

**“AUDITOR’S GOOD FAITH EFFORTS GUIDELINES”  
FOR  
ALL *CONSTRUCTION* CONTRACTS  
COVERED BY EXECUTIVE LAW, ARTICLE 15-A**

**INTRODUCTION:**

Construction firms that are awarded Office of General Services (OGS) contracts should use these Guidelines for the preparation of all **“good faith efforts”** documentation. Please complete and submit the required forms that are used to report your progress in regard to your Affirmative Action requirements. If your firm incurs difficulty in meeting your Affirmative Action responsibilities, these Guidelines can be of great assistance to your firm in preparing the required **“good faith efforts”** documentation.

Responses to information in these Guidelines should be given in an item-by-item format following the numerical sequence as presented. If you fail to adequately document and respond to each item, it may result in a finding of non-compliance. If you need assistance, please contact the Office of Minority and Women-owned Business Enterprises at (518) 473-7083.

**GUIDELINES:**

In order for the Office of Minority and Women-owned Business Enterprises to properly review and make a decision on the level of compliance achieved and documented, please provide the attached outlined information with your **“good faith efforts.”**

**EQUAL EMPLOYMENT OPPORTUNITY (EEO)  
MINORITY AND WOMEN WORKFORCE UTILIZATION  
CONSTRUCTION CONTRACTS**

1. Document the efforts the prime contractor performed to maintain a non-segregated working environment free of harassment, intimidation and coercion, i.e.:
  - a. To provide separate restroom facilities.
  - b. To inform employees of name and duties of the Affirmative Action Officer.
  - c. To have grievance procedures developed and disseminated to employees.
  - d. For EEO posters to be acquired and displayed conspicuously.
2. Document the efforts the prime contractor has undertaken to include minority and women employees in on-going training programs.
3. Provide with your documentation, certified payroll records that indicate sex and ethnicity for each employee.
4. List the services received from any State or private agency that provides employment referrals. Provide a listing of the following recruitment resources that were utilized, including their address and phone numbers:
  - a. Off the street applicants (minority and women).
  - b. Unions providing minority and women applicants.
  - c. Names of recruitment resources utilized.
  - d. All employees actually hired.
  - e. Reason unselected applicant not employed.
5. List the name of the responsible company/corporate official designated as A.A.O. (Affirmative Action Officer) indicating the person's company/corporate status.
6. Indicate the methods utilized in disseminating the EEO policy by providing the following:
  - a. Copies of your firm's EEO policy to the union requesting their cooperation in assisting you in meeting your EEO obligations.
  - b. Copies of document(s) containing collective bargaining agreements.
  - c. Copies of the company newsletter or annual report.
  - d. Notices and minutes of meetings where the EEO policy was reviewed by employees.
  - e. Copy of EEO poster.

**MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES (M/WBE)  
UTILIZATION *CONSTRUCTION* CONTRACTS**

7. Maintain and forward a record of all solicitations of offers for all subcontractors and/or suppliers for the contract. Include circulation of solicitations to minority and women associations, minority and women media publications, and any other business associations utilized.
8. List resources used in identifying certified M/WBEs. Did your firm utilize the Directory of Certified Minority and Women-owned Business Enterprises as a resource document in meeting your M/WBE participation goals? **Did your firm seek additional assistance from the Office of Minority and Women-owned Business Enterprises?**
9. List any special considerations and/or concerns which are preventing adequate M/WBE participation.

**(Revised July 2000)**