PART II - Bidder Nondiscrimination Policies and Procedures

|  |  |
| --- | --- |
| 1. Does your company have a written Affirmative Action/Equal Employment  Opportunity statement posted on company bulletin boards?  Yes No | 7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.?  Yes No |
| 2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?  Yes No | 8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability?  Yes No |
| 3. Do you notify all recruitment sources in writing of your company’s  Affirmative Action/Equal Employment Opportunity employment policy?  Yes No | 9. Does your company have a mandatory retirement age for all employees?  Yes No |
| 4. Do your company advertisements contain a written statement that you are an  Affirmative Action/Equal Opportunity Employer? Yes No | 10. If your company has 50 or more employees, have you provided at least two (2)  hours of sexual harassment training to all of your supervisors?  Yes No NA |
| 5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes No | 11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes No NA |
| 6. Does your company have a collective bargaining agreement with workers?  Yes No  6a. If yes, do the collective bargaining agreements contain  non-discrim ination clauses covering all workers? Yes No  6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct?  Yes No | 12. Does your company have a written affirmative action Plan? Yes No  If no, please explain. |
| 13. Is there a person in your company who is responsible for equal  employment opportunity? Yes No  If yes, give name and phone number. |

Part III - Bidder Subcontracting Practices (Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes No

1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise. (defined on page 1 / use additional sheet if necessary)

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes No

PART IV - Bidder Employment Information Date:

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| JOB CATEGORY \* | OVERALL TOTALS | WHITE (not of Hispanic origin) | | BLACK  (not of Hispanic origin) | | HISPANIC | | ASIAN or PACIFIC ISLANDER | | AMERICAN INDIAN or  ALASKAN NATIVE | |
|  |  | Male | Female | Male | Female | Male | Female | Male | Female | male | female |
| Management |  |  |  |  |  |  |  |  |  |  |  |
| Business & Financial Ops |  |  |  |  |  |  |  |  |  |  |  |
| Marketing & Sales |  |  |  |  |  |  |  |  |  |  |  |
| Legal Occupations |  |  |  |  |  |  |  |  |  |  |  |
| Computer Specialists |  |  |  |  |  |  |  |  |  |  |  |
| Architecture/Engineering |  |  |  |  |  |  |  |  |  |  |  |
| Office & Admin Support |  |  |  |  |  |  |  |  |  |  |  |
| Bldg/ Grounds  Cleaning/Maintenance |  |  |  |  |  |  |  |  |  |  |  |
| Construction & Extraction |  |  |  |  |  |  |  |  |  |  |  |
| Installation , Maintenance  & Repair |  |  |  |  |  |  |  |  |  |  |  |
| Material Moving Workers |  |  |  |  |  |  |  |  |  |  |  |
| Production Occupations |  |  |  |  |  |  |  |  |  |  |  |
| TOTALS ABOVE |  |  |  |  |  |  |  |  |  |  |  |
| Total One Year Ago |  |  |  |  |  |  |  |  |  |  |  |
| FORMAL ON THE JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE) | | | | | | | | | | | |
| Apprentices |  |  |  |  |  |  |  |  |  |  |  |
| Trainees |  |  |  |  |  |  |  |  |  |  |  |

\*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)

EMPLOYMENT FIGURES WERE OBTAINED FROM: ----- VISUAL CHECK

----- EMPLOYMENT RECORDS

----- OTHER

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contractor's/Grantee’s Authorized Signature Date

PART V - Bidder Hiring and Recruitment Practices (Page 5)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used) | | | | 2. Check (X) any of the below listed requirements that you use as  a hiring qualification  (X) | | 3. Describe below any other practices or actions that you take which  show that you hire, train, and promote employees without discrimination |
| SOURCE | YES | NO | % of applicants provided by source |
| State Employment  Service |  |  |  |  | Work Experience |
| Private Employment  Agencies |  |  |  |  | Ability to Speak or  Write English |
| Schools and Colleges |  |  |  |  | Written Tests |
| Newspaper  Advertisement |  |  |  |  | High School Diploma |
| Walk Ins |  |  |  |  | College Degree |
| Present Employees |  |  |  |  | Union Membership |
| Labor Organizations |  |  |  |  | Personal  Recommendation |
| Minority/Community  Organizations |  |  |  |  | Height or Weight |
| Others (please identify) |  |  |  |  | Car Ownership |
|  |  |  |  |  | Arrest Record |
|  |  |  |  |  | Wage Garnishments |

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

|  |  |  |  |
| --- | --- | --- | --- |
| (Signature) | (Title) | (Date Signed) | (Telephone) |