

REQUEST FOR PROPOSALS

Date Issued: **December 14, 2018**

Subject: Request for proposals to undertake impact analysis of historic preservation in Connecticut, with emphasis on programs administered by the Connecticut State Historic Preservation Office.

This Request for Proposal (RFP) is a solicitation for an economic and quality of life impact study of historic preservation in Connecticut, with an emphasis on an analysis of the program's administered by the Connecticut State Historic Preservation Office. The project is to be completed and final products delivered on or before **July 26, 2019**.

The evaluation and award factors for this procurement are set forth in Part VIII of the RFP. Sealed proposals must be received by CT SHPO no later than **February 1, 2019, 4:00 pm**.

The RFP can also be found on the Department of Administrative Services website http://www.biznet.ct.gov/SCP_Search/Default.aspx?AccLast=2 as well as the CT SHPO website <http://www.ct.gov/cct/cwp/view.asp?a=3948&q=293806&cctNav=|>.

The Department of Economic and Community Development is an affirmative Action/Equal Opportunity Employer. Minority/Women's Business Enterprises are encouraged to apply.

Deadline: Deadline for submitting questions is **January 11, 2018, 4:00pm**.

Contact: Questions must be submitted in writing to Alyssa Lozupone, Architectural Preservationist:

Email: alyssa.lozupone@ct.gov

Address: State Historic Preservation Office
Attn: Alyssa Lozupone, Architectural Preservationist
450 Columbus Boulevard, Suite 5
Hartford, CT 06103

Legal Notice

The State of Connecticut, acting through its State Historic Preservation Office (SHPO) Department of Economic and Community Development (DECD) located at 450 Columbus Boulevard, Suite 5, Hartford, CT 06103, seeks to contract with a professional preservation planning firm to perform an analysis of and create a final report outlining the economic and quality of life impacts of historic preservation in Connecticut, with an emphasis on the programs administered by the CT SHPO. The deadline for this RFP is **February 1, 2019, 4:00 pm**. The State of Connecticut is an Affirmative Action/Equal Opportunity Employer. Minority/Women's/Small Business Enterprises are encouraged to apply.

Please contact Alyssa Lozupone at alyssa.lozupone@ct.gov for a copy of the RFP. The RFP can also be found on the Department of Administrative Services website: http://www.biznet.ct.gov/SCP_Search/Default.aspx?AccLast=2 and the CT SHPO website: <http://www.ct.gov/cct/cwp/view.asp?a=3948&q=293806&cctNav=>

Part I

Introduction

The Connecticut State Historic Preservation Office (CT SHPO) is seeking a qualified consultant to perform an analysis of the economic and quality of life impacts of historic preservation in Connecticut, with an emphasis on the programs administered by the CT SHPO. The report will be used for public education, to facilitate public policy decision-making processes, and further the Office's strategic planning goals. Additional information about CT SHPO can be found at:

<https://www.ct.gov/cct/cwp/view.asp?a=3948&q=293806>.

Project Background

CT SHPO had an economic impact study conducted in 2011 by *PlaceEconomics* that can be found at [https://www.ct.gov/cct/lib/cct/Economic_Impact_Study_\(Final_6-2011\).pdf](https://www.ct.gov/cct/lib/cct/Economic_Impact_Study_(Final_6-2011).pdf).

Part II

Scope of Work

I. Report, composed of the following components:

A. Executive Summary

The executive summary will be a full-color, one-page document (single or double sided) that highlights the key findings of the study and which can be presented independent of the entire report. It should be professionally designed with the goal of making the content interesting and accessible to a lay audience and include photographs, charts, and other graphics. The executive summary will be widely distributed to a range of stakeholders.

B. Report

The report should address the following topics:

- 1) Economic impacts of the tax credit and grant programs administered by the Connecticut State Historic Preservation Office (CT SHPO).
 - a) Analysis should encompass direct and indirect impacts and include, but not be limited to, state and local revenue, jobs (temporary and permanent), household wages (temporary and permanent), and impact per million dollars in expenditure.
 - b) Findings should be presented per program as well as collectively.

Tax credit programs include the Federal Historic Preservation Tax Incentive, Connecticut Historic Rehabilitation Tax Credit, and Connecticut Historic Homes Rehabilitation Tax Credit. Grant programs include Basic Operational Support Grants for Historic Preservation, Certified Local Government Enhancement Grants, Survey and Planning Grants, Historic Restoration Fund Grants, and Federal Historic Preservation Fund.

- 2) Quality of life impacts of historic preservation, with an emphasis on the programs administered by the CT SHPO including the grant and tax credit

programs referenced above as well as environmental review, archeology, certified local governments, local historic districts, and State and National Registers of Historic Places.

- a) Analysis should explore the impact of historic preservation on property values, diversity, affordable and supportive housing, economic development, density, neighborhood stability, and crime.
 - i) The abovementioned metrics serve as examples. Further definition of the quality of life metrics to be included in the report will be done in consultation with SHPO staff once the contract is awarded. The report should include the analysis of at least five quality of life metrics.
 - b) Proposals are also encouraged that can explore the impact of historic preservation on health (physical, mental, and emotional) as well as social justice.
- 3) Environmental impacts of historic preservation with an emphasis on the aforementioned programs administered by the CT SHPO.
- a) Analysis should explore energy use and energy efficiency of historic buildings, demolition versus rehabilitation, trends in new construction versus rehabilitation, and the intersection of historic preservation and climate change.
 - i) The abovementioned metrics serve as examples. Further definition of the environmental metrics to be included in the report will be done in consultation with SHPO staff once the contract is awarded. The report should include the analysis of at least three environmental metrics.
- 4) Impact of heritage tourism, highlighting museums owned by the state of Connecticut and sites/organizations funded by the CT SHPO.
- a) Analysis should explore the direct and indirect economic impact of in-state- and out-of-state visitors as well as the quality of life impacts.
 - i) The abovementioned metrics serve as examples. Further definition of the heritage tourism metrics to be included in the report will be done in consultation with SHPO staff once the contract is awarded. The report should include the analysis of at least three heritage tourism metrics.
- 5) Case studies, six to eight total, should be included to represent the various metrics analyzed in B. 1 through B. 4, the breadth of SHPO's programs, and different cities/towns in Connecticut.
- 6) Conclusion
- a) The conclusion should reiterate the findings in sections B. 1 through B. 5 as well as make recommendations for future consideration.
- 7) Appendices, which should include a bibliography and technical notes, as applicable.

Note: The consultant will be expected to consult with SHPO partners and stakeholders as well as SHPO staff as necessary to carry out the proposed scope of work.

C. Dissemination

- 1) Consultant should provide recommendations for best practices in the public dissemination and marketing of the report's findings.

D. Recommendations

- 1) Consultant should provide CT SHPO with recommendations for tracking and organizing data for future in-house analysis of the economic and quality of life impacts of historic preservation.

Part III

Travel

The consultant will be responsible for at least three visits to Hartford, CT: 1) initial planning session with SHPO staff, 2) public presentation of findings, 3) marketing, to be determined (e.g. radio spot or evening workshop). Additional travel throughout the state, as required to complete the scope of work, is at the consultant's expense.

Part IV

Final Products

The consultant shall provide SHPO with the following:

- 25 copies of the final report – color, covered, and bound
- 300 copies of the Executive Summary – color
- Three to five different tear sheets (100 copies of each) – color
- Electronic copies of the aforementioned items

Final products should be professionally designed, whether done in-house or subcontracted, with the goal of making the content interesting and accessible to a lay audience. Beyond text, final products should include photographs, charts and graphs, and other graphics. The design must be prepared in consultation with CT SHPO.

Part V

RFP Procedures

- I. Official SHPO Contact: The SHPO contact person for the purpose of this RFP is Alyssa Lozupone, Architectural Preservationist:

Email: alyssa.lozupone@ct.gov
Address: State Historic Preservation Office
 Attn: Alyssa Lozupone, Architectural Preservationist
 450 Columbus Boulevard, Suite 5
 Hartford, CT 06103

All communications with CT SHPO regarding this RFP must be directed to this contact.

- II. Proposers Authorized Representative: Proposers must designate an authorized representative and one (1) alternate. Provide the name, title, address, telephone and

facsimile numbers, email address for each representative. Such information must be included in the RFP submission.

- III. Communications Notice: All communications with CT SHPO or any person representing CT SHPO concerning this RFP are strictly prohibited, except as permitted by the RFP. Any violation of this prohibition by proposers or their representatives may result in disqualification or other sanctions, or both.
- IV. Timeline: The following timeline, up to and including the deadline for submitting proposals, shall be changed by an amendment to this RFP. Dates after the submittal deadline are targets only.

December 14, 2018	RFP Released
January 11, 2019 4:00pm	Deadline for questions
January 25, 2019, 4:00pm	Written answers to questions released
February 1, 2019, 4:00 pm	Deadline to submit proposals
February 8 – 22 (TBD)	In-person meetings and interviews
March 1, 2019	Award Contract
March 4 – 15 (TBD)	Initial Planning Meeting
June 14, 2019	Draft Study due for review and comment by SHPO
June 28, 2019	Comments on draft to consultant
July 26, 2019	Final Study Due
TBD	Final Presentation of Findings

- V. Letter of Intent: No letter of intent is required for this RFP.
- VI. Proposers' Conference: There will be no proposers' conference scheduled for this RFP.
- VII. Inquiry Procedures: All questions regarding this RFP and submission requirements must be directed, in writing, to the Official CT SHPO Contact, Alyssa Lozupone, Architectural Preservationist, by **January 11, 2019, 4:00pm**. Proposers are required to limit their contact regarding this RFP to the person named herein. Written responses to all questions received will be posted on the Department of Administrative Services website: http://www.biznet.ct.gov/SCP_Search/Default.aspx?AccLast=2 and the CT SHPO website: <http://www.ct.gov/cct/cwp/view.asp?a=3948&q=293806&cctNav=1>.
- VIII. Confidential Information: Proposers are advised not to include in their proposals any proprietary information. The Connecticut Freedom of Information Act generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption. An example of an exemption is a "trade secret," as defined by statute. If the information is not readily available to the public from other sources and the Proposer submitting the information requests confidentiality, then the information

generally is considered to be “given in confidence.” Confidential information must be isolated from other material in the proposal and labeled CONFIDENTIAL.

IX. Minimum Submission Requirements: At a minimum proposals must be:

- submitted before the deadline,
- satisfy the packaging/labeling requirements,
- follow the required format
- be complete
- include all required forms, and
- be duly executed.

Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further.

X. Packaging and Labeling Requirements: All proposals must be submitted in sealed envelopes or packages. All proposals must be addressed to the Official CT SHPO Contact. The name and address of the proposer must appear in the upper left hand corner of the envelope or package. The envelope must be clearly marked “SEALED PROPOSAL DO NOT OPEN.” An original (clearly identified as such) and five (5) copies of the proposal must be submitted. The proposal must be signed by the proposer. Unsigned proposals will be rejected.

XI. Proposals Due: An original and five (5) copies as well as an electronic version of proposal in software compatible with Microsoft Word 2013 must be received no later than **February 1, 2019, 4:00 pm.**

XII. Selection Committee: A Selection Committee comprised of CT SHPO staff as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Selection Committee shall evaluate all proposals that meet the Minimum Submission Requirements.

XIII. Meetings with Proposers: At its discretion, CT SHPO may convene meetings with proposers in order to gain a fuller understanding of the proposals. The meetings may involve demonstrations, interviews, presentations or site visits. If CT SHPO decides that meetings are warranted the Official CT SHPO Contact will contact proposers to make an appointment.

XIV. Contractor Selection. It is CT SHPO’s intention to notify the successful proposer by **March 1, 2019** and to initiate this engagement as soon possible thereafter.

Part VI

RFP Conditions

All proposers must be willing to adhere to the following conditions and must positively state this in the proposal:

- I. **Contract Compliance Requirements.** The State of Connecticut is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment or business practices. The State is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services or activities

- II. All proposals in response to this RFP are to be the sole property of the State. Proposers are **NOT** to include in their proposals any information that is proprietary. All materials associated with this procurement process are subject to the terms of State laws defining freedom of information and privacy and all rules, regulations and interpretations resulting from those laws. The Connecticut Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any citizen, unless the content of the document falls within certain categories of exemption. An example of an exemption is a “trade secret,” as defined by Connecticut General Statutes (“Conn. Gen. Stat.”) §1-210(b)(5)(A). Confidential information must be separated and isolated from other material in the proposal and labeled **CONFIDENTIAL** and enclosed in a separate envelope.

If the proposer indicates that certain documentation, as required by this RFP, is submitted in confidence by specifically and clearly marking said documentation as **CONFIDENTIAL**. SHPO will endeavor to keep said information confidential to the extent permitted by law. SHPO, however, has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA requires. As set forth below, the proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall SHPO or any of its staff have any liability for disclosure of documents or information in the possession of SHPO which SHPO or such staff believes to be required pursuant to the FOIA or other requirements of law.

IMPORTANT NOTE: If the information is not readily available to the public from other sources and the proposer submitting the information requests confidentiality, then the information generally is considered to be “given in confidence.” A convincing explanation and rationale sufficient to justify each exemption from release consistent with C.G.S. §1-210(b) shall be prepared by the proposer and accompany the proposal. The rationales and explanation shall be simply stated in terms of the prospective harm to the competitive position of the proposer that would result if the identified information were to be released, and you shall state the reasons why you believe the materials are legally exempt from release pursuant to Conn. Gen. Stat. §1-210(b).

- III. Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of the RFP is to be the sole property of the State.

- IV. Timing and sequence of events resulting from this RFP will ultimately be determined by the State.
- V. The proposer's proposal shall remain valid for a period of 180 days after the closing date for the submission and may be extended beyond that time by mutual agreement.
- VI. All proposed costs must be fixed through the period of the agreement. No cost submissions that are contingent on a State action will be accepted.
- VII. The State may amend or cancel this RFP, prior to the due date and time, if the State deems it to be necessary, appropriate or otherwise in the best interests of the State. Failure to acknowledge receipt of amendments, in accordance with the instructions contained in the amendments, may result in a firm's proposal not being considered.
- VIII. The personnel identified in the proposer's response to this RFP will be the persons actually assigned to the project. Any additions, deletions or changes in personnel from the proposal during the course of the project must be approved by the State, with the exception of personnel who have terminated employment are subject to approval by the State. At its discretion, the State may require the removal and replacement of any of the proposer's personnel who do not perform adequately, regardless of whether they were previously approved by the State.
- IX. Any costs and expenses incurred by proposers in preparing or submitting proposals are the sole responsibility of the proposer.
- X. A proposer must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.
- XI. No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, clarification of proposals may be required by the State at the proposer's sole cost and expense.
- XII. Proposers may be asked to give demonstrations, interviews, presentations or further explanation to the RFP Selection Committee.
- XIII. The proposer represents and warrants that the proposal is not made in connection with any other proposer and is in all respects fair and without collusion or fraud. The proposer further warrants that they did not participate in any part of the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no agent, representative or employee of the State participated directly in the proposer's proposal preparation.
- XIV. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, meet deadlines, answer all questions, follow the required format, or failure to comply with any other

requirements of this RFP may be considered appropriate cause for rejection of the response.

- XV. The proposer accepts the State's **Standard Contract Language and Compliance Requirements** (Attached).
- XVI. The RFP is not an offer and neither this RFP nor any subsequent discussions shall give rise to any commitment on the part of the State or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the State and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The State shall assume no liability for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the State and by the Attorney General's Office. The contract may be amended only by means of a written instrument signed by the State, the proposer, and the Attorney General's Office.
- XVII. Pursuant to Conn. Gen. Stat. §4a-81, bids or proposals for state contracts with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, shall include a **Consulting Agreement Affidavit** (Attached) attesting to whether any consulting agreement has been entered into in connection with the bid or proposal. Such affidavit shall be required if any duties of the consultant included communications concerning business of such State agency, whether or not direct contact with a State agency, State or public official or State employee was expected or made. As used herein "consulting agreement" means any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the State, (B) contacting, whether in writing or orally, any executive, judicial or administrative office of the State, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of Chapter 10 of the Conn. Gen. Statutes as of the date such affidavit is submitted in accordance with the provisions of Conn. Gen. Stat. §4a-81.
- XVIII. With regard to a State contract as defined in P.A. 07-1 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 submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Attachment A.

Part VII

Required Format for Proposals

All proposals must follow the required format and address all requirements listed in the prescribed order using the prescribed numbering system. Failure to follow the required format may result in disqualification of a proposal.

- Font size: 12 pitch
- Font Type: Times New Roman
- Margins: 1” minimum on top, bottom and sides of all pages
- Maximum number of pages: 25 not including Section 1 – Table of Contents and Section 2 – Proposer Information
- DO NOT use material dependent on color distinctions, animated electronics, etc. in submissions
- Number of copies: An original and five (5) copies must be received no later than **February 1, 2019, 4:00 pm.**
- One (1) electronic version. Format: compatible with Microsoft Word 2013

Section 1 – TABLE OF CONTENTS

Proposers must include a Table of Contents that lists sections and subsections with page numbers that follow the organization and sequence for this proposal as required.

Section 2 – PROPOSER INFORMATION

- a. Name of Proposer
- b. Business Location
- c. Mailing Address
- d. Telephone Number
- e. Email Address and website (if available)
- f. Federal Employer ID Number/Social Security Number

Also complete the following forms, which are also attached herein:

- a. Commission on Human Rights and Opportunities Bidder Contract Compliance Monitoring Report
- b. Non-Discrimination Certification
- c. OPM Ethics Form 1 - Gift & Campaign Contribution Cert
- d. OPM Ethics Form 5- Consulting Agreement Affidavit Agency
- e. OPM Ethics Form 3- Certification of State Agency Official

Proposer’s Representative: For the authorized representative and one alternate who may speak and act on behalf of the Proposer in all dealings with the agency, if necessary. Provide the following information:

- a. Names
- b. Telephone Numbers and Email addresses
- c. Normal Hours of Work

Section 3 – INDIVIDUAL OR ORGANIZATIONAL PROFILE

- a. **Qualifications.** Describe how your experience, education and training, or special knowledge, skills or abilities meet the required minimum qualifications of this RFP.
- b. **Summary of Relevant Experience.** Provide a listing of projects that the proposer has completed within the last three (3) years in the subject area with emphasis on activities relevant and related to the proposed project. Additionally, please list any contracts in the last three (3) years between the proposer and any agency of the State of Connecticut.
- c. **Organization Chart.** If proposer is a firm or corporation, provide a diagram showing the hierarchal structure of functions and positions within the organization.
- d. **Financial Condition.** If the proposer is a firm or corporation, include the two (2) most recent annual financial statements prepared by an independent Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA). If a proposer has been in business for less than two years, such proposer must include any financial statements prepared by a Certified Public Accountant, and reviewed or audited in accordance with Generally Accepted Accounting Principles (USA) for the entire existence of such firm or corporation.
- e. **References.** Include three (3) letters of reference from recent clients. Provide the following information for each reference: name, title, name of company, company address, and telephone number.

Section 4 – STATEMENT OF WORK

- a. **Work Plan.** Provide a detailed, task oriented breakdown for each activity/task in the Scope of Services. Proposers wishing to add activities/tasks to those specified in the Scope of Services must show the additions as separately numbered activities/tasks.
- b. **Methodologies.** Describe how each activity/task will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
- c. **Deliverables.** List and describe the form and content of each deliverable (outcome). Include a description of the proposed method of working with the CT SHPO, the resources or services requested of the CT SHPO (if any), and the proposed method of receiving CT SHPO approval of deliverables.
- d. **Schedule.** Include a proposed work schedule, by activity/task, indicated when each activity/task will be accomplished. Identify any significant milestones or deadlines. Include due dates for all deliverables.
- e. **Examples.** Include comparable examples of other historic preservation economic and quality of life impact studies as well as examples of graphic design capabilities.

Section 5 – PERSONNEL RESOURCES

- a. **Staffing Plan –** Identify the personnel resources that will be assigned to each activity/task delineated in the work plan above. State the proportion of time that

- each personnel will allocate to each activity/task of the project. Include a job description for each title assigned to the personnel identified.
- b. Key Personnel. Identify the key personnel that will be assigned to this project. Attach resumes reflecting their qualifications and work experience in the subject area. The SHPO must be notified in writing, and in advance, regarding the departure of any key personnel from the project.

Section 6 – CONFLICT OF INTEREST

Include a disclosure statement concerning any current business relationships (within the last three years) that may pose a conflict of interest as defined by Conn. Gen. Stat. Sec. 1-85.

Section 7 – AFFIDAVITS

Submit a **Consulting Agreement Affidavit** if the bid or proposal is for a state contract (only to be used with contracts for the purchase of goods and services) with a value of \$50,000 or more in a calendar or fiscal year, excluding leases and licensing agreements of any value, attesting to whether any consulting agreement has been entered into in connection with the bid or proposal.

Section 8 – ADDITIONAL DATA

Provide any additional information which the proposer wishes to bring to the attention of the CT SHPO that is relevant to this RFP.

Part VIII

Evaluation of Proposals

A Selection Committee comprised of CT SHPO staff as deemed appropriate will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. The Selection Committee shall evaluate all proposals that meet the Minimum Submission Requirements.

The following criteria shall be utilized in the selection process. They are presented as a guide for the proposer in understanding the CT SHPO's requirements and expectations for this project and are not necessarily presented in order of importance.

- Quality of the firm's experience in preparing and presenting historic preservation economic and quality of life impact studies
- Qualifications of key personnel
- Approach to the project as described in the proposal
- Demonstrated commitment to complete the project within CT SHPO's timeframe

Part IX

Rights Reserved to State

The State reserves the right to award in part, to reject any and all bids in whole or in part for misrepresentation or if the proposer is in default of any prior State contract, or if the bid or proposal limits or modifies any of the terms and conditions and/or specifications of the RFP. The State also reserves the right to waive technical defect, irregularities and omissions if, in its judgment, the best interest of the State will be served.

The State reserves the right to correct inaccurate awards resulting from its clerical errors. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer. Such action on the part of the State shall not constitute a breach of contract on the part of the State since the contract with the initial proposer is deemed to be void ab initio and of no effect as if no contract ever existed between the State and the proposer.

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

(Revised 09/3/15)

The contract to be awarded is subject to contract compliance requirements mandated by [Sections 4a-60](#) and [4a-60a](#) of the Connecticut General Statutes; and, when the awarding agency is the State, [Sections 46a-71\(d\)](#) and [46a-81i\(d\)](#) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at [Section 46a-68j-21 through 43](#) of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by [Sections 4a-60](#) and [46a-71\(d\)](#) of the Connecticut General Statutes.

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

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

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with [Sections 46a-68-1 to 46a-68-17](#) of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. [See Section 46a-68j-30\(10\)\(E\)](#) of the Contract Compliance Regulations.

INSTRUCTIONS AND OTHER INFORMATION

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

1) **Definition of Small Contractor**

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

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

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

BUSINESS AND FINANCIAL OPERATIONS: These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

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

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

COMPUTER SPECIALISTS: Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists

ARCHITECTURE AND ENGINEERING: Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

OFFICE AND ADMINISTRATIVE SUPPORT: All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

BUILDING AND GROUNDS CLEANING AND MAINTENANCE: This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

CONSTRUCTION AND EXTRACTION: This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category.

INSTALLATION, MAINTENANCE AND REPAIR: Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

MATERIAL MOVING WORKERS: The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

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

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

<p><u>White</u> (not of Hispanic Origin)-All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.</p> <p><u>Black</u> (not of Hispanic Origin)-All persons having origins in any of the Black racial groups of Africa.</p> <p><u>Hispanic</u>- All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.</p>	<p><u>Asian or Pacific Islander</u>- 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.</p> <p><u>American Indian or Alaskan Native</u>- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.</p>
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BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART 1 – Bidder Information

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

PART II - Bidder Nondiscrimination Policies and Procedures

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

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

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

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

PART IV - Bidder Employment Information

Date:

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

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

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

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

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

_____ and that _____
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



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – New Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor 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 \$50,000 or more for any year of the contract. Complete all sections of the form. Submit to the awarding State agency prior to contract execution.

CERTIFICATION OF RESOLUTION:

I, _____, _____, of _____,
Authorized Signatory Title Name of Entity

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

certify that the following is a true and correct copy of a resolution adopted on the ____ day of _____, 20____ by the governing body of _____,
Name of Entity

in accordance with all of its documents of governance and management and the laws of _____, and further certify that such resolution has not been modified
Name of State or Commonwealth

or revoked, and is in full force and effect.

RESOLVED: That the policies of _____ comply with the
Name of Entity
nondiscrimination agreements and warranties of Connecticut General Statutes
§§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

The undersigned has executed this certificate this ____ day of _____, 20____.

Authorized Signatory Date

Printed Name



STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION – Prior Resolution
By Entity
For Contracts Valued at \$50,000 or More

Documentation in the form of a corporate, company, or partnership policy adopted by a prior resolution of the board of directors, shareholders, managers, members or other governing body of a contractor that certifies the contractor 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 \$50,000 or more for any year of the contract. Complete all sections of the form. Attach copy of previously adopted resolution (*State of CT, Nondiscrimination Certification, Form D: New Resolution*). Submit all documentation to the awarding State agency prior to contract execution.

CERTIFICATION OF PRIOR RESOLUTION:

I, the undersigned, am a duly authorized corporate officer or member of _____.
Name of Entity

I have reviewed the attached prior resolution. I certify that:

- (1) the attached prior resolution complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended; and
- (2) the prior resolution remains in full force and effect on the date this documentation is submitted to the awarding State agency.

Authorized Signatory Title

Printed Name Date

RESERVED FOR STATE USE

I, the undersigned head of the awarding State agency, or designee, certify that the attached prior resolution complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signature of Agency Head (or designee) Date

Awarding State Agency



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Certification to accompany a State contract with a value of \$50,000 or more in a calendar or fiscal year, pursuant to C.G.S. §§ 4-250 and 4-252(c); Governor M. Jodi Rell's Executive Orders No. 1, Para. 8, and No. 7C, Para. 10; and C.G.S. §9-612(g)(2), as amended by Public Act 07-1

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution (and on each anniversary date of a multi-year contract, if applicable).

CHECK ONE: Initial Certification Annual Update (Multi-year contracts only.)

GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is an Annual Update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "**Gift**" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Planning Start Date" is the date the State agency began planning the project, services, procurement, lease or licensing arrangement covered by this Contract, as indicated by the awarding State agency below; and
- 7) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of the Contractor. I hereby certify that, between the Planning Start Date and Execution Date, neither the Contractor nor any Principals or Key Personnel has made, will make (or has promised, or offered, to, or otherwise indicated that he, she or it will, make) any **Gifts** to any Applicable Public Official or State Employee.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other principals, key personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

CAMPAIGN CONTRIBUTION CERTIFICATION:

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any **campaign contributions** to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Lawful Campaign Contributions to Candidates for Statewide Public Office:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Lawful Campaign Contributions to Candidates for the General Assembly:

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Contractor Name

Signature of Authorized Official

Subscribed and acknowledged before me this _____ day of _____, 20__.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

Awarding State Agency

Planning Start Date

Contract Number or Description



**STATE OF CONNECTICUT
 CERTIFICATION OF STATE AGENCY OFFICIAL OR EMPLOYEE
 AUTHORIZED TO EXECUTE CONTRACT**

Certification to accompany a State contract, having a value of \$50,000 or more, pursuant to Connecticut General Statutes §§ 4-250 and 4-252(b), and Governor Dannel P. Malloy's Executive Order 49.

INSTRUCTIONS:

Complete all sections of the form. Sign and date in the presence of a Commissioner of the Superior Court or Notary Public. Submit to the awarding State agency at the time of contract execution.

CERTIFICATION:

I, the undersigned State agency official or State employee, certify that (1) I am authorized to execute the attached contract on behalf of the State agency named below, and (2) the selection of the contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

 Contractor Name

 Awarding State Agency

 State Agency Official or Employee Signature

 Date

 Printed Name

 Title

Sworn and subscribed before me on this _____ day of _____, 20____.

**Commissioner of the Superior Court
 or Notary Public**

My Commission Expires