Series: 2004-05

Circular Letter: C-5

To: Superintendents of Schools
    Executive Directors of RESCs
    Bidders, Grantees and Contractors

From: Betty L. Sternberg, Commissioner of Education

Date: January 3, 2005


The State Commission on Human Rights and Opportunities (CHRO) requires that all state contracts and grants include the provisions of Conn. Gen. Statutes 4a-60 and 4a-60a regarding nondiscrimination and affirmative action. Further, CHRO, which has the statutory responsibility to review, monitor and enforce these laws, requires all state agencies to collect information concerning the affirmative action practices of their contractors and grantees. The attached “Affirmative Action Requirements and Standard Statement of Assurances” has been prepared by the Department of Education to collect information required by these laws and the Administrative Regulations of Connecticut State Agencies (section 46a-68j-31 through 43).

Rather than filing a separate Affirmative Action Requirement and Standard Statement of Assurances with each grant application or contract, local and regional boards of education and regional educational service centers may file the enclosed packet and statement once for the biennial period 2005-2007.

The documents you submit under this request are public information, are shared with CHRO, and are assumed to be both accurate in their information and implemented as stated. Failure in either regard could result in a loss of state and federal funds as a result of action by this agency or other governmental body.

The biennial filing shall be used by the Department to report the appropriate data to CHRO pursuant to state regulations. However, please note that if your grant or contract calls for the use of a subcontractor, you must file a completed “Contractor’s Minority Business Enterprises Utilization Form” with that particular grant or contract.
The Connecticut State Department of Education “Standard Statement of Assurances” for all federal and state grants and contracts is a separate document unrelated to the Affirmative Action Requirements, but with one biennial submission significantly reduces paperwork.

The completed requirements for your biennial filing is due on or before February 4, 2005, at the following address:

Affirmative Action Office
State Department of Education
165 Capitol Avenue (Room 336)
P. O. Box 2219
Hartford, Connecticut 06145

Please contact Carl Jordan or Barbara Brown in the Affirmative Action Office (860-713-6530) if you have any questions. Thank you.

BJS:cjb
Enclosures
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS

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 Bidder must sign acknowledgment below, and return acknowledgment to awarding agency along with bid proposal.

The undersigned acknowledges receiving and reading a copy of the “Notification to Bidders” form.

__________________________  ______________________
Signature                                              Date

On behalf of:

__________________________

P:CHRO Notification to Bidders
Rev 6-3-04
Sec. 46a-68j-23. Obligations of contractors

Every contractor awarded a contract subject to contract compliance requirements shall:

1. comply fully with all federal and State antidiscrimination and contract compliance laws, and shall not discriminate or permit a discriminatory practice to be committed;
2. cooperate fully with the commission;
3. submit periodic reports of its employment and subcontract practices in such a form, in such a manner and at such a time as may be prescribed by the commission;
4. provide reasonable technical assistance and training to minority business enterprises to promote the participation of such concerns in State contracts and subcontracts;
5. make a good faith effort, based upon the availability of minority business enterprises in the labor market area, to award a reasonable proportion of all subcontracts to such enterprises;
6. maintain full and accurate support data for a period of two (2) years from the date the record is made or the date the contract compliance form is submitted, whichever is later, provided that this provision shall not excuse compliance with any other applicable record retention statute, regulation or policy providing for a period of retention in excess of two (2) years;
7. not discharge, discipline or otherwise discriminate against any person who has filed a complaint, testified or assisted in any proceeding with the commission;
8. make available for inspection and copying any support data required by the commission, and make available for interview any agent, servant or employee having knowledge of any matter concerning the investigation of a discriminatory practice complaint or any matter relating to a contract compliance review;
9. include a provision in all subcontracts with minority business enterprises requiring that the minority business enterprise provide the Commission with such information on its structure and operations as the Commission finds necessary to make an informed determination as to whether the standards of Section 4a-60 of the Connecticut General Statutes, as amended by Section 2 of Public Act 89-253, have been met; and
10. undertake such other reasonable activities or efforts as the Commission may prescribe to ensure the participation of minority business enterprises as State contractors and subcontractors

Sec. 46a-68j-24. Utilization of minority business enterprises

a. Contractors shall make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on all projects subject to contract compliance requirements.
Report all permanent full-time or part-time employees, including apprentice and on-the-job trainees. Enter the numbers on all lines and in all columns.

<table>
<thead>
<tr>
<th>JOB CATEGORIES</th>
<th>OVERALL TOTALS</th>
<th>A WHITE (NOT OF HISPANIC ORIGIN)</th>
<th>B BLACK (NOT OF HISPANIC ORIGIN)</th>
<th>C HISPANIC</th>
<th>D ASIAN OR PACIFIC ISLANDER</th>
<th>E AMER. INDIAN OR ALASKAN NATIVE</th>
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<td>(Sum of all Columns, A thru E Male and Female)</td>
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<td>FEMALE</td>
<td>MALE</td>
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<td>MALE</td>
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<td>Officials and Managers</td>
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<td>Service Workers</td>
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<tr>
<td>TOTALS ABOVE</td>
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</tbody>
</table>

Do you use minority businesses as subcontractors or suppliers? □ YES □ NO

If Ct. based, do you post all employment openings with the State of Connecticut Employment Service? □ YES □ NO

Do you implement a written Affirmative Action Plan? □ YES □ NO

DESCRIBE YOUR RECRUITMENT, HIRING, TRAINING AND PROMOTION ANTIDISCRIMINATION PRACTICES
DEFINITIONS FOR WORKFORCE ANALYSIS

RACE/ETHNIC IDENTIFICATION:

You may acquire the race/ethnic information necessary for this report either by visual surveys of the Workforce, or from records as to the identity of employees after the starting date of employment.

Please note that conducting a visual survey and keeping records of the race/ethnic identity of employees is legal in all jurisdictions and under all Federal and State Laws.

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purpose of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group.

DESCRIPTION OF JOB CATEGORIES:

Officials and managers: Occupations requiring administrative managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: officials, executives, middle managers, plan managers, department managers, and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, railroad conductors and yard masters, ship captains, mates and other officers, farm operators and managers, and kindred workers.

Professionals: Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: accountants and auditors, airplane pilots, and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, personnel and labor relations specialists, physical scientists, physicians, social scientists, teachers, and kindred workers.

Technicians: Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through two (2) years of post-high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training. Includes: computer programmers, drafters, engineering aides, junior engineers, mathematical aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science), and kindred workers.

Sales: Occupations engaging wholly or primarily in direct selling. Includes kindred workers.

Office and clerical: All clerical type work regardless of level of difficulty. Includes kindred workers.
Craft Workers: (skilled) - Manual workers of relatively high skill level having a thorough comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. Includes kindred workers.

Operatives: (semiskilled) - Workers who operate machine or processing equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. Includes kindred workers.

Laborers: (unskilled) - Workers in manual occupations which generally require no special training, perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. Includes kindred workers.

On-the job trainees:

Production: Persons engaged in formal training as a craft worker - when not trained under apprentice programs - operative, laborer and service occupations.

White collar: Persons engaged in formal training for clerical, managerial, professional, technical, sales office and clerical occupations.
CONNECTICUT STATE DEPARTMENT OF EDUCATION
STANDARD STATEMENT OF ASSURANCES
GRANT PROGRAMS


THE APPLICANT: ___________________________ HEREBY ASSURES THAT:
(Insert Agency/School Name)

A. The applicant has the necessary legal authority to apply for and receive the proposed grant;

B. The filing of this application has been authorized by the applicant's governing body, and the undersigned official has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application;

C. The activities and services for which assistance is sought under this grant will be administered by or under the supervision and control of the applicant;

D. The project will be operated in compliance with all applicable state and federal laws and in compliance with regulations and other policies and administrative directives of the Connecticut State Board of Education and the State Department of Education;

E. Grant funds shall not be used to supplant funds normally budgeted by the agency;

F. Fiscal control and accounting procedures will be used to ensure proper disbursement of all funds awarded;

G. The applicant will submit a final project report (within 60 days of the project completion) and such other reports, as specified, to the State Department of Education, including information relating to the project records and access thereto as the State Department of Education may find necessary;

H. The Connecticut State Department of Education reserves the exclusive right to use and grant the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records and materials resulting from this project and this grant;

I. If the project achieves the specified objectives, every reasonable effort will be made to continue the project and/or implement the results after the termination of state/federal funding;

J. The applicant will protect and save harmless the State Board of Education from financial loss and expense, including legal fees and costs, if any, arising out of any breach of the duties, in whole or part, described in the application for the grant;

K. At the conclusion of each grant period, the applicant will provide for an independent audit report acceptable to the grantor in accordance with Sections 7-394a and 7-396a of the Connecticut General Statutes, and the applicant shall return to the State Department of Education any moneys not expended in accordance with the approved program/operation budget as determined by the audit;
L. The grant award is subject to approval of the State Department of Education and availability of state or federal funds.

M. The applicant agrees and warrants that Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes concerning the Personal Data Act and Sections 10-4-8 to 10-4-10, inclusive, of the Regulations of Connecticut State Agencies promulgated thereunder are hereby incorporated by reference.

N. **Required Language:**

1) For purposes of this section, "Commission" means the Commission on Human Rights and Opportunities.

For the purposes of this section, "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (a) who are active in the daily affairs of the enterprise, (b) who have the power to direct the management and policies of the enterprise and (c) who are members of a minority, as such term is defined in subsection (a) of Conn. Gen. Statute Section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.

For purposes of this section, "sexual orientation" means having a preference for heterosexuality, homosexuality or bisexuality, having a history of such preference or being identified with such preference, but excludes any behavior which constitutes a violation of part VI of chapter 952 of the general statutes.

2) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation 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, in any manner prohibited by the laws of the United States or of the state of Connecticut. If the contract is for a public works project, 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 project. The contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, 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; (b) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "Affirmative Action-Equal Opportunity Employer" in accordance with regulations adopted by the commission; (c) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or worker's representative of the contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (d) the contractor agrees to comply with each provision of this section and Conn. Gen. Stat. Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive, and with each regulation or relevant order issued by said Commission pursuant to said sections; (e) 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.

3) 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.

4) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

5) The contractor shall include the provisions of subsection (2) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with this section and Conn. Gen. Statute Sections 4a-62, 32-9e, 46a-56 and 46a-68b to 46a-68k, inclusive; provided if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

6) The contractor agrees to comply with the regulations referred to in this section as they exist on the date of this contract and as they may be adopted or amended from time to time during the term of this contract and any amendments thereto.

7) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any matter prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (b) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (c) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56 of the general statutes; (d) 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 which relate to the provisions of this section and section 46a-56 of the general statutes.

8) The contractor shall include the provisions of subsection (7) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56 of the
general statutes; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

I, the undersigned authorized official, hereby certify that these assurances shall be fully implemented.

Signature

Name (typed)

Title (typed)

Date

Rev. 6/99
# Contractor's Minority Business Enterprises Utilization Form

**Name and Address of Awarding Agency:**

**Name and Address of Contractor:**

**Project No:**

**Date Awarded:**

**Date Bid Opened:**

**Notice to Contractors:** Under Section 46a-68j-23(5) of the Contract Compliance Regulations, contractors are required to make good faith efforts to employ Minority Business Enterprises (MBEs) as subcontractors and suppliers of materials on all projects subject to contract compliance requirements. The contract which is referenced above is subject to contract compliance requirements.

**Instructions:** List the name and addresses of all MBEs you have selected as subcontractors and suppliers of materials for this project. If the MBEs selected as subcontractors and suppliers of materials meet the criteria for MBEs set out in Section 4a-60 of Connecticut General Statutes, contractors MUST complete the attached affidavit. If such business are not currently registered with the Department of Economic Development and if the contractor wishes the Commission on Human Rights and Opportunities (CHRO) to consider favorably the selection of an unregistered MBE in the evaluation of the contractor's good faith efforts, contractors MUST complete the attached affidavit. In either case, the affidavit must be filled out in triplicate, with the original sent to the CHRO, Contract Compliance Unit, 21 Grand Street, Hartford, Connecticut 06106, one copy sent to the Awarding Agency; and one copy retained by contractor. If the contractor does not wish the CHRO to consider selection of an unregistered MBE in its evaluation of the contractor's good faith efforts, no affidavit need be made.

*(Attached additional pages if necessary, using same headings.)*

<table>
<thead>
<tr>
<th>Name and Address of All MBE Subcontractor(S) or Supplier(S) of Materials:</th>
<th>Check here if MBE(s) qualify under Section 4a-60 of the Conn. Gen. Statues.</th>
<th>Check here if MBE is unregistered but wants consideration for good faith efforts.</th>
</tr>
</thead>
</table>

This form developed pursuant to Section 46a-68j-23(5) of Regulations of Connecticut state Agencies concerning Contract Compliance.
AFFIDAVIT

I, ______________________________________________ acting on behalf of
(Name of person signing certification)
____________________________________________________ of which I am the
(Contractor)
____________________________________________________ Certify and affirm:
>Title

Check if provision applicable: _____ That the following minority business subcontractors and/or suppliers of
materials that ______________________________________ has hired for Contract No. ____________ with
(Contractor)
meet the criteria for Minority Business Enterprises
set out in
(Awarding Agency)
Section 4a-60 of the Connecticut General Statutes: ______________________________________
(Lists names of Minority Business Enterprises that qualified under current statutory requirements)

Check if provision applicable: _____ That the ______________________________________ has hired the
following minority business subcontractors or suppliers of materials for Contract No. ____________
with
____________________________________________________ that are not registered with the Department
(Awarding Agency)
of
Economic Development, but which should be considered by the Connecticut Commission on Human Rights and
Opportunities when evaluating ______________________________________ the good faith efforts:
(Contractor)

(List names of unregistered MBEs)

I further certify and affirm that I have read and understand the contract compliance requirements codified at Section 4a-60 and Section 46a-71 (d) of the Connecticut General statutes.

I further certify and affirm that I have read and understand the contract compliance Regulations codified at Section 46a-68j-2 I through 43 of the Regulations of Connecticut State Agencies.

I understand that false statements made herein are punishable by law.
(Name of Corporation or Firm)

(Signature and Title of Official Making the Affidavit)

Subscribed and sworn to before me, this ______ day of __________________ 19

____________________________
Notary Public/Commissioner of the Superior Court

My Commission Expires

CERTIFICATE OF CORPORATION

I, ________________________________, certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that ________________________________, who signed said instrument on behalf of the Corporation was then ________________________________
of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

____________________________
(Signature of person Certifying)

(Corporate Seal)
SAMPLE: (You may use this as an example or you may use it as your statement by placing it on your letterhead).

AFFIRMATIVE ACTION
POLICY STATEMENT

It has always been the policy and will continue to be the strong commitment of ____________ and all contractors and subcontractors who do business with ____________ to provide equal opportunities in employment to all qualified persons solely on the basis of job-related skills, ability and merit.

__________ will continue to take affirmative action to ensure that no persons are discriminated against with regard to their race, color, sex, sexual orientation, national origin, ancestry, religion, age, physical disability, mental retardation, marital status, present or past history of mental disorder, learning disability or criminal record. Such action includes, but is not limited to, employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training including apprenticeship. ____________ will continue to make good faith efforts to comply with all federal and state laws and policies which speak to Equal Employment Opportunity and Affirmative Action.

Equal Employment Opportunity is essential, but is not enough to guarantee the full and fair employment of minorities, women or other protected classes. Therefore, Affirmative Action is necessary. Affirmative Action is results - oriented programs used to address and overcome the present effects of past discrimination.

Sexual Harassment, another form of sex discrimination, will not be tolerated in the work place. Therefore, engaging in acts of sexual harassment or any other forms of unlawful discrimination will constitute grounds for disciplinary action.

This Policy Statement is based on both the spirit and the letter of state and federal anti discrimination laws, regulations and executive orders. Accordingly, care is taken to
ensure that no person shall be excluded from participation in, be denied the benefits of, or otherwise be unlawfully discriminated against. Further,

________________________________________ will not knowingly use the services of, patronize or otherwise deal with any business, contractor, subcontractor or agency that engages in acts of unlawful discrimination.

This Affirmative Action Policy Statement reaffirms my personal commitment to the principles of Equal Employment Opportunity and Affirmative Action.

________________________________________  
SIGNATURE

________________________________________  
DATED