Board of Trustees of Community-Technical Colleges
on behalf of
Connecticut Charts-A-Course

Request for Proposal:
Accreditation Facilitation Project
RFP No: CCAC -10-03

Purpose: To solicit proposals identifying organizations or agencies to operate the Accreditation Facilitation Project in the North East Region of Connecticut.

Published by: BOARD OF TRUSTEES OF COMMUNITY-TECHNICAL COLLEGES
December 1, 2009

Also available at: www.ctcharts-a-course.org, www.commnet.edu,
www.das.ct.gov

Mandatory Bidders’ Conference:
December 9, 2009 1:00 pm
Or
December 15, 2009 9:00 am

Board of Trustees of Community-Technical Colleges
61 Woodland Street
Hartford, CT 06105

Please confirm your attendance at either conference. For further questions and to RSVP for the Mandatory Bidders’ Conference contact Deborah Flis at 1-800-832-7784 x 3908 or 203-287-3908 or dflis@ctcharts.org.

Proposals Due: December 22, 2009, 10:00 am
TABLE OF CONTENTS

I. INTRODUCTION ................................................................. Page 3
II. OBJECTIVE AND AVAILABLE FUNDS ...................................... Page 3
III. PROJECT DESIGN AND SCOPE OF SERVICE ......................... Page 4
IV. PROPOSAL REVIEW CRITERA ............................................ Page 5
V. FORMAT FOR PROPOSALS .................................................. Page 5
VI. TERMS AND CONDITIONS .................................................. Page 8

APPENDICES

Appendix A: AFP Regional Map ............................................. Page 10
Appendix B: AFP Facilitator Job Description ............................ Page 11
Appendix C: Application Cover Page ..................................... Page 12
Appendix D: Budget ............................................................... Page 13

STATE OF CONNECTICUT REQUIRED FORMS

Attachment A: Personal Service Agreement (for review)
Attachment B: SEEC Form 10
Attachment C: Nondiscrimination Certification
Attachment D: Contract Compliance Regulations
It is the policy of the Board of Trustees of Community-Technical Colleges that no person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against under any program including employment, because of race, color, religious creed, sex, age, national origin, ancestry, marital status, sexual orientation, mental retardation, and past/present history of mental disorder, learning disability and physical disability.

I. Introduction
The Board of Trustees of Community-Technical Colleges (CTC) is established under C.G.S. 10a-71 et.seq. The System consists of twelve regional community colleges and a system office. Each community college operates as a separate college within the larger community college system. The responsibility for the administration and management of the System, including the oversight and control of financial operations, rests with the Board of Trustees. C.G.S. 10a-72 (b) (1) requires the Board to “make rules for the governance of the...colleges, determine the general policies of said colleges ...and direct the expenditure of said colleges’ funds within the amounts available.” For additional information about the Connecticut Community Colleges, please visit our website at www.commnet.edu.

Connecticut Charts a Course (CCAC) is a department within the Board of Trustees of Community-Technical Colleges and is collaboration between the Department of Social Services (DSS) and CTC. Connecticut Charts a Course is a state-wide professional development and program improvement system for early care and education.

The Accreditation Facilitation Project (AFP) was established in Section 17b-749e of the CT General Statutes within the Department of Social Services. In 1997, DSS designated CTC to implement and evaluate the AFP as a component with the Connecticut Charts-A-Course early care and education career development system. Regional AFP support sites throughout the state support the quality improvement efforts of child care centers, preschools and other early childhood programs. The AFP has helped Connecticut become one of the nation’s leaders in the number of child care programs to become accredited through the National Accreditation for the Education of Young Children (NAEYC).

II. Objective and Available Funds
This Request for Proposal (RFP) seeks to select an organization to operate as an AFP support site encouraging early care and education providers to participate in the NAEYC accreditation process. They will also provide an ongoing support system in program improvement. This RFP is issued provisionally pending the availability of funds from DSS. The CTC reserves the right to amend or withdraw this RFP. The budget for this project will not exceed $24,472.75. Funding for this project will be for the period beginning on or about January 1, 2010 and ending June 30, 2010. The successful proposer may have their contract extended an additional year upon successful performance.
III. Project Design and Scope of Service

The AFP currently employs a full-time Director of Accreditation and Quality Initiatives. This individual is responsible for the overall coordination, implementation, and evaluation of the AFP. The AFP Director has developed an Accreditation Facilitation Project Manual (available by contacting CCAC at 1-800-832-7784 x 3908 or 203-287-3908). This manual delineates the AFP project design and Scope of Services and must be reviewed in preparation of an application submission. A regional map of the State of Connecticut can be found on Appendix A.

In addition to the requirements outlined in the project manual, the following services must be provided by the successful bidder when operating an AFP site:

A. Provision of Direct Support to Participating Programs

Direct support and resource assistance is provided by the Regional AFP to selected early childhood programs through the following application process:

Individualized Intensive assistance including:

1) On-site support and feedback with the use of NAEYC’s tools for self-study and program assessment;

2) Consultation on program improvement issues;

3) Guidance on the establishment of timelines for the NAEYC process and program improvement plans;

4) Host Monthly Support Meetings with staff, parents, program boards, and owners to provide guidance through the steps of the NAEYC process;

5) Provide Financial Support for NAEYC’s Accreditation fees (pending availability)

B. Efforts to promote quality improvement

The AFP strives to promote quality improvement and awareness of accreditation as a standard of quality in the regional area by providing:

1) Orientation Seminars shall be offered to centers in the Regional Area, prior to the centers application deadline;

2) Public awareness efforts to broaden knowledge of the NAEYC Program Standards and Accreditation Criteria, the self-study and self-assessment process and the importance of accreditation. These efforts shall include a minimum of six workshops per year, and collaborative efforts to promote best practice in early care and education and to support family choice of high quality care. It is understood that this is a general requirement of DSS and that the nature of such efforts shall be jointly identified by CTC and the Contractor.

C. Administrative Services

Administrative services to be provided by the selected organization shall include:

1) Employ a Regional AFP Facilitator. The Director of Accreditation and Quality Initiatives shall have the right to approve the Organization’s selection. See job description (Appendix B).
The organization shall provide administrative support, benefits management, performance of tax withholding and other payroll services, as well as appropriate office space.

2) Supervision of the Facilitator, including but not limited to developing and performing periodic performance reviews and seeking input from the Director of Accreditation and Quality Initiatives and regional Advisory Committee regarding the Facilitator’s performance. Copies of all performance reviews shall be provided to the Director of Accreditation and Quality Initiatives.

3) Fiscal management, submission of narrative, statistical and financial reports regarding the funds provided to implement the Regional AFP in the required formats to the AFP Director as set forth in AFP manual.

4) Use no more than 10% of the total funds awarded under this RFP Agreement for indirect services.

IV. Proposal Review Criteria
Proposals will be reviewed based upon the ability of the proposer to respond to the information requested and specified in this RFP. A review committee will use the following scoring:

1. Project Description / Overall Project Plan
2. Organization’s Experience
3. Budget

While cost is a consideration, CTC reserves the right to select the proposal which is in the best interests of the appropriate service region. CTC also reserves the right to interview bidders between December 22, 2009 and January 8, 2010, as part of the selection process.

V. Format for Proposals
The proposal must include the following and must be submitted in the format outlined below:

A. Application Cover Page (complete and return Appendix C)

B. Executive Summary (maximum of one page, double spaced)
   1) Provide an executive summary as if you were preparing a news release to announce your organization’s selection as the deliverer of the regional AFP project. We expect you to include relevant items included in your proposal.

C. Project Description (maximum of five pages, double spaced, not including references)
   1) Please review the AFP manual and the information included in the Project Design and Scope of Services.

   2) Provide a detailed description of how the organization proposes to implement the AFP support system, project administration and reporting requirements. Include reference to organization’s personnel and their responsibilities to support the project design under the section marked Organization’s Experience.
3) Describe how and identify which regional community organizations will support this project and programs seeking NAEYC Accreditation. Provide letters of commitment from such community organizations.

D. Organization’s Experience (maximum of three pages, double spaced, not including references or resumes)
1) Describe your knowledge of and/or previous experience operating accreditation support programs or other similar early care and education initiatives. Indicate the budget, funding entity, years operated, and outcomes achieved.

2) Provide two (2) references from entities such as community organizations, collaborative partners, or funders. The letters should address your agency’s experience operating programs such as the AFP and your agency’s ability to meet the fiscal, administrative and reporting requirements of a contractual relationship.

3) Attach resume of the proposed AFP Regional Facilitator if person is known, or a description of the hiring process with timeline.

4) Attach resumes for other individuals involved with the organization who will contribute to this project and describe their involvement.

5) Provide the organization’s most recent financial report, a copy of the latest audit report and, if applicable, a non-profit, tax-exempt status (copy of 501(c).)

6) Provide documentation of professional liability insurance.

E. Budget
Submit an itemized budget (see sample, Appendix D) for the program period beginning on or about January 1, 2010 and ending June 30, 2010. Such budget must also include indirect costs, materials, and in-kind or matching funds which support the work of this initiative. Include a budget narrative, as needed, in the space provided on the form or use a separate sheet and identify each line item. Indirect fees may not exceed 10% of the total budget.

F. Supplemental information
If the organization chooses to include any supplementary information, such material must be clearly identified as Supplemental Information.

G. State of Connecticut Required Forms
In addition to the items listed in sections A through F above, complete and submit the following attachments:

1. Attachment B: SEEC Form 10
2. Attachment C: Nondiscrimination Certification
3. Attachment D: Contract Compliance Regulations
H. Submission Requirements and Deadline

Proposal submissions are subject to and must comply with the following requirements and conditions:

1. Bid must conform to all instructions and conditions outlined in this RFP.

2. The System is exempt from payment of excise, transportation, and sales taxes imposed by the federal government and/or the state. Such taxes must not be included in the costs.

3. Proposals are binding commitments and may be incorporated into any contract awarded. This RFP may also be made part of an awarded contract.

4. Submission:
   a. Bids must be in the form of a written proposal;
   b. Bidders must submit one (1) original and four (4) copies of the proposal by mail, sent by a delivery service such as FedEx or UPS, or hand delivered not later than 10:00 A.M. December 22, 2009 to:

      Accreditation Facilitation Project – RFP 10-03
      Connecticut Community Colleges System Office
      61 woodland Street
      Hartford, CT 06105
      Attn.: Kelly Corbin

   c. Proposals must be submitted in a sealed envelope or package;
   d. the following information must appear on the outside of the envelope or package:
      (1) RFP title and number: Accreditation Facilitation Project - # CCAC-10-03
      (2) Bid due date and time – December 22, 2009, by 10:00 A.M.
      (3) Name and address of the vendor
   e. Any proposal that is received after 10:00am on December 22, 2009 will be returned unopened. Faxed proposals will not be accepted. Proposals will be dismissed for incompleteness of presentation or inability to follow directions.
   f. For further questions and to RSVP for the Bidders’ Conference contact Deborah Flis at 1-800-832-7784 x3908 or dflis@ctcharts.org. The bidder’s conference is mandatory. Answers to any questions outside the scope of services shall be communicated to all participating vendors.
   g. The public bid opening shall take place on December 22, 2009 at 11:00 am in Room 234A at the offices of the Board of Trustees of Community Technical Colleges, 61 Woodland Street, Hartford, CT 06105.
VI. Terms and Conditions

1. Any contract awarded shall be in full compliance with the statutes and regulations of the State of Connecticut. Any portion of the contract determined to be in conflict with said statutes and/or regulations will be interpreted so as to be in compliance.


3. Any and all prices quoted in a proposal shall be valid for a period of 120 days from the due date of the Proposal.

4. Any oral agreement between any agency or employee and a bidder shall be superseded by the written agreement.

5. The System reserves the right to amend or cancel this RFP.

6. The System reserves the right to reject any and all proposals.

7. The System reserves the right to correct any and all inaccuracies due to clerical error in any contract awarded.

8. Bidder warrants that:
   a. bidder did not participate in the RFP development process;
   b. bidder had no knowledge of the contents of this RFP prior to its issuance;
   c. no employee of the bidder participated, in any way, in the preparation of this RFP;
   d. bidder’s proposal was not made in connection with any competing vendor submitting a separate response to this RFP;
   e. bidder’s proposal is submitted without collusion or fraud of any kind.

9. Bidder shall bear any and all cost incurred in responding to this RFP.

10. Any contract awarded is subject to contract compliance requirements mandated by Section 4a-60 and 46a-68j of the Connecticut General Statutes.

Attachment G – Nondiscrimination Certification must be signed, contemporaneously, with any and all awarded contract(s).

CCC may require the Contractor to supply the following data to comply with State requirements:
   a. The Contractor’s success in implementing an affirmative action plan;
   b. The Contractor’s success in developing an apprenticeship program complying with Section 46a-68(a) to 46a-68(k) of the Connecticut General Statutes, inclusive;
   c. The Contractors promise to develop and implement a successful affirmative action plan;
   d. The Contractor’s promise to set aside a portion of the contract for legitimate small contractors and minority business enterprises, where applicable. (See Section 40-60g – 4a-60j of the Connecticut General Statutes.)
11. Executive Orders of the Governor, State of Connecticut

Contracts for this project are subject to:

a. Executive Order No. 3 regarding nondiscrimination promulgated June 16, 1971, and to the guidelines and rules of the State Labor Commissioner implementing said Executive Order;
b. Executive Order No. 17, promulgated February 15, 1973, requiring contractors and subcontractors to list employment openings with the Connecticut State Employment Service;
c. Executive Order No. 16, promulgated August 4, 1999 regarding Violence in the Workplace Prevention Policy; and

d. Executive Order No. 7C, promulgated July 13, 2006 regarding State Contracting.

Said Executive Orders are incorporated herein and made a part of this RFP, as though fully set forth herein.

12. Insurance

A Certificate of Insurance ("Certificate"), certifying that the vendor carries Commercial General Liability insurance. An original Certificate shall be submitted to the System prior to commencement of work. The Certificate shall provide evidence of coverage in the amount of $1,000,000 Combined Single Limit (CSL) per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises Liability, Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If an aggregate limit applies, said limit shall apply separately to the project, or the general aggregate limit shall be twice the occurrence limit. Worker's Compensation and Employer's Liability is required and must meet statutory coverage requirements prescribed by the Worker's Compensation statutes of the State of Connecticut. The Employer's Liability coverage must provide minimum limits of $100,000 each accident, $500,000 Policy Disease Limit, $100,000 each employee. Policies shall list the State of Connecticut, its officers, officials, employees, agents, Boards and Commissions as Additional Insureds. The coverage shall contain no special limitations on the scope of protection afforded to the System and the State of Connecticut. The vendor shall assume liability for any and all deductibles in any and all insurance policies.

Vendor warrants that he/she will maintain in force all insurance coverages cited in this Section, while providing services to the System.

13. Rights Reserved to the State

The State of Connecticut reserves the right to:

a. award a contract in part;
b. reject any and all proposals, in whole or in part; and
c. to waive technical defects, irregularities and omissions if, in its judgment, the best interests of the State of Connecticut will be served.
Appendix B

AFP Facilitator Job Description

1. Facilitates Support Meetings for the group of Selected Centers according to the identified AFP curriculum.
2. Coordinate the project’s recruitment and workshop sessions.
3. Work jointly with collaborating partners and Statewide Director of Accreditation and Quality Initiatives to coordinate the public awareness efforts.
4. Reports to Advisory Committee, Statewide Director, and (grantee) agency supervisor.
5. Provides individualized assistance: site visits, staff meetings, and parent and staff orientation to up to 15 selected centers.
6. Works with the Statewide Director of Accreditation and Quality Initiatives to participate in the application process for sites seeking assistance with NAEYC Accreditation.
7. Monitors administration of funds by grantee.

Qualifications:

The facilitator shall have the following qualifications:

1. BA/BS Degree in Early Childhood Education or related field;
2. Experience, totaling a minimum of three years, in both administration of, and teaching in, an early childhood program;
3. Membership in NAEYC and a local AEYC;
4. Knowledgeable of NAEYC program Standards and Accreditation Criteria, quality child care environments, and developmentally appropriate practice;
5. Excellent interpersonal skills and knowledge of adult learning theory.
6. Excellent oral and written communication skills;
7. Personal characteristics necessary to provide support, encouragement and guidance to the Selected Child Care Centers and their staff.

2/10/94
Revised 8/01; 10/09
Connecticut Community-Technical Colleges
for
CT Charts-A-Course

Accreditation Facilitation Project
Application Cover Page

I. Applicant Organization ________________________________

II. Region for which service is proposed: __________________________

III. Contact person: _______________________________________

    Contact Title: __________________________

    Telephone: __________________________

    Address: ________________________________

    ________________________________

    ________________________________

    ________________________________

    Fax: __________________________

    E-Mail: __________________________

IV. Signature of Official Authorized to Negotiate and Contract

    on behalf of the agency: ________________________________

    Print Name: __________________________

    Title: __________________________
Appendix D

<table>
<thead>
<tr>
<th>LINE ITEMS</th>
<th>Proposal Jan. 1 2010 - June 30, 2010</th>
<th>Comments re: proposal column</th>
<th>Total</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>I. Administration</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1a. Administrative Fees</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>II. Direct Program Salaries</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2a. Salary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2b. Fringe</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2c. Clerical Salary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2d. Clerical Fringe</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>III. Other Costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3a. Consultants/Workshops</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3b. Crime Bond</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3c. Enhancement Grants</td>
<td></td>
<td></td>
<td></td>
<td>50% of one full-time position</td>
</tr>
<tr>
<td>3d. Furniture &amp; Equipment</td>
<td></td>
<td></td>
<td></td>
<td>ineligible expense</td>
</tr>
<tr>
<td>3e. Liability Insurance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3f. Mileage</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3g. Office Supplies</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3h. Postage</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3i. Professional Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3j. Publicity/Public Awareness</td>
<td></td>
<td></td>
<td></td>
<td>ineligible expense</td>
</tr>
<tr>
<td>3k. Resource/Curr deve materials</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3l. Resource Library</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3m. Substitute Grants</td>
<td></td>
<td></td>
<td></td>
<td>ineligible expense</td>
</tr>
<tr>
<td>3n. Telephone/FAX</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3o. Training Materials</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3p. Meeting Needs</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3q. Copying</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3r. Rent</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3s. Dues and Fees</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3t. Audit</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td></td>
<td></td>
<td>$0</td>
<td></td>
</tr>
</tbody>
</table>
PERSONAL SERVICES AGREEMENT
for purchase of services from vendor company or non-employee individual

STATE OF CONNECTICUT
BOARD OF TRUSTEES OF
COMMUNITY-TECHNICAL COLLEGES
81 Woodland Street, Hartford, CT 06105
ACCOUNTS PAYABLE

1. THE STATE AGENCY AND THE CONTRACTOR AS LISTED BELOW HEREBY ENTER INTO AN AGREEMENT
SUBJECT TO THE TERMS AND CONDITIONS STATED HEREIN AND/OR ATTACHED HERETO AND SUBJECT TO
THE PROVISIONS OF SECTION 4-98 OF THE CONNECTICUT GENERAL STATUTES AS APPLICABLE.

2. ACCEPTANCE OF THIS CONTRACT IMPLIES CONFORMANCE WITH ALL TERMS AND CONDITIONS
SET FORTH BELOW AND IN THE BODY OF THE CONTRACT WHICH CONTINUES ON PAGE 2.

| CONTRACTOR | CONTRACTOR NAME | CONTRACTOR ADDRESS | ARE YOU PRESENTLY
| STATE | AGENCY NAME AND ADDRESS - Board of Trustees of Community-Technical Colleges on behalf of CONNECTICUT CHARTS A COURSE | AGENCY NO. | A STATE EMPLOYEE OR RELATED FAMILY BUSINESS (see Sec. 3 Y) |
| CONTRACTING AGENCY | | | |
| CONTRACT PERIOD | DATE (FROM) | THROUGH (TO) | INDICATE |
| CANCELLATION CLAUSE | THIS AGREEMENT SHALL REMAIN IN FULL FORCE AND EFFECT FOR THE ENTIRE TERM OF THE CONTRACT |
| AND DELIVERY OF NOTICE | PERIOD STATED ABOVE UNLESS CANCELLED BY EITHER PARTY, BY GIVING THE NUMBER OF DAYS’ WRITTEN NOTICE |
| | INDICATED AT RIGHT, DELIVERED PERSONALLY OR BY CERTIFIED OR REGISTERED MAIL, TO THE FOLLOWING ADDRESSES: |
| | STATE: | CONTRACTOR: |
| COMPLETE DESCRIPTION OF SERVICE | ATTENTION: |
| COST AND SCHEDULE OF PAYMENTS | STATE CONTRACTING AGENCY AGREES TO MAKE PAYMENT IN THE AMOUNT(S) AND IN ACCORDANCE WITH THE SCHEDULE CONTAINED IN SECTION 2, COST AND SCHEDULE OF PAYMENTS, BEGINNING ON PAGE X OF THIS CONTRACT. |
| | TOTAL CONTRACT IS NOT TO EXCEED $ |
| CONTACT NAMES AND TELEPHONE | CONTRACTOR SHOULD ADDRESS ALL CONTRACT AND PAYMENT QUESTIONS TO THE AGENCY BUSINESS OFFICE AT: |
| REPORTS AND ECONOMIC IMPACT | AGENCY SHOULD ADDRESS ALL QUESTIONS REGARDING THE SCOPE OR PERFORMANCE OF SERVICES TO THE RESPONSIBLE DEPARTMENT AT: |
| | FOR INTERNAL USE ONLY |
| EXPENSE CODING | FISCAL YR(S) | AMOUNT | NOTES |
| BANNER FUND CODE | | | |
| BANNER ORG CODE | | | |
| BANNER ACCOUNT CODE | | | |
| BANNER PROGRAM CODE | | | |
| AN INDIVIDUAL ENTERING INTO A PERSONAL SERVICES AGREEMENT WITH THE STATE OF CONNECTICUT IS CONTRACTING UNDER A "WORK-FOR-HIRE" ARRANGEMENT. AS SUCH, THE INDIVIDUAL IS AN INDEPENDENT CONTRACTOR, AND DOES NOT SATISFY THE CHARACTERISTICS OF AN EMPLOYEE UNDER THE COMMON LAW RULES FOR DETERMINING THE EMPLOYER/EMPLOYEE RELATIONSHIP OF INTERNAL REVENUE CODE SECTION 3121 (a) (2). INDIVIDUALS PERFORMING SERVICES AS INDEPENDENT CONTRACTORS ARE NOT EMPLOYEES OF THE STATE OF CONNECTICUT AND ARE RESPONSIBLE FOR PAYMENT OF ALL STATE AND LOCAL INCOME TAXES, FEDERAL INCOME TAXES AND FEDERAL INSURANCE CONTRIBUTION ACT (FICA) TAXES. |
| ACCEPTANCES AND APPROVALS | STATUTORY AUTHORITY C.G.S. 4a-52a, 10a-151b |
| CONTRACTOR (OWNER OR AUTHORIZED SIGNATURE) - ATTACH SIGNATURE AUTHORITY RESOLUTION | TYPE OR PRINT FULL TITLE | DATE SIGNED |
| ALSO TYPE OR PRINT FULL NAME | | |
| AGENCY (AUTHORIZED OFFICIAL per Board of Trustees policy) | TYPE OR PRINT FULL TITLE | DATE SIGNED |
| ALSO TYPE OR PRINT FULL NAME | | |
| ATTORNEY GENERAL (APPROVED AS TO FORM) - CONTRACTS OVER $3,000 | DATE SIGNED |

Page 1
Contract continues on Page 2
SECTION 1 - DESCRIPTION OF SERVICES

(Insert Detailed Description of Services including any actions required by Contractor or by Contracting State Agency under this agreement.)

SECTION 2 - COST AND SCHEDULE OF PAYMENTS

A. State Liability.
The State of Connecticut, the Board of Trustees of Community-Technical Colleges and the State Contracting Agency ("State" or "College") shall assume no liability for payment for services under the terms of this contract until the contract is fully executed by the State Contracting Agency, the Contractor, and if applicable, by the Attorney General of the State of Connecticut.

B. Total Contract Not to Exceed.
The COLLEGE shall pay the CONTRACTOR a total sum not to exceed __________ for services performed under this agreement.

C. Invoicing and Payment:

(a) The Contractor shall submit invoices in accordance with the schedule below:

(Insert Detailed Description and Schedule of Fee or Other Amounts, Billing Dates, Contractor's Payment Address etc.)

(b) Invoices shall, at a minimum, include the Contractor name, the Purchase Order Number, the Contractor's Federal Employer Identification Number, the billing period, and an itemization of expenses invoiced. The State of Connecticut does not pay taxes, therefore Contractor invoices should not reflect the inclusion of any taxes on services or work performed under this contract.

(c) Payment shall be made by the College to the Contractor within 30 days after receipt of properly executed and approved invoices.

SECTION 3 - OTHER TERMS AND CONDITIONS

A. Entire Agreement
This contract embodies the entire agreement between the State Contracting Agency (hereinafter "State" or "Contracting Agency") and Contractor, each named on Page 1, on the matters specifically addressed herein. The parties shall not be bound by or be liable for any statement, representation, promise, inducement, or understanding of any kind or nature not set forth herein. This contract shall supersede all prior written agreements between the parties and their predecessors. No changes, amendments, or modifications of the contract shall be valid unless reduced to writing, signed by both parties, and where applicable, approved by the Attorney General or his Designee. This contract shall inure to the benefit of each party's heirs, successors, and assigns.

B. Nondisclosure
Contractor shall not release any information concerning the services provided pursuant to the contract or any part thereof to any member of the public, press, business entity or any official body unless prior written consent is obtained from the State.

C. Confidentiality
All data provided to Contractor by the State or developed internally by Contractor with regard to the State will be treated as proprietary to the State and confidential unless the State agrees in writing to the contrary. Contractor agrees to forever hold in confidence all files, records, documents, or other information as designated, whether prepared by the State or others, which may come into Contractor's possession during the term of this agreement, except where disclosure of such information by Contractor is required by other governmental authority to ensure...
compliance with laws, rules, or regulations, and such disclosure will be limited to that actually so required. Where such disclosure is required, Contractor will provide advance notice to the State of the need for the disclosure and will not disclose absent consent from the State.

D. Promotion
Unless specifically authorized by writing to the State, Contractor shall have no right to use, and shall not use, the name of the State of Connecticut, or of the Board of Trustees of Community-Technical Colleges, or their respective officials, agencies, or employees or the seal of the State of Connecticut or its agencies (1) in any advertising, publicity, promotion; or (2) to express or to imply any endorsement of Contractor’s products or services; or (3) to use the name of the State of Connecticut, its officials, agencies, or employees or the seal or logo of the State of Connecticut or its agencies in any other manner, except only to manufacture and deliver in accordance with this contract such items as are hereby contracted for by the State. In no event may the Contractor use the State Seal in any way without the express written consent of the Secretary of State.

E. Quality Surveillance, Examination of Records and Inspection of Work
All services performed by Contractor shall be subject to the inspection and approval of the State at all times, and Contractor shall furnish all information concerning the services. The State or its representatives shall have the right to reasonable hours to examine any books, records, and other documents of, and to monitor or evaluate the work being performed by, Contractor or its subcontractors pertaining to work performed under this contract and Contractor shall allow such representatives free access to any and all such books, records and workpapers. The State will give the Contractor at least twenty-four (24) hours notice of such intended examination or inspection, which shall be performed in such a manner as will not unduly disrupt or delay Contractor’s work. At the State’s request, the Contractor shall provide the State with hard copies of or magnetic disk or tape containing any data or information in the possession or control of the Contractor which pertains to the State’s business under this contract. The Contractor shall retain and maintain accurate records and documents relating to performance of services under this contract for a minimum of three (3) years after the final payment by the State and shall make them available for inspection and audit by the State.

F. Independent Contractor
Contractor represents that it is fully experienced and properly qualified to perform the services provided for herein, and that it is properly licensed, equipped, organized, and financed to perform such services. If applicable, at the State’s request Contractor shall deliver copies of any and all current license(s) and registration(s) relating to the services to be performed under this contract, as evidence that such are in full force and effect. Contractor shall act as an independent Contractor in performing this contract, maintaining complete control over its employees and all of its subcontractors. Contractor shall furnish fully qualified personnel to perform the services under this contract. Contractor shall perform all services in accordance with its methods, subject to compliance with this contract and all applicable laws and regulations. It is acknowledged that services rendered by the Contractor to the State heretofore do not in any way conflict with other contractual commitments with or by the Contractor.

G. Labor and Personnel
At all times, Contractor shall utilize approved, qualified personnel necessary to perform the services under this contract. Contractor agrees not to subcontract any of the services to be provided under this contract without the prior written permission of the State. Contractor shall advise the State promptly, in writing, of any labor dispute or anticipated labor dispute or other labor related occurrence known to Contractor involving Contractor’s employees or subcontractors which may reasonably be expected to affect Contractor’s performance of services under this contract. The State may then, at its option, ask Contractor to arrange for a temporary employee(s) or subcontractor(s) satisfactory to the State to provide the services otherwise performable by Contractor hereunder. The Contractor shall be responsible to the State for any economic detriment caused by the State by such subcontract arrangement.

Contractor shall, if requested to do so by the State, reassign from the State account any employee or authorized representatives whom the State, in its sole discretion, determines is incompetent, dishonest, or uncooperative. In requesting the reassignment of an employee under this paragraph, the State shall give Contractor ten (10) days notice to Contractor of the State’s desire for such reassignment. Contractor will then have five (5) days to investigate the situation and attempt, if it so desires, to satisfy the State that the employee should not be reassigned; however, the State’s decision in its sole discretion after such five (5) day period shall be final. Should the State still desire reassignment, then five days thereafter, or ten (10) days from the date of the notice of reassignment, the employee shall be reassigned at the State’s account.

II. Non-Discrimination
References in this section to “contractor” shall mean this Contract and references to “contractor” shall mean the Contractor.

(a) The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes:

(1) 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, 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, in any manner prohibited by the laws of the United States or of the State of Connecticut. The contractor further agrees to take affirmative action to assure that applicants for 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, 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. (2) 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; (3) 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 of the contractor’s commitments under this section, and to post copies of the notice in conspicuously placed places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and sections 4a-6a and 4a-6f of law and with each regulation or relevant order issued by said commission pursuant to sections 4a-6, 4a-6b, and 4a-6f; (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.

(c) "Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the 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 32-92a, 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.

(d) 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.

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

(f) The contractor shall include the provisions of section A above 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; provided, if such subcontractor 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.

(g) The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes:

(1) 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 manner 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;

(2) 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;

(3) the contractor agrees to comply with each provision of this section and with such regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) 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.

(h) The contractor shall include the provisions of section (g) above 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; provided, if such subcontractor 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) For the purposes of this entire Non-Discrimination section, "contract" includes any extension or modification of the contract, "contractor" includes any successor or assign of the contractor, "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced, and "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders. For the purposes of this section, "contract" does not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4), (5).

J. Americans with Disabilities Act

This clause applies to those Contractors which are or will become responsible for compliance with the terms of the Americans with Disabilities Act of 1990 during the term of the contract. Contractor represents that it is familiar with the terms of this Act and that it is in compliance with the law. Failure of the Contractor to satisfy this standard either now or during the term of the contract as it may be amended will render the contract voidable at the option of the State upon notice to the Contractor. Contractor warrants that it will hold the State harmless from any liability which may be imposed upon the State as a result of any failure of the Contractor to be in compliance with this Act.

J. Executive Orders

(a) Executive Order No. 3: Non-discrimination. This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971, and, as such, this contract may be canceled, terminated or suspended by the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Three, or any State or federal law concerning nondiscrimination, notwithstanding that the Labor Commissioner is not a party to this agreement. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. Three is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and
agree that the State Labor Commissioner shall have continuing jurisdiction in respect to contract performance in regard to nondiscrimination until the agreement is completed or terminated prior to completion. The Contractor agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the State Labor Commissioner to implement Executive Order No. Three, and that it will not discriminate in its employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the State Labor Commissioner.

(b) Executive Order No. 17: Connecticut State Employment Service Listings. This contract is subject to the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, and, as such, this contract may be canceled, terminated or suspended by the Contracting Agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order No. Seventeen, notwithstanding that the Labor Commissioner may not be party to this Agreement. The parties to this contract, as part of the consideration hereof, agree that Executive Order No. Seventeen is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the Contracting Agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to contract performance in regard to listing all employment openings with the Connecticut State Employment Service.

(c) Executive Order No. 16: Violence in the Workplace Prevention Policy. This contract is subject to the provisions of Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999 and, as such, the contract may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order No. Sixteen. The parties to this contract, as part of the consideration hereof, agree: (1) The Contractor shall prohibit employees from bringing into the state work site, except as may be required as a condition of employment, any weapon or dangerous instrument as defined herein. (2) "Weapon" means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having a automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon. "Dangerous instrument" means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury. (3) The Contractor shall prohibit employees from attempting to use, or threaten to use, any such weapon or dangerous instrument in the state work site and employees shall be prohibited from causing, or threatening to cause, physical injury or death to any individual in the state work site. (4) The Contractor shall adopt the above prohibitions as work rules, violations of which shall subject the employee to disciplinary action up to and including discharge. The Contractor shall insure and require that all employees are aware of such work rules. (5) The Contractor further agrees that any subcontract it enters into in the furtherance of work to be performed under this contract, shall contain provisions (1) through (4) of this section.

(d) Executive Order No. 7C: Integrity in State Contracting. This contract is subject to the provisions of Executive Order No. 7C of Governor M. Jodi Rell, promulgated on July 13, 2005 and, as such, this contract may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order No. 7C. The parties to this contract, as part of the consideration hereof, agree: (1) The State Contracting Standards Board ("Board") may review this contract and recommend to the State Contracting Agency, termination of this contract for cause. The State Contracting Agency shall consider the recommendations and act as required or permitted in accordance with the contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the State Contracting Agency and any other affected party in accordance with the notice provisions in the contract no later than fifteen (15) days after the Board finalizes its recommendation. For the purpose of this subsection, "for cause" means a violation of the State Ethics Code (Connecticut General Statutes Chapter 10) or section 4a-100 of the general statutes, or willful or reckless disregard of any state contracting and procurement policies by any person substantially involved in this Contract or State Contracting Agency. (2) For purpose of the section, "contract" shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a contract for the sale or purchase of a fee simple interest in real estate following transfer of title. (3) Notwithstanding the contract value listed in Connecticut General Statutes (C.G.S.) sections 4-250 and 4-252, and section 8 of Executive Order No. 1, all state contracts between state agencies and private entities with a value of $20,000 (fifty thousand dollars) or more in a calendar or fiscal year shall comply with the gift affidavit requirements of said sections and section 8 of Executive Order No. 1. For purposes of this section, the term "certification" shall include the campaign contribution and annual gift affidavits required by section 8 of Executive Order No. 1.

K. Laws and Regulations
(a) This contract, and any and all disputes arising out of or in connection therewith, shall in all respects be governed by the laws of the State of Connecticut.

(b) Contractor agrees, and its employees and representatives shall at all times comply with all applicable laws, ordinances, statutes, rules, regulations, and orders of governmental authorities, including those having jurisdiction over its registration and licensing to perform services under this contract.

(c) The Contractor further agrees that the sole and exclusive means for the presentation of any claims against the State, the Board of Trustees of Community-Technical Colleges arising from this contract shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State) and the Contractor further agrees not to initiate legal proceedings in any state or federal court in addition to, or in lieu of, said Chapter 53 proceedings.

L. Indemnification
Contractor hereby agrees to indemnify, defend and hold harmless the State, its agencies, its officers, and its employees from and against any and all suits, actions, legal or administrative proceedings, claims, demands, damages, liabilities, monetary loss, interest, attorney's fees, costs and expenses of whatsoever kind or nature arising out of the performance of this contract, in any manner directly or indirectly caused, occasioned or contributed to in whole or in part, by reason of any act, omission, fault, willful misconduct or negligence of Contractor or its employees, agents or subcontractors.

M. Insurance
The Contractor agrees that while performing services specified in this contract that it shall carry sufficient insurance (liability and/or property) as applicable according to the nature of the service(s) to be performed so as to "save harmless" the State of Connecticut from any insurable cause whatsoever. If requested, certificates of such insurance shall be provided to the contracting state agency.
N. Non-Waiver
None of the conditions of this contract shall be considered waived by the State or the Contractor unless given in writing. No such waiver shall be a waiver of any past or future default, breach, or modification of any of the conditions of this agreement unless expressly stipulated in such waiver. In no event shall the making by the State of any payment to the Contractor constitute or be construed as a waiver by the State of any breach of covenant, or any default which may then exist, on the part of the Contractor and the making of any such payment by the State while any such breach or default exists shall in no way impair or prejudice any right or remedy available to the State in respect to such breach or default.

O. Subpoenas
In the event the Contractor's records are subpoenaed pursuant to Conn. Gen. Stat. Section 36a-43, the Contractor shall, within twenty-four (24) hours of service of the subpoena, notify the person designated for the State on page one of this agreement to receive contract questions, of such subpoena. Within thirty-six (36) hours of service, the Contractor shall send a written notice of the subpoena together with a copy of the same to the person so designated for the State on page one of this agreement.

P. Survival
The rights and obligations of the parties which by their nature survive termination or completion of the contract, including but not limited to those set forth herein in sections relating to Indemnity, Nondisclosure, Promotion, and Confidentiality, shall remain in full force and effect.

Q. Sovereign Immunity
Notwithstanding any provisions to the contrary contained in this contract, it is agreed and understood that the State of Connecticut shall not be deemed to have waived any rights or defenses of sovereign immunity which it may have with respect to all matters arising out of this contract.

R. Third Parties
The State shall not be obligated or liable hereunder to any party other than the Contractor.

S. Assignment
This contract shall not be assigned by either party without the express prior written consent of the other.

T. Severability
If any part or parts of this contract shall be held to be void or unenforceable, such part or parts shall be treated as severable, leaving valid the remainder of this contract notwithstanding the part or parts found to be void or unenforceable.

U. Headings
The titles of the several sections, subsections, and paragraphs set forth in this contract are inserted for convenience of reference only and shall be disregarded in construing or interpreting any of the provisions of this agreement.

V. Whistleblowing
This Agreement is subject to the provisions of § 4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the Contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of this Agreement.

Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state Contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state Contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

W. FERPA
In performing services pursuant to this Agreement, Contractor shall comply with all applicable Connecticut Community Colleges Policies, federal and state statutes and regulations, including, but not limited to, Gramm-Leach-Bliley Act and the Family Educational Rights and Privacy Act ("FERPA") in the protection of all Connecticut Community College data.

X. SEEC
For all state contracts as defined in P.A. 07-1 as having a value in a calendar year of $50,000 or more or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to this agreement expressly acknowledges receipt of the State Election Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. SEEC Form 11 can be found on the following pages.

SEEC 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-613(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

Campaign Contribution and Solicitation Ban
No state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform
State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations
Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties — $2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions stating notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of $2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties — Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or $5000 in fines, or both.

Contract Consequences
Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A. 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/teece. Click on the link to "State Contractor Contribution Ban."

Definitions:
"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service or full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service or full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five percent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.
"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual’s household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 153 of the Connecticut General Statutes, (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office, or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

Y. Contracting with State Employees or Related Family/Business
Section 1-84 (i) of the Connecticut General Statutes prohibits the College to engage in contracts over $100 with State employees and certain related family or businesses as defined by Sections 1-79 (b) and (f), unless awarded through an open and public process. Contractor has disclosed to State whether it is an employee, related family member or associated business as defined by the statute. The Contractor and State each represent that they have fully complied with all applicable requirements of this statute, which is set forth below (emphasis added), or as it may be amended from time to time:

C.G.S. 1-84 (i) No public official or state employee or member of the official or employee's immediate family or a business with which he is associated shall enter into any contract with the state, valued at one hundred dollars or more, other than a contract of employment as a state employee, or a contract with a public institution of higher education to support a collaboration with such institution to develop and commercialize any invention or discovery, or pursuant to a court appointment, unless the contract has been awarded through an open and public process, including prior public offer and subsequent public disclosure of all proposals considered and the contract awarded. In no event shall an executive head of an agency, as defined in section 4-166, including a commissioner of a department, or an executive head of a quasi-public agency, as defined in section 1-79, or the executive head's immediate family or a business with which he is associated enter into any contract with that agency or quasi-public agency. Nothing in this subsection shall be construed as applying to any public official who is appointed as a member of the executive branch or as a member or director of a quasi-public agency and who receives no compensation other than per diem payments or reimbursement for actual or necessary expenses, or both, incurred in the performance of the public official's duties unless such public official has authority or control over the subject matter of the contract. Any contract made in violation of this subsection shall be voidable by a court of competent jurisdiction if the suit is commenced no later than one hundred eighty days after the making of the contract.

C.G.S. 1-79 (b) provides: "Business with which he is associated" means any sole proprietorship, partnership, firm, corporation, trust or other entity through which business for profit or not for profit is conducted in which the public official or state employee or member of his immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust or holder of stock constituting five percent or more of the total outstanding stock of any class, provided, a public official or state employee, or member of his immediate family, shall not be deemed to be associated with a not for profit entity solely by virtue of the fact that the public official or state employee or member of his immediate family is an unpaid director or officer of the not for profit entity. "Officer" refers only to the president, executive or senior vice president or treasurer of such business.

C.G.S. 1-79 (f) provides: "Immediate family" means any spouse, children or dependent relatives who reside in the individual’s household.

CCC PSA
NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on page 2):

Campaign Contribution and Solicitation Ban

No state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties—$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of $2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or $5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided. Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state
Attachment F - SEEC Form 10

contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The state will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Receipt acknowledged: ___________________________  ___________________________

(signature)  (date)

Print name: ______________________________________

Title: ________________________________

Company Name: ______________________________________

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban"

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member
of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (IV) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.
STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION — Representation
By Entity
For Contracts Valued at Less Than $50,000

Written representation that complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended

________________________
INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at less than $50,000 for each year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN ENTITY:

I,________________________________________, of ___________________________,
Authorized Signatory Title Name of Entity

an entity duly formed and existing under the laws of ___________________________,
Name of State or Commonwealth

represent that I am authorized to execute and deliver this representation on behalf of

________________________, Name of Entity

________________________, Name of Entity

has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut
General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

________________________________________
Authorized Signatory Date

________________________________________
Printed Name
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS
(Revised 09/17/07)

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-81(i) 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, has gross revenues not exceeding ten 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.
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; elevators 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)

<table>
<thead>
<tr>
<th>White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Black (not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.</td>
</tr>
<tr>
<td>Hispanic- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

**BIDDER CONTRACT COMPLIANCE MONITORING REPORT**

**PART I - Bidder Information**

<table>
<thead>
<tr>
<th>Company Name</th>
<th>Street Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>City &amp; State</td>
<td>Chief Executive</td>
</tr>
</tbody>
</table>

| Major Business Activity (brief description) |

<table>
<thead>
<tr>
<th>Bidder Federal Employer Identification Number</th>
<th>Bidder Identiﬁcation (response optional/definitions on page 1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Or Social Security Number</td>
<td>1. Bidder is a small contractor. Yes__ No__</td>
</tr>
<tr>
<td></td>
<td>2. Bidder is a minority business enterprise Yes__ No__</td>
</tr>
<tr>
<td></td>
<td>(If yes, check ownership category)</td>
</tr>
<tr>
<td></td>
<td>Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Tribal Peninsula__ Individuals with a Physical Disability__</td>
</tr>
<tr>
<td></td>
<td>Female__</td>
</tr>
<tr>
<td></td>
<td>3. Bidder is certiﬁed as above by State of CT Yes__ No__</td>
</tr>
<tr>
<td></td>
<td>- DAS Certification Number</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Bidder Parent Company</th>
</tr>
</thead>
<tbody>
<tr>
<td>(If any)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Locations in CT.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(If any)</td>
</tr>
</tbody>
</table>

**PART II - Bidder Nondiscrimination Policies and Procedures**

<table>
<thead>
<tr>
<th>Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards?</th>
<th>Yes__ No__</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your company have the state mandated sexual harassment prevention in the workplace policy posted on company bulletin boards?</td>
<td>Yes__</td>
</tr>
<tr>
<td>Do you notify all recruitment sources in writing of your company’s Affirmative Action/Equal Employment Opportunity employment policy?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>Do you notify the Ct. State Employment Service of all employment openings with your company?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>Does your company have a collective bargaining agreement with workers?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 &amp; 4a-60a Conn. Gen. Stat?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>8. Do you, upon request, provide reasonable accommodation to employees or applicants for employment, who have physical or mental disability?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>9. Does your company have a mandatory retirement age for all employees?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>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 supervisiors?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>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?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>12. Does your company have a written affirmative action Plan?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>If no, please explain.</td>
<td></td>
</tr>
<tr>
<td>13. Is there a person in your company who is responsible for equal employment opportunity?</td>
<td>Yes__ No__</td>
</tr>
<tr>
<td>If yes, give name and phone number.</td>
<td></td>
</tr>
</tbody>
</table>
Part III - Bidder Subcontracting Practices

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

<table>
<thead>
<tr>
<th>JOB CATEGORY*</th>
<th>OVERALL TOTALS</th>
<th>WHITE (not of Hispanic origin)</th>
<th>BLACK (not of Hispanic origin)</th>
<th>HISPANIC</th>
<th>ASIAN or PACIFIC ISLANDER</th>
<th>AMERICAN INDIAN or ALASKAN NATIVE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business &amp; Financial Ops</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marketing &amp; Sales</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Occupations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer Specialists</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Architecture/Engineering</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office &amp; Admin Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bid/Grants</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cleaning/Maintenance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction &amp; Extraction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Installation, Maintenance &amp; Repair</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Material Moving Workers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Production Occupations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTALS ABOVE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total One Year Ago</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

FORMAL ON THE JOB TRAINEEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)

Apprentices

Trainers

*NOTE: JOB CATEGORIES CAN BE CHANGED OR ADDED TO (EX. SALES CAN BE ADDED OR REPLACE A CATEGORY NOT USED IN YOUR COMPANY)
### PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)

<table>
<thead>
<tr>
<th>SOURCE</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Employment Service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Private Employment Agencies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Schools and Colleges</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Newspaper Advertisement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Walk Ins</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Present Employees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Labor Organizations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minority/Community Organizations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others (please identify)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Check (X) any of the below listed requirements that you use as a hiring qualification

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work Experience</td>
</tr>
<tr>
<td>Ability to Speak or Write English</td>
</tr>
<tr>
<td>Written Tests</td>
</tr>
<tr>
<td>High School Diploma</td>
</tr>
<tr>
<td>College Degree</td>
</tr>
<tr>
<td>Union Membership</td>
</tr>
<tr>
<td>Personal Recommendation</td>
</tr>
<tr>
<td>Height or Weight</td>
</tr>
<tr>
<td>Car Ownership</td>
</tr>
<tr>
<td>Arrest Record</td>
</tr>
<tr>
<td>Wage Garnishments</td>
</tr>
</tbody>
</table>

3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination

---

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 fact, I am subject to be declared in non-compliance with Section 4a-69, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature) (Title) (Date Signed) (Telephone)