

**PERSONAL SERVICE AGREEMENT**

CO-802A REV. 2/08

STATE OF CONNECTICUT  
OFFICE OF THE STATE COMPTROLLER

1. PREPARE IN QUADRUPPLICATE
2. THE STATE BUSINESS UNIT 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.
3. ACCEPTANCE OF THIS CONTRACT IMPLIES CONFORMANCE WITH TERMS AND CONDITIONS SET FORTH BY THE OFFICE OF POLICY AND MANAGEMENT PERSONAL SERVICE AGREEMENT STANDARDS AND PROCEDURES.

(1)  ORIGINAL  AMENDMENT (2) IDENTIFICATION NO. P.S.

<b>CONTRACTOR</b>	(3) CONTRACTOR NAME Stantec Consulting Services Inc	(4) ARE YOU PRESENTLY A STATE EMPLOYEE? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
	CONTRACTOR ADDRESS 55 Church Street, Suite 601, New Haven, CT 06510	CONTRACTOR FEIN/SSN - SUFFIX 11-2167170

<b>STATE AGENCY</b>	(5) AGENCY NAME AND ADDRESS Department of Housing - 505 Hudson St, Hartford, CT 06106
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<b>CONTRACT PERIOD</b>	(6) DATE (FROM) 11/1/2017	THROUGH (TO) 9/30/2022	(7) INDICATE <input checked="" type="checkbox"/> MASTER AGREEMENT <input type="checkbox"/> CONTRACT AWARD NO. <input type="checkbox"/> NEITHER
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<b>CANCELLATION CLAUSE</b>	THIS AGREEMENT SHALL REMAIN IN FULL FORCE AND EFFECT FOR THE ENTIRE TERM OF THE CONTRACT PERIOD STATED ABOVE UNLESS CANCELED BY THE STATE BUSINESS UNIT, BY GIVING THE CONTRACTOR WRITTEN NOTICE OF SUCH INTENTION (REQUIRED DAYS NOTICE SPECIFIED AT RIGHT)	(8) REQUIRED NO. OF DAYS WRITTEN NOTICE 30
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<b>COMPLETE DESCRIPTION OF SERVICE</b>	(9) CONTRACTOR AGREES TO: (Include special provisions - Attach additional blank sheets if necessary.)	
	<p>Stantec will support DOH staff and supplement in-house capacity to realize objectives of the National Disaster Resilience program while maintaining compliance with HUD through program completion in September, 2022. Their scope includes document control, action plan amendments and quarterly reporting, NEPA compliance, financial/procurement compliance and procedural support, audit support, risk management, monitoring, and construction management. They will produce program policies and procedures, NEPA compliance documents, a document control system, quarterly reports, invoice review, audit support, monitoring protocol, and const. monitor.</p>	

<b>COST AND SCHEDULE OF PAYMENTS</b>	(10) PAYMENT TO BE MADE UNDER THE FOLLOWING SCHEDULE UPON RECEIPT OF PROPERLY EXECUTED AND APPROVED INVOICES.	
	<p>Payment will be made not less than monthly based on hours worked up to the following not-to-exceed amounts by contract tasks: Document Control - \$423,340; Action Plan Amendments &amp; Reports - \$87,049; NEPA Compliance - \$95,931; Financial/Procurement Compliance &amp; Procedural Schedule - \$236,275; Audit Support - \$287,793; Risk Management - \$119,026; Monitoring - \$458,337; Project Delivery - \$619,719. The total amount paid will not exceed \$2,327,470.</p>	

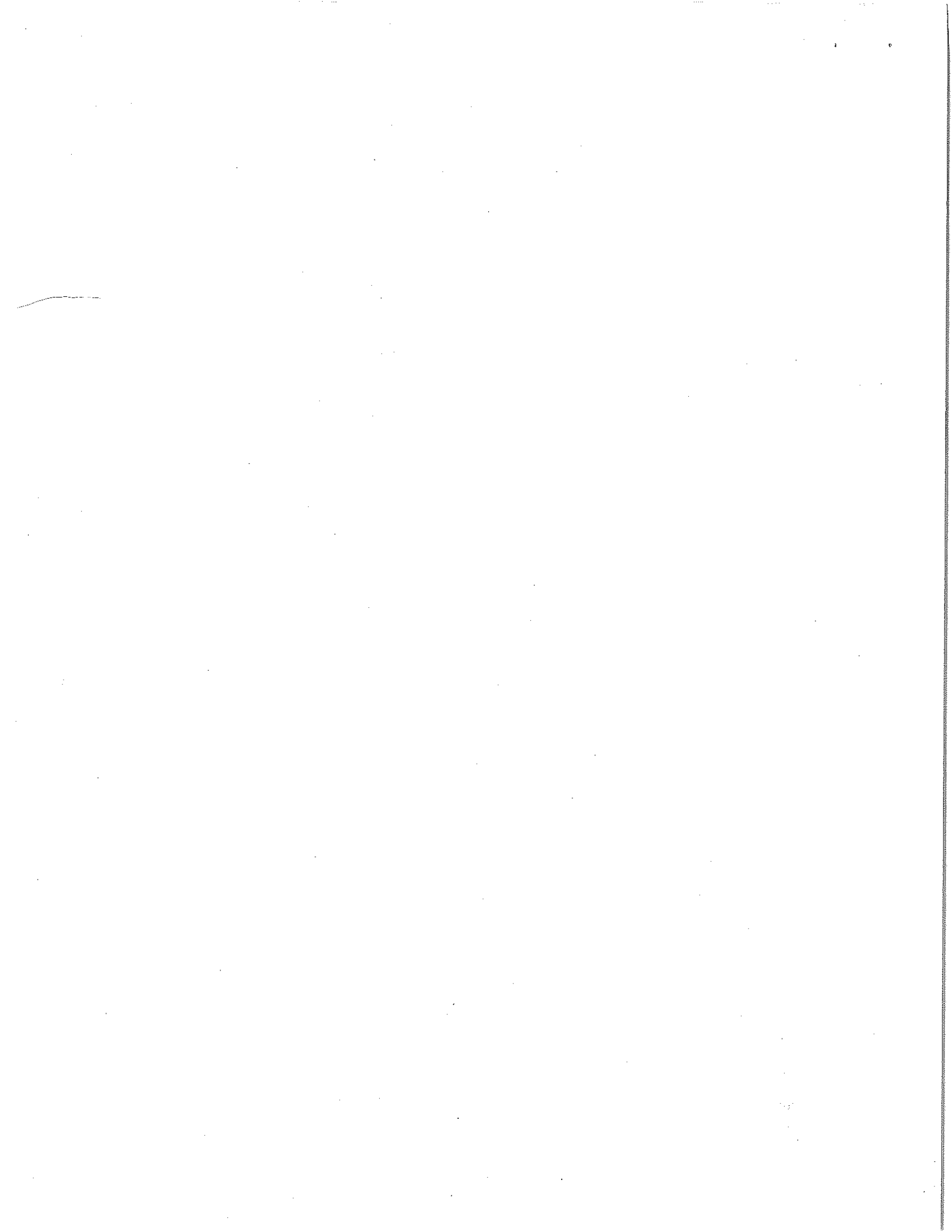
(11) OBLIGATED AMOUNT	\$2,327,470
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(12) AMOUNT	(13) FUND	(14) DEPARTMENT	(15) SID	(16) PROGRAM	(17) ACCOUNT	(18) PROJECT/GRANT	(19) CHARTFIELD 1	(20) CHARTFIELD 2	(21) BUDGET REFERENCE
\$1,707,751	12060	DH46961	26336	51005	51210	5000001			2016
\$65,071	12060	DH46961	22766	51005	51210	2066126			2016
\$12,394	12060	DH46961	22766	51005	51210	2066127			2016
\$440,000	12060	DH46961	22766	51005	51210	2066128			2016
\$102,254	12060	DH46961	29522	51005	51210	2066119			2016

An individual entering into a Personal Service 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 (d) (2). Individuals performing services as independent contractors are not employees of the State of Connecticut and are responsible themselves for payment of all State and local income taxes, federal income taxes and Federal Insurance Contribution Act (FICA) taxes.

<b>ACCEPTANCES AND APPROVALS</b>	(22) STATUTORY AUTHORITY
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(23) CONTRACTOR (OWNER OR AUTHORIZED SIGNATURE) 	TITLE Vice President	DATE 03/06/2018
(24) AGENCY (AUTHORIZED OFFICIAL) 	TITLE	DATE 3/14/18
(25) OFFICE OF POLICY & MANAGEMENT/DEPARTMENT OF ADMINISTRATIVE SERVICES SEE ATTACHED EMAIL	TITLE	DATE
(26) ATTORNEY GENERAL (APPROVED AS TO FORM) 	Joseph Rubin, ASSOC. ATTY. GENERAL	DATE 3/20/18



## Personal Service Agreement

### SECTION 1

This Personal Service Agreement (hereinafter referred to as the "**Agreement**") is entered into by and between the State of Connecticut acting through the Department of Housing (hereinafter "**DOH**" or the "**Agency**") having an office at 505 Hudson Street, Hartford, CT 06106, pursuant to Connecticut General Statutes ("**CGS**") §§ 4-8, 8-206 and Stantec Consulting Services, Inc., a New York corporation, having its principal offices at 55 Church Street, Suite 601 New Haven, CT 06510 (hereinafter "**Contractor**"). The parties agree that the services specified below shall be provided by Contractor in strict compliance with the provisions of this Agreement.

### SECTION 2 CONTRACT PERIOD AND DEFINITIONS

A. Agreement Period. The term of this Agreement will commence as of the date it is fully executed by the parties hereto including, if applicable, the Attorney General of the State of Connecticut or his or her designee, and will run until September 30, 2022, or the earlier termination of this Agreement.

B. Definitions. Whenever the following terms or phrases are used in this Agreement, they shall have the following meaning unless the context clearly requires otherwise:

- (i) Affiliate: The term "Affiliate" means any person, as defined in CGS § 12-1, that controls, is controlled by, or is under common control with another person. A person controls another person if the person owns, directly or indirectly, more than ten percent (10%) of the voting securities of the other person. The word "voting security" means a security that confers upon the holder the right to vote for the election of members of the board of directors or similar governing body of the business, or that is convertible into, or entitles the holder to receive, upon its exercise, a security that confers such a right to vote. "Voting security" includes a general partnership interest.
- (ii) Bid: A Bid submitted in response to a Solicitation.
- (iii) Bidder: A person or entity submitting a competitive Bid in response to a Solicitation.
- (iv) Claim: The term "Claim" shall mean all actions, suits, claims, demands, investigations and proceedings of any kind, open, pending or threatened, whether mature, unmatured, contingent, known or unknown, at law or in equity, in any forum.
- (v) Contractor Parties: A Contractor's members, directors, officers, shareholders, partners, managers, principal officers, representatives, agents, servants, consultants, employees or any one of them or any other person or entity with whom the Contractor is in privity of oral or written contract and the Contractor intends for such other person or entity to Perform under the Agreement in any capacity.
- (vi) Day or day: Whenever the term Day or day is used, it shall refer to all calendar days, other than Saturdays, Sundays and days designated as national or State of Connecticut holidays upon which banks in Connecticut are closed.
- (vii) Goods: All things which are movable at the time that the Agreement is effective and which include, without limiting this definition, supplies, materials and equipment, as specified in this Agreement and as set forth in Exhibit A.
- (viii) Perform: For purposes of this Agreement, the verb "to perform" and the Contractor's performance set forth in Exhibit A are referred to as "Perform," "Performance" and other capitalized variations of the term.
- (ix) Records: All working papers and such other information and materials as may have been accumulated by the Contractor in Performing the Agreement, including but not limited to, documents, data, plans,

books, computations, drawings, specifications, notes, reports, records, estimates, summaries, memoranda and correspondence, kept or stored in any form.

- (x) Services: The performance of labor or work, as specified in the Solicitation and as set forth in Exhibit A.
- (xi) Solicitation: A State request, in whatever form issued, inviting bids, proposals or quotes for Services, typified by, but not limited to, an invitation to bid, request for proposals, and request for information or request for quotes.
- (xii) State: The State of Connecticut, including DOH, and any office, department, board, council, commission, institution or other agency of the State.
- (xiii) Termination: An end to the Agreement prior to the end of its term whether effected pursuant to a right which the Agreement creates or for a breach.
- (xiv) Title: all ownership, title, licenses, rights and interest, including, but not limited to, perpetual use, of and to the Goods or Services.

### **SECTION 3 CANCELLATION & TERMINATION PROVISIONS**

A. This Agreement may be canceled at will by either party upon 30 days written notice delivered by certified mail. Notwithstanding any provisions in this Agreement, the Agency, through a duly authorized employee, may terminate the Agreement whenever the Agency makes a written determination that such Termination is in the best interests of the State. The Agency shall notify the Contractor in writing, pursuant to the provisions of Section 4 of this Agreement, of Termination pursuant to this section, which notice shall specify the effective date of Termination and the extent to which the Contractor must complete its Performance under the Agreement prior to such date.

B. Upon termination of the Agreement, all rights and obligations shall be null and void, so that no party shall have any further rights or obligations to any other party, except with respect to the sections which survive Termination. All representations, warranties, agreements and rights of the parties under the Agreement shall survive such Termination to the extent not otherwise limited in the Agreement and without each one of them having to be specifically mentioned in the Agreement. Termination of the Agreement pursuant to this section shall not be deemed to be a breach of contract by the Agency.

C. If the Contractor breaches the Agreement in any respect, the Agency shall provide written notice of the breach to the Contractor and afford the Contractor an opportunity to cure within ten (10) days from the date that the Contractor receives the notice. Notwithstanding the foregoing, any other time period which the Agency sets forth in the notice shall trump the ten (10) days. The right to cure period may be extended if the Agency is satisfied that the Contractor is making a good faith effort to cure but the nature of the breach is such that it cannot reasonably be cured within the right to cure period specified in the written notice of breach. The notice may include an effective Agreement Termination date if the breach is not cured by the stated date and, unless otherwise modified by the Agency in writing prior to the Termination date, no further action shall be required of the Agency to effect the Termination as of the stated date. If the notice does not set forth an effective Agreement Termination date, then the Agency may terminate the Agreement by giving the Contractor no less than twenty four (24) hours' prior written notice. If the Agency believes that the Contractor has not performed according to the Agreement, the Agency may withhold payment in whole or in part pending resolution of the Performance issue, provided that the Agency notifies the Contractor in writing prior to the date that the payment would have been due in accordance with Exhibit A.

### **SECTION 4 NOTICE**

Unless otherwise expressly provided to the contrary, any other notice provided under this Agreement shall be in writing and may be delivered personally or by certified mail in the manner set forth in this section. All notices shall be effective if delivered personally or by certified mail to the following addresses:

State: State of Connecticut  
Department of Housing  
505 Hudson Street, 2<sup>nd</sup> Floor  
Hartford, CT 06106  
Attention: David Kooris

Contractor: Stantec  
55 Church Street, Suite 601  
New Haven, CT 06510  
Attention: Gary Sorge

The parties may change their respective addresses for notices under this paragraph upon prior written notification to the other.

## **SECTION 5 SPECIFICATION OF SERVICES**

The Contractor shall Perform the Services set forth in Exhibit A, which is attached hereto and made a part hereof.

## **SECTION 6 COST AND SCHEDULE OF PAYMENTS**

- A. The State shall pay the Contractor a total sum not to exceed \$2,327,470 for services performed under this Agreement.
- B. The Contractor shall be compensated for fees based upon work performed, documented, and accepted by the State.
- C. The Contractor shall submit invoices on a periodic basis, not less often than monthly. Invoices shall, at a minimum, include the Contractor name, the Agreement Number, the Contractor's Federal Employer Identification Number, the billing period, and an itemization of expenses by line item.
- D. Invoices for deliverables shall include an identification of the deliverable; if printed material, a copy of the deliverable; and the date that the deliverable was provided to the State.
- E. Invoices for services billed by the hour shall include the name and title of the individual providing the services, the dates worked, the number of hours worked each day with a brief synopsis of the work performed, the rate being charged for the individual, and the total cost for that person's work during the billing period.
- F. Invoices for expenses, if allowed, shall include a detailed account of expenses specifying the day when and purpose for which they were incurred as well as all receipts, invoices, bills and other available documentation or if no documentation is available, a detailed accounting of the computation used to determine the reimbursable cost, as evidence of the actual cost of such expenses. Such expenses may include, but are not limited to: mileage at current State approved reimbursement rate; costs of travel including coach airfare and hotels; and office expenses such as, phone calls, copying, postage and package delivery incurred in connection with the service pertaining to this Agreement. All expenses will be reimbursed at cost.
- G. The State shall assume no liability for payment for services under the terms of this Agreement until the Contractor is notified that the Agreement has been accepted by DOH, and if applicable, approved by DOH, the Department of Administrative Services and/or by the Attorney General of the State.

## **SECTION 7**

## REPRESENTATIONS AND WARRANTIES

- A. The Contractor represents and warrants to the Agency for itself and any Contractor Parties, as appropriate, that:
- (a) if they are entities, they are duly and validly existing under the laws of their respective states of organization and authorized to conduct business in the State of Connecticut in the manner contemplated by the Agreement. Further, as appropriate, they have taken all necessary action to authorize the execution, delivery and Performance of the Bid, if applicable, and the Agreement and have the power and authority to execute, deliver and Perform their obligations under the Agreement;
  - (b) they will comply with all applicable State and Federal laws and municipal ordinances in satisfying their obligations to the Agency under and pursuant to the Agreement, including, but not limited to (1) CGS Title 1, Chapter 10, concerning the State's Codes of Ethics and (2) CGS Title 4a concerning State purchasing, including, but not limited to CGS § 22a-194a concerning the use of polystyrene foam;
  - (c) the execution, delivery and Performance of the Agreement will not violate, be in conflict with, result in a breach of or constitute (with or without due notice and/or lapse of time) a default under any of the following, as applicable: (1) any provision of law; (2) any order of any court or the State; or (3) any indenture, agreement, document or other instrument to which it is a party or by which it may be bound;
  - (d) they are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any governmental entity;
  - (e) as applicable, they have not, within the three (3) years preceding the Agreement, in any of their current or former jobs, been convicted of, or had a civil judgment rendered against them or against any person who would Perform under the Agreement, for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a transaction or contract with any governmental entity. This includes, but is not limited to, violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records or property, making false statements, or receiving stolen property;
  - (f) they are not presently indicted for or otherwise criminally or civilly charged by any governmental entity with commission of any of the offenses listed above;
  - (g) they have not within the three (3) years preceding the Agreement had one or more contracts with any governmental entity terminated;
  - (h) they have not employed or retained any entity or person, other than a bona fide employee working solely for them, to solicit or secure the Agreement and that they have not paid or agreed to pay any entity or person, other than a bona fide employee working solely for them, any fee, commission, percentage, brokerage fee, gifts, or any other consideration contingent upon or resulting from the award or making of the Agreement or any assignments made in accordance with the terms of the Agreement;
  - (i) to the best of their knowledge, there are no claims involving the Contractor or Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to Perform fully under the Agreement;
  - (j) they shall disclose, to the best of their knowledge, to the Agency in writing any claims involving them that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to Perform fully under the Agreement, no later than ten (10) days after becoming aware or after they should have become aware of any such claims. For purposes of the Contractor's obligation to disclose any claims to the Agency, the ten (10) days in the section of this Agreement concerning disclosure of Contractor Parties litigation shall run consecutively with the ten (10) days provided for in this representation and warranty;
  - (k) their participation in the Solicitation process is not a conflict of interest or a breach of ethics under the provisions of CGS Title 1, Chapter 10 concerning the State's Code of Ethics;

- (l) the Bid, if any, was not made in connection or concert with any other person, entity or Bidder, including any affiliate of the Contractor, submitting a Bid for the same Services, and is in all respects fair and without collusion or fraud;
- (m) they are able to Perform under the Agreement using their own resources or the resources of a party who is not a Bidder;
- (n) the Contractor shall obtain in a written contract all of the representations and warranties in this section from any Contractor Parties and to require that provision to be included in any contracts and purchase orders with such Contractor Parties;
- (o) they have paid all applicable workers' compensation second injury fund assessments concerning all previous work done in Connecticut;
- (p) they have a record of compliance with Occupational Health and Safety Administration regulations without any unabated, willful or serious violations;
- (q) they owe no unemployment compensation contributions;
- (r) they are not delinquent in the payment of any taxes owed, or, that they have filed a sales tax security bond, and they have, if and as applicable, filed for motor carrier road tax stickers and have paid all outstanding road taxes;
- (s) all of their vehicles have current registrations and, unless such vehicles are no longer in service, they shall not allow any such registrations to lapse;
- (t) each Contractor Party has vested in the Contractor plenary authority to bind the Contractor Parties to the full extent necessary or appropriate to ensure full compliance with and Performance in accordance with all of the terms and conditions of the Agreement and that all appropriate parties shall also provide, no later than fifteen (15) days after receiving a request from the Agency, such information as the Agency may require to evidence, in the Agency's sole determination, compliance with this section;
- (u) if either party Terminates the Agreement, for any reason, the Contractor shall relinquish or cause to be relinquished to the Agency all Title to any Goods delivered, accepted and paid for (except to the extent any invoiced amount is disputed) by the Agency in connection with Performance of the Agreement;
- (v) they shall not copyright, register, distribute or claim any rights in or to any work product created in the Performance of this Agreement after the effective date of the Agreement without the Agency's prior written consent;
- (w) if they procure any Goods, they shall sub-license such Goods and that the Agency shall be afforded the full benefits of any manufacturer or subcontractor licenses for the use of the Goods; and
- (x) they shall assign or otherwise transfer to the Agency, or afford the Agency the full benefits of any manufacturer's warranty for the Goods, to the extent that such warranties are assignable or otherwise transferable to the Agency.

B. Disclosure of Contractor Parties Litigation. The Contractor shall require that all Contractor Parties, as appropriate, disclose to the Contractor, to the best of their knowledge, any Claims involving the Contractor Parties that might reasonably be expected to materially adversely affect their businesses, operations, assets, properties, financial stability, business prospects or ability to Perform fully under the Agreement, no later than ten (10) days after becoming aware or after they should have become aware of any such Claims. Disclosure shall be in writing.

## SECTION 8 OTHER CONDITIONS

### **A. Entire Agreement**

This Agreement embodies the entire agreement between the State and Contractor 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 Agreement shall supersede all prior written agreements between the parties and their predecessors. No changes, amendments, or modifications of any of the terms or conditions of the Agreement shall be valid unless reduced to writing, signed by both parties, and approved by the Attorney General or his designee. This Agreement shall inure to the benefit of each party's heirs, successors, and assigns.

### **B. Changes in Service**

When changes in the services are required or requested by the State, Contractor shall promptly estimate their monetary effect and so notify the State. No change shall be implemented by Contractor unless it is approved by the State in writing; and, unless otherwise agreed to in writing, the provisions of this Agreement shall apply to all changes in the services. If the State determines that any change materially affects the cost or time of performance of this Agreement as a whole, Contractor and the State will mutually agree in writing to an equitable adjustment.

### **C. 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. Contractor shall act as an independent Contractor in performing this Agreement, maintaining complete control over its employees and all of its subcontractors. Contractor shall furnish fully qualified personnel to perform the services under this Agreement. Contractor shall perform all services in accordance with its methods, subject to compliance with this Agreement and all applicable laws and regulations. It is acknowledged that services rendered by the Contractor to the State hereunder do not in any way conflict with other contractual commitments with or by the Contractor. If applicable, Contractor shall deliver copies of any and all current license(s) and registration(s) relating to the services to be performed under this Agreement to the State, at the time of the execution of this Agreement, as evidence that such are in full force and effect.

### **D. Laws and Regulations**

This Agreement shall be interpreted under and governed by the laws of the State of Connecticut. Contractor, 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 Agreement.

### **E. Labor and Personnel**

At all times, Contractor shall utilize approved, qualified personnel and any State approved subcontractors necessary to perform the services under this Agreement. 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 Agreement. 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 will be responsible to the State for any economic detriment caused the State by such subcontract arrangement.

Contractor shall, if requested to do so by the State, reassign from the State's 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 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 (5) days thereafter, or ten (10) days from the date of the notice of reassignment, the employee shall be reassigned from the State's account.



#### **F. Conflicts, Errors, Omissions, and Discrepancies**

In the event of any conflict between the provision of this Agreement and the provisions of Form CO-802A to which this Agreement is attached, the provisions of this Agreement shall control.

In case of conflicts, discrepancies, errors, or omissions among the various parts of this Agreement, any such matter shall be submitted immediately by Contractor to the State for clarification. The State shall issue such clarification within a reasonable period of time. Any services affected by such conflicts, discrepancies, errors, or omissions which are performed by Contractor prior to clarification by the State shall be at Contractor's risk.

#### **G. Indemnification**

(a) In addition to the specific covenants of indemnification set forth in this Agreement, the Contractor shall indemnify, defend and hold harmless the State and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) Claims or other Claims arising, directly or indirectly, in connection with this Agreement, including the acts of commission or omission (collectively, the "Acts") of the Contractor and (2) liabilities, damages, losses, costs and expenses, including, but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or this Agreement. The Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this section. The Contractor's obligations under this section to indemnify, defend and hold harmless against Claims includes Claims concerning confidentiality of any part of or all of the Contractor's bid, if applicable, proposal or any records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance of this Agreement.

(b) The Contractor shall not be responsible for indemnifying or holding the State harmless from any liability arising due to the negligence of the State or any third party acting under the direct control or supervision of the State.

(c) The Contractor shall reimburse the State for any and all damages to the real or personal property of the State caused by the Acts of the Contractor. The State shall give the Contractor reasonable notice of any such Claims.

(d) The Contractor's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of this Agreement, without being lessened or compromised in any way, even where the Contractor is alleged or is found to have merely contributed in part to the Acts giving rise to the Claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the Claims.

(e) Without limiting the other insurance requirements set forth under this Agreement, the Contractor shall carry and maintain at all times until the expiration of the Agreement, and during the time that any provisions of this Agreement survive a termination, sufficient general liability insurance to satisfy its obligations under this Agreement. The Contractor shall name the State and DOH as additional insureds on the policy and shall provide a copy of the policy or satisfactory evidence of such insurance coverage to DOH. The State shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that the State is contributorily negligent.

(f) This section shall survive the expiration or termination of this Agreement and shall not be limited by reason of any insurance coverage.

#### **H. Nondisclosure**

Contractor shall not release any information concerning the services provided pursuant to the Agreement 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.

### I. Audit and Inspection of Plants, Places of Business and Records

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. At the State's request, the Contractor shall provide the State with hard copies or an electronic format of any data or information in the possession or control of the Contractor which pertains to the State's business under this Agreement.

- (a) The State and its agents, including, but not limited to, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents, may, at reasonable hours, inspect and examine all of the parts of the Contractor's and Contractor Parties' plants and places of business, which are in any way related to, or involved in, the performance of this Agreement.
- (b) The Contractor shall maintain, and shall require each of the Contractor Parties to maintain, accurate and complete records in any way related to, or involved in, the performance of this Agreement. The Contractor shall make all of its and the Contractor Parties' records (in any way related to, or involved in, the performance of this Agreement) available at all reasonable hours for audit and inspection by the State and its agents.
- (c) The State shall make all requests for any audit or inspection in writing and shall provide the Contractor with at least twenty-four (24) hours' notice prior to the requested audit and inspection date. If the State suspects fraud or other abuse, or in the event of an emergency, the State is not obligated to provide any prior notice.
- (d) All audits and inspections shall be at the Contractor's expense.
- (e) The Contractor shall retain and maintain accurate records and documents relating to performance of services under this Agreement 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. Any subcontractor under this Agreement shall retain and maintain accurate records and documents relating to performance of services under this Agreement for a minimum of three (3) years from the expiration of the subcontract. Any duly authorized employee, agent, representative, or contractor of the State, including, but not limited to, the State Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents, shall, at all reasonable times, have access to and the right to inspect, copy, audit, and examine all books of account, records, and other documents of the Contractor relating to the Agreement, including but not limited to those records and accounts for the fiscal year(s) in which the award was made, for a period of three (3) years after the latter of (i) final payment under this Agreement, or (ii) the expiration or earlier termination of this Agreement, as the same may be modified for any reason. The State may request an audit or inspection at any time during this period. The provisions of this section shall survive the expiration of the Agreement. If any claim or audit is started before the expiration of this period, the Contractor shall retain or cause to be retained all records until all Claims or audit findings have been resolved. The Contractor will cooperate fully with DOH in connection with any interim or final audit relating to the Agreement that may be performed. Unless otherwise required by DOH or the State, any audits must be conducted in accordance with the Audit Guide.
- (f) The Contractor shall cooperate fully with DOH, the State and their respective employees, agents, representatives, or contractors in connection with an audit or inspection. Following any audit or inspection, the State may conduct, and the Contractor shall cooperate with, an exit conference.
- (g) The Contractor shall incorporate this entire section verbatim into any contract or other agreement that it enters into with any Contractor Party or subcontractor providing services in connection with this Agreement.
- (h) The Contractor shall provide for an annual financial audit acceptable to DOH for any expenditure of state-awarded funds made by the Contractor. Such audit shall include management letters and audit recommendations. The audit shall be in accordance with the Audit Guide for Audits of the State of Connecticut Department of Economic and Community Development ("**DECD**") programs published by DECD, as it may be modified or superseded from time to time, (the "**Audit Guide**"), and the requirements established by federal law and state statute (collectively, the "**Audit Standards**"). If the Contractor is not subject to a federal and/or state single audit, it shall be subject to a Cost Certification and Independent Auditor's Report within one hundred twenty (120) days of the Agreement Completion Date or at such times as required by DOH. The Cost Certification and Independent Auditor's Report shall be in the form prescribed by DOH in the Audit Guide, as the same may be amended from time to time. An independent public accountant shall conduct the audits or

complete the Cost Certification and Independent Auditor's Reports, as applicable. At the sole discretion and with the approval of DOH, examiners from the State may conduct project-specific audits. The Contractor will comply with federal and state single audit standards as applicable.

(i) Repayment to State Based Upon Audit. In the event that the audit referred to subsection (h) of this Section demonstrates that the actual expenditures made by the Contractor in connection with the Agreement are less than the amount of the funds disbursed to the Contractor, any such excess shall become immediately due and payable by the Contractor to DOH. Upon repayment by the Contractor of such excess, the stated amount of this Agreement shall be amended, as applicable, so as to evidence the actual amount of funds received by the Contractor.

#### **J. Insurance**

The Contractor, at its sole expense, agrees to secure and keep in full force and effect at all times during the term of this Agreement as defined in Section 2 above, a one million dollar (\$1,000,000) liability insurance policy or policies provided by an insurance company or companies licensed to do business in the State of Connecticut. Said policy or policies shall cover all of the Contractor's activities under this Agreement and shall state that it is primary insurance in regard to the State, its officers and employees. The State shall be named as an additional insured.

In addition, the Contractor shall at its sole expense maintain in effect at all times during the performance of its obligations hereunder the following additional insurance coverages with limits not less than those set forth on Exhibit B attached hereto and made a part hereof, as the same may be revised from time to time, with insurers and under forms of policies approved by the State Insurance Commissioner to do business in Connecticut:

None of the requirements contained herein as to types, limits, and approval of insurance coverage to be maintained by Contractor are intended to and shall not in any way limit or qualify the liabilities and obligations assumed by Contractor under this Agreement.

Contractor shall deliver Certificates of Insurance relating to all of the above referenced coverages to DOH at the time of the execution of this Agreement as evidence that policies providing such coverage and limits of insurance are in full force and effect, which Certificate shall provide that no less than thirty (30) days advance notice will be given in writing to the State prior to cancellation, termination or alteration of said policies of insurance.

#### **K. Non-Waiver**

None of the conditions of this Agreement 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.

#### **L. Promotion**

Unless specifically authorized in writing by the Secretary of DOH, on a case by case basis, Contractor shall have no right to use, and shall not use, the name of the State of Connecticut, its officials, agencies, or employees or the seal of the State of Connecticut or its agencies:

- (a) in any advertising, publicity, promotion; or
- (b) to express or to imply any endorsement of Contractor's products or services; or
- (c) to use the name of the State of Connecticut, its officials, agencies, or employees or the seal of the State of Connecticut or its agencies in any other manner (whether or not similar to uses prohibited by subparagraphs (a) and (b) above), except only to manufacture and deliver in accordance with this Agreement 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.

#### **M. Confidentiality**

1. 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.

2. **"Confidential Information"** shall mean any sensitive security information or personally identifiable information about an individual that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number, telephone number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as facial images, fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information that the State classifies as "personal," "confidential," "restricted," or "highly restricted," including, but not limited to medical or disability information. Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records that are lawfully made available to the general public.

3. **"Confidential Information Security Incident"** shall mean, generally, an instance where an unauthorized person or entity is suspected of having accessed Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; (4) if such Confidential Information is maintained in a manner that allows for or causes a substantial risk of identity theft or fraud to an individual, Contractor, contractor, DOH, the Connecticut Department of Administrative Services ("**DAS**") or the State; or (5) the accessing or disclosure of Confidential Information by any person for unauthorized purposes, regardless of whether the Confidential Information is encrypted.

4. Protection of Confidential Information.

(a) Contractor and Contractor Parties, at their own expense, have a duty to and shall protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.

(b) Each Contractor or Contractor Party shall develop, implement and maintain a comprehensive data - security program for the protection of Confidential Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the State concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:

1. A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
2. Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept;
3. A process for reviewing policies and security measures at least annually;
4. Creating secure access controls to Confidential Information, including but not limited to passwords; and
5. Encrypting of Confidential Information that is stored on laptops, portable devices or being transmitted electronically.

(c) The Contractor and Contractor Parties shall notify the Connecticut Department of Administrative Services ("DAS"), the State and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours, after they become aware of or suspect that any Confidential Information which Contractor or Contractor Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred, the Contractor shall, within three (3) business days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the State and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Contractor at its own cost and expense to all individuals affected by the Confidential Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statutes § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this section and shall cover a length of time commensurate with the circumstances of the Confidential Information Breach. The Contractor's costs and expenses for the credit monitoring and protection plan shall not be recoverable from DAS, the State, any State of Connecticut entity or any affected individuals.

(d) The Contractor shall incorporate the requirements of this section in all subcontracts requiring each Contractor Party to safeguard Confidential Information in the same manner as provided for in this section.

(e) Nothing in this section shall supersede in any manner Contractor's or Contractor Party's obligations pursuant to Health Insurance Portability and Accountability Act of 1996 or any provisions of this Agreement concerning the obligations of the Contractor as a business associate of a covered entity (as such terms are defined in 45 C.F.R. § 160.103).

#### **N. Subpoenas**

In the event the Contractor's records are subpoenaed pursuant to CGS § 36a-43, the Contractor shall, within twenty-four (24) hours of service of the subpoena, notify the person designated for the State in Section 4 of this Agreement 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 designated for the State in Section 4 of this Agreement.

#### **O. Survival**

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

#### **P. 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 this Agreement. 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 this Agreement 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.

#### **Q. Nondiscrimination.**

1. For purposes of this Section, the following terms are defined as follows:
  - i. "Commission" means the Commission on Human Rights and Opportunities;
  - ii. "Contract" and "contract" include any extension or modification of the Agreement;
  - iii. "Contractor" and "contractor" include any successors or assigns of the Municipality or contractor;
  - iv. "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose;

- v. "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
- vi. "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;
- vii. "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced;
- viii. "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;
- ix. "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (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 Connecticut General Statutes § 32-9n; and
- x. "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do 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) or (5).

2. The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, 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; and the contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, 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.

3. 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.

4. The contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission advising the labor union or 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.

5. The contractor agrees to comply with each provision of CGS §§ 4a-60, 46a-68e and 46a-68f and with each regulation or relevant order issued by the Commission pursuant to CGS §§ 46a-56, 46a-68e, 46a-68f and 46a-86.

6. The contractor agrees to provide the Commission 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 CGS §§ 4a-60 and 46a-56.

7. The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any 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.

8. The contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission advising the labor union or workers' representative of the contractor's commitments under CGS § 4a-60a, and to post copies of the notice in conspicuous places available to employees and applicants for employment.

9. The contractor agrees to comply with each provision of CGS § 4a-60a and with each regulation or relevant order issued by said Commission pursuant to CGS § 46a-56; and

10. The contractor agrees to provide the Commission 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 CGS §§ 4a-60a and 46a-56.

If the contract is a public works contract, the contractor agrees and warrants that he or she will make good faith efforts to employ Minority business enterprises as subcontractors and suppliers of materials on such public works project.

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

The contractor shall include the provisions of subsections (1) through (9) of this subsection (Q) in every subcontract or purchase order entered into in order to fulfill any obligation of the contract 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 CGS § 46a-56; provided if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

The contractor agrees to comply with the statutes, regulations, and other legal requirements referred to in this subsection (Q) as they exist on the date of this Agreement and as they may be adopted or amended from time to time during the term of the Agreement and any amendments thereto.

## **R. Executive Orders**

1. Executive Order No. 3. This Agreement is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971, concerning labor employment practices and, as such, this Agreement 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 Agreement, 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 Agreement 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.

2. Executive Order No. 17. This Agreement is subject to the provisions of Executive Order No. Seventeen of Governor Thomas J. Meskill promulgated February 15, 1973, concerning the listing of employment openings and, as such, this Agreement 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 Agreement, 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.

3. Executive Order No. 16. This Agreement is subject to the provisions of Executive Order No. 16 of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace and, as such, the contract may be canceled, terminated or suspended by the State for violation of or noncompliance with said Executive Order No. 16. The parties to this contract, as part of the consideration hereof, agree that said Executive Order No. 16 is incorporated herein by reference and made a part hereof. The parties agree to abide by such Executive Order.

4. Executive Order No. 14 and Executive Order No. 49. Pursuant to Governor Dannel P. Malloy's Executive Order No. 49 promulgated May 22, 2015 concerning fairness and transparency in the contracting process, Contractor shall comply with the certification requirements of CGS §§ 4-250 and 4-252, for all personal service agreement contracts with a value of \$50,000 or more in a calendar or fiscal year by executing and filing the respective certifications with DOH. This Agreement may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions. If Executive Orders 49 and 14 are applicable, they are deemed to be incorporated into and are made a part of this Agreement as if they had been fully set forth in it.

#### **S. Sovereign Immunity**

The Contractor recognizes that the State, of which DOH is a part, is sovereign and the Contractor agrees not to make any Claims of a right to use the defense of sovereign immunity as the State's agent without the prior written consent of the Commissioner to be granted in the Commissioner's sole discretion. Nothing contained herein may be construed as a modification, compromise, waiver or limitation by the State of any rights or defenses of any immunities provided by federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of this Agreement. To the extent that this section conflicts with any other section, this section shall govern.

#### **T. Assignment**

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

#### **U. Severability**

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

#### **V. Headings**

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

#### **W. Third Parties**

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

#### **X. Non 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.

**Y. Contractor Certification**

The Contractor certifies that the Contractor has not been convicted of bribery or attempting to bribe an officer or employee of the State, nor has the Contractor made an admission of guilt of such conduct which is a matter of record.

**Z. Large State Contracts**

Pursuant to CGS §§ 4-250 and 4-252, Contractor must present at the execution of each large State contract (having a total cost to the State of more than \$500,000 in a calendar or fiscal year) an executed gift certification, which Contractor shall update as prescribed by CGS § 4-252(a). In addition, pursuant to Governor Dannel P. Malloy's Executive Order No. 49, anyone who executes and files said gift certification shall also execute and file a campaign contribution certification disclosing all contributions made to campaigns of candidates for statewide public office or the General Assembly.

**AA. State Contracting Standards Board**

Per CGS § 4e-7, Contractor acknowledges and accepts that, for cause, the State Contracting Standards Board may review and recommend, for DOH's consideration and final DOH determination, termination of the Agreement. "For Cause" means: (1) a violation of the State ethics laws (CGS Chapter 10) or CGSs § 4a-100 or (2) wanton or reckless disregard of any State contracting and procurement process by any person substantially involved in such contract or State contracting agency.

**BB. Large State Construction or Procurement Contract**

The following provision is only applicable if this Agreement is a large state construction or procurement contract (as defined below). Pursuant to CGS § 1-101qq, the summary of State ethics laws developed by the Office of State Ethics pursuant to CGS § 1-81b (the "Summary") is incorporated by reference into and made a part of the Agreement as if the Summary had been fully set forth in the Agreement.

"Large state construction or procurement contract" means any contract, having a cost of more than five hundred thousand dollars, for (A) the remodeling, alteration, repair or enlargement of any real asset, (B) the construction, alteration, reconstruction, improvement, relocation, widening or changing of the grade of a section of a state highway or a bridge, (C) the purchase or lease of supplies, materials or equipment, as defined in CGS § 4a-50, or (D) the construction, reconstruction, alteration, remodeling, repair or demolition of any public building.

**CC. Disclosure of Consulting Agreements**

Pursuant to CGS § 4a-81, the chief official of the Contractor, for all contracts with a value to the State of fifty thousand dollars or more in any calendar or fiscal year, shall attest in an affidavit as to whether any consulting agreement has been entered into in connection with such contract. 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 CGS Chapter 10 as of the date such affidavit is submitted in accordance with the provisions of CGS § 4a-81.

**DD. Retaliation Prohibition**

This Agreement may be subject to the provisions of CGS § 4-61dd. In accordance with this statute, if an officer, employee or appointing authority of a large state 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 CGS § 4-61dd(a). 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. In accordance with CGS § 4-66dd(f), 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. As used in CGS § 4-61dd, a "large state contract" means a contract between an entity and a state or quasi-public agency having a value of five million dollars or more and (2) "large state contractor" means an entity that has entered into a large state contract with a state or quasi-public agency.

#### **EE. Campaign Contribution and Solicitation Prohibitions**

For all State contracts, as defined in CGS § 9-612, as amended from time to time, 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 Elections 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.

#### **FF. Non-Discrimination Certification**

Pursuant to CGS §§ 4a-60(a)(1) and 4a-60a(a)(1), every Contractor is required to provide the State with a non-discrimination certificate for all State contracts regardless of type, term, cost or value. The appropriate form must be submitted to the awarding State agency prior to contract execution. Copies of "nondiscrimination certification" forms that will satisfy the statutory requirements may be found on the website of the Office of Policy & Management. The applicable certification form must be signed by an authorized signatory of the Contractor (or, in the case of an individual contractor, by the individual).

#### **GG. Iran Certification**

Effective October 1, 2013, DOH Iran Certification Form 7 must be submitted for any large state contract, as defined in CGS § 4-250. DOH Iran Certification Form 7 must always be submitted with the bid, if applicable, or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located. Entities whose principal place of business is located outside of the United States are required to complete the entire form, including the certification portion of the form. United States subsidiaries of foreign corporations are exempt from having to complete the certification portion of the form. Those entities whose principal place of business is located inside of the United States must also fill out the form, but do not have to complete the certification portion of the form.

#### **HH. Forum and Choice of Law**

The parties deem this Agreement to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the Agreement to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Contractor waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.

#### **II. Health Insurance Portability and Accountability Act of 1996.**

(a) If the Contractor is a Business Associate under the requirements of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), as noted in this Agreement, the Contractor must comply with all terms and conditions of this Section of the Agreement. If the Contractor is not a Business Associate under HIPAA, this Section of the Agreement does not apply to the Contractor for this Agreement.

(b) The Contractor is required to safeguard the use, publication and disclosure of information on all applicants for, and all clients who receive, services under the Agreement in accordance with all applicable federal and state law regarding confidentiality, which includes but is not limited to HIPAA, more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E; and

(c) The State of Connecticut Agency named on page 1 of this Agreement ("**Agency**") is a "covered entity" as that term is defined in 45 C.F.R. § 160.103; and

(d) The Contractor is a "business associate" of the Agency, as that term is defined in 45 C.F.R. § 160.103; and

(e) The Contractor and the Agency agree to the following in order to secure compliance with the HIPAA, the requirements of Subtitle D of the Health Information Technology for Economic and Clinical Health Act ("**HITECH Act**"), (Pub. L. 111-5, §§ 13400 to 13423), and more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, D and E (collectively referred to herein as the "HIPAA Standards").

(f) For the purposes of this Section, the following definitions shall apply:

(1) "**Breach**" shall have the same meaning as the term is defined in section 45 C.F.R. 164.402 for purposes of this Section II. and shall also include a use or disclosure of PHI that violates the HIPAA Standards.

(2) "**Business Associate**" shall mean the Contractor.

(3) "**Covered Entity**" shall mean the Agency of the State of Connecticut named on page 1 of this Agreement.

(4) "**Designated Record Set**" shall have the same meaning as the term "designated record set" in 45 C.F.R. § 164.501.

(5) "**Electronic Health Record**" shall have the same meaning as the term is defined in section 13400 of the HITECH Act (42 U.S.C. §17921(5)).

(6) "**Individual**" shall have the same meaning as the term "individual" in 45 C.F.R. § 160.103 and shall include a person who qualifies as a personal representative as defined in 45 C.F.R. § 164.502(g).

(7) "**Privacy Rule**" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and part 164, subparts A and E.

(8) "**Protected Health Information**" or "**PHI**" shall have the same meaning as the term "protected health information" in 45 C.F.R. § 160.103, and includes electronic PHI, as defined in 45 C.F.R. 160.103, limited to information created, maintained, transmitted or received by the Business Associate from or on behalf of the Covered Entity or from another Business Associate of the Covered Entity.

(9) "**Required by Law**" shall have the same meaning as the term "required by law" in 45 C.F.R. § 164.103.

(10) "**Secretary**" shall mean the Secretary of the Department of Health and Human Services or his designee.

(11) "**More stringent**" shall have the same meaning as the term "more stringent" in 45 C.F.R. § 160.202.

(12) "**This Section of the Agreement**" refers to the HIPAA Provisions stated herein, in their entirety.

(13) "**Security Incident**" shall have the same meaning as the term "security incident" in 45 C.F.R. § 164.304.

(14) "**Security Rule**" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 C.F.R. part 160 and part 164, subpart A and C.

(15) **"Unsecured protected health information"** shall have the same meaning as the term as defined in 45 C.F.R. 164.402.

(g) Obligations and Activities of Business Associates.

(1) Business Associate agrees not to use or disclose PHI other than as permitted or required by this Section of the Agreement or as Required by Law.

(2) Business Associate agrees to use and maintain appropriate safeguards and comply with applicable HIPAA Standards with respect to all PHI and to prevent use or disclosure of PHI other than as provided for in this Section of the Agreement and in accordance with HIPAA standards.

(3) Business Associate agrees to use administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of electronic protected health information that it creates, receives, maintains, or transmits on behalf of the Covered Entity.

(4) Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to the Business Associate of a use or disclosure of PHI by Business Associate in violation of this Section of the Agreement.

(5) Business Associate agrees to report to Covered Entity any use or disclosure of PHI not provided for by this Section of the Agreement or any security incident of which it becomes aware.

(6) Business Associate agrees, in accordance with 45 C.F.R. 502(e)(1)(ii) and 164.308(d)(2), if applicable, to ensure that any subcontractors that create, receive, maintain or transmit protected health information on behalf of the business associate, agree to the same restrictions, conditions, and requirements that apply to the business associate with respect to such information.

(7) Business Associate agrees to provide access (including inspection, obtaining a copy or both), at the request of the Covered Entity, and in the time and manner designated by the Covered Entity, to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524. Business Associate shall not charge any fees greater than the lesser of the amount charged by the Covered Entity to an Individual for such records; the amount permitted by state law; or the Business Associate's actual cost of postage, labor and supplies for complying with the request.

(8) Business Associate agrees to make any amendments to PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 C.F.R. § 164.526 at the request of the Covered Entity, and in the time and manner designated by the Covered Entity.

(9) Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created, maintained, transmitted or received by, Business Associate on behalf of Covered Entity, available to Covered Entity or to the Secretary in a time and manner agreed to by the parties or designated by the Secretary, for purposes of the Secretary investigating or determining Covered Entity's compliance with the HIPAA Standards.

(10) Business Associate agrees to document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.

(11) Business Associate agrees to provide to Covered Entity, in a time and manner designated by the Covered Entity, information collected in accordance with subsection (g)(10) of this Section of the Agreement, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder. Business Associate agrees at the

Covered Entity's direction to provide an accounting of disclosures of PHI directly to an individual in accordance with 45 C.F.R. § 164.528 and section 13405 of the HITECH Act (42 U.S.C. § 17935) and any regulations promulgated thereunder.

(12) Business Associate agrees to comply with any state or federal law that is more stringent than the Privacy Rule.

(13) Business Associate agrees to comply with the requirements of the HITECH Act relating to privacy and security that are applicable to the Covered Entity and with the requirements of 45 C.F.R. §§ 164.504(e), 164.308, 164.310, 164.312, and 164.316.

(14) In the event that an individual requests that the Business Associate

- (A) restrict disclosures of PHI;
- (B) provide an accounting of disclosures of the individual's PHI;
- (C) provide a copy of the individual's PHI in an electronic health record; or
- (D) amend PHI in the individual's designated record set

the Business Associate agrees to notify the Covered Entity, in writing, within five (5) business days of the request.

(15) Business Associate agrees that it shall not, and shall ensure that its subcontractors do not, directly or indirectly, receive any remuneration in exchange for PHI of an Individual without

- (A) the written approval of the covered entity, unless receipt of remuneration in exchange for PHI is expressly authorized by this Agreement and
- (B) the valid authorization of the individual, except for the purposes provided under section 13405(d)(2) of the HITECH Act, (42 U.S.C. § 17935(d)(2)) and in any accompanying regulations.

(16) Obligations in the Event of a Breach.

(A) The Business Associate agrees that, following the discovery by the Business Associate or by a subcontractor of the Business Associate of any use or disclosure not provided for by this section of the Agreement, any breach of unsecured protected health information, or any Security Incident, it shall notify the Covered Entity of such breach in accordance with Subpart D of Part 164 of Title 45 of the Code of Federal Regulations and this Section of the Agreement.

(B) Such notification shall be provided by the Business Associate to the Covered Entity without unreasonable delay, and in no case later than 30 days after the breach is discovered by the Business Associate, or a subcontractor of the Business Associate, except as otherwise instructed in writing by a law enforcement official pursuant to 45 C.F.R. 164.412. A breach is considered discovered as of the first day on which it is, or reasonably should have been, known to the Business Associate or its subcontractor. The notification shall include the identification and last known address, phone number and email address of each individual (or the next of kin of the individual if the individual is deceased) whose unsecured protected health information has been, or is reasonably believed by the Business Associate to have been, accessed, acquired, or disclosed during such breach.

(C) The Business Associate agrees to include in the notification to the Covered Entity at least the following information:

1. A description of what happened, including the date of the breach; the date of the discovery of the breach; the unauthorized person, if known, who used the PHI or to whom it was disclosed; and whether the PHI was actually acquired or viewed.

2. A description of the types of unsecured protected health information that were involved in the breach (such as full name, Social Security number, date of birth, home address, account number, or disability code).

3. The steps the Business Associate recommends that Individual(s) take to protect themselves from potential harm resulting from the breach.

4. A detailed description of what the Business Associate is doing or has done to investigate the breach, to mitigate losses, and to protect against any further breaches.

5. Whether a law enforcement official has advised the Business Associate, either verbally or in writing, that he or she has determined that notification or notice to Individuals or the posting required under 45 C.F.R. 164.412 would impede a criminal investigation or cause damage to national security and; if so, contact information for said official.

(D) If directed by the Covered Entity, the Business Associate agrees to conduct a risk assessment using at least the information in subparagraphs 1 to 4, inclusive of (g) (16) (C) of this Section and determine whether, in its opinion, there is a low probability that the PHI has been compromised. Such recommendation shall be transmitted to the Covered Entity within 20 business days of the Business Associate's notification to the Covered Entity.

(E) If the Covered Entity determines that there has been a breach, as defined in 45 C.F.R. 164.402, by the Business Associate or a subcontractor of the Business Associate, the Business Associate, if directed by the Covered Entity, shall provide all notifications required by 45 C.F.R. 164.404 and 45 C.F.R. 164.406.

(F) Business Associate agrees to provide appropriate staffing and have established procedures to ensure that individuals informed of a breach have the opportunity to ask questions and contact the Business Associate for additional information regarding the breach. Such procedures shall include a toll-free telephone number, an e-mail address, a posting on its Web site and a postal address. Business Associate agrees to include in the notification of a breach by the Business Associate to the Covered Entity, a written description of the procedures that have been established to meet these requirements. Costs of such contact procedures will be borne by the Contractor.

(G) Business Associate agrees that, in the event of a breach, it has the burden to demonstrate that it has complied with all notifications requirements set forth above, including evidence demonstrating the necessity of a delay in notification to the Covered Entity.

(h) Permitted Uses and Disclosure by Business Associate.

(1) General Use and Disclosure Provisions Except as otherwise limited in this Section of the Agreement, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Agreement, provided that such use or disclosure would not violate the HIPAA Standards if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.

(2) Specific Use and Disclosure Provisions

(A) Except as otherwise limited in this Section of the Agreement, Business Associate may use PHI for the proper management and administration of Business Associate or to carry out the legal responsibilities of Business Associate.

(B) Except as otherwise limited in this Section of the Agreement, Business Associate may disclose PHI for the proper management and administration of Business Associate, provided that disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required by Law or for the purpose for which it was disclosed to the person, and the person notifies Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.

(C) Except as otherwise limited in this Section of the Agreement, Business Associate may use PHI to provide Data Aggregation services to Covered Entity as permitted by 45 C.F.R. § 164.504(e)(2)(i)(B).

(i) Obligations of Covered Entity.

(1) Covered Entity shall notify Business Associate of any limitations in its notice of privacy practices of Covered Entity, in accordance with 45 C.F.R. § 164.520, or to the extent that such limitation may affect Business Associate's use or disclosure of PHI.

(2) Covered Entity shall notify Business Associate of any changes in, or revocation of, permission by Individual(s) to use or disclose PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI.

(3) Covered Entity shall notify Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

(j) Permissible Requests by Covered Entity. Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the HIPAA Standards if done by the Covered Entity, except that Business Associate may use and disclose PHI for data aggregation, and management and administrative activities of Business Associate, as permitted under this Section of the Agreement.

**JJ. Certain contracts for performance of governmental functions. Records and files subject to Freedom of Information Act.**

This Agreement may be subject to the provisions of CGS § 1-218. In accordance with this statute, each contract in excess of two million five hundred thousand dollars (\$2,500,000) between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of the records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of CGS §§1-205 and 1-206.

For purposes of CGS § 1-218, a governmental function is defined in CGS § 1-200(11) which provides that "Governmental function" means the administration or management of a program of a public agency, which program has been authorized by law to be administered or managed by a person, where (A) the person receives funding from the public agency for administering or managing the program, (B) the public agency is involved in or regulates to a significant extent such person's administration or management of the program, whether or not such involvement or regulation is direct, pervasive, continuous or day-to-day, and (C) the person participates in the formulation of governmental policies or decisions in connection with the administration or management of the program and such policies or decisions bind the public agency. "Governmental function" shall not include the mere provision of goods or services to a public agency without the delegated responsibility to administer or manage a program of a public agency.

## SECTION 9 WORK PRODUCT

- A. All products of the work under the terms of this Agreement shall become and remain the property of the State. This shall include all partially completed work in the event that the Agreement is terminated before completion for any reason. Pursuant to section 4a-52-14 of the Regulations of Connecticut State Agencies, the State shall have and retain sole and exclusive right and title in and to the forms, maps or other materials produced for the state, including all rights to use, distribute, sell, reprint, or otherwise dispose of same. The Contractor shall not copyright, register, distribute or claim any rights in or to said forms, maps or other materials or the work produced under this Agreement.
- B. (1) The Contractor shall transfer to the State, as part of the consideration for this Agreement, any and all copyright rights or other proprietary interests which the Contractor may have in materials produced by it under the terms of this Agreement ("**Work Products**"); and that the Contractor shall, whenever so requested by the State, sign (with proper notarization or other lawful acknowledgement of its signature) and deliver to the State a letter agreement, in form and content satisfactory to the State, stating that the Contractor thereby irrevocably transfers to the State all of its copyright and other proprietary rights in the Work Products designated by the State in its related request.  
(2) If deemed appropriate by the State in its sole discretion, the Contractor shall agree that any or all Work Products shall be deemed a work of joint authorship by the State and the Contractor for copyright purposes, and shall be registered as such with the United States Copyright Office. The Contractor hereby waives any right to oppose or object to such a claim of joint authorship or to such related copyright registration.
- C. The Contractor shall not engage or allow any party ("**Other Party**") other than itself or the State to contribute directly to the creation of any Work Product unless the Contractor has first obtained from said Other Party a written agreement ("**Secondary Agreement**") containing essentially the same terms as Section B above; i.e., the Other Party (1) shall agree to transfer to the State any and all copyright or other proprietary rights said Other Party may have in designated Work Products, or, if the State requests, shall agree to deem such Work Product a work of joint authorship by the State and by Other Party, and, if appropriate, by the Contractor also; and (2) shall agree to sign (with proper notarization or other lawful acknowledgement of its signature) and deliver to the State any letter agreement ("**Letter Agreement**") of the kind described in Section B above which the State shall request from it. The Secondary Agreement between the Contractor and an Other Party shall provide expressly that any such Letter Agreement delivered by the Other Party to the State shall be directly enforceable by the State, and that the execution, delivery, and enforceability of such a Letter Agreement are part of the consideration for the Secondary Agreement.



## EXHIBIT A

### SPECIFICATION OF SERVICES

#### 1. Background

Contractor shall provide DOH with assistance in implementing all activities being undertaken with funding from the United States Department of Housing and Urban Development ("HUD") awarded through the National Disaster Resilience competition and the Rebuild by Design competition on the terms and conditions more particularly set forth in this Exhibit A.

#### 2. Contractor's Responsibilities

Contractor shall, and, as applicable, shall require its subcontractors to, all to the satisfaction of DOH in its sole discretion:

##### a. Document Control

Within two (2) months after the execution of this Agreement, Contractor will create a document management system to be utilized by DOH in its administration of the National Disaster Resilience ("NDR") grant awarded by HUD; all activities undertaken by DOH as part of the NDR grant are hereinafter referred to collectively as the "NDR Project". The document management system will store NDR Project records in compliance with federal grant requirements and will also include functionality for capturing and displaying NDR Project metrics.

- Contractor will host and maintain the system;
- Contractor will follow a Standard Delivery Operation ("SDO") project methodology;
- Upon NDR Project expiration or termination, Contractor shall provide all documents contained within the system to DOH in digital format acceptable to DOH.

Scope of the Document Management System:

- Predefined filing structure for each individual activity of the NDR Project (the NDR Project includes seven activities: Connecticut Connections Coastal Resilience Plan, Earthen Berm, Resilience Centre, University Avenue, Bridgeport South End Energy Plan, Floodplain Design Guidelines, and Administration) that include, without limitation, the following main folders and subfolders:
  - Contract
  - Correspondence
  - Approvals
  - Invoices
  - Pay Requests
  - Environmental Review Record
  - Preliminary Engineering Reports
  - Meeting minutes
  - Disaster Recovery Grant Reporting
  - Such other folders or subfolders as DOH may require
- Formal method for assigning and tracking project action items;
- Calendar functionality for meeting and event notification;
- Budget and cost tracking/monitoring, including invoicing and percent complete with quarterly spend forecasting;
- All documents needed for the audit more particularly described in subparagraph e, below will be stored in the document management system;
- A project workflow designed with a step-by-step process following HUD's procedures and policies; and
- Summary details and visual graphics to communicate status and key metrics. Metrics displayed through the reporting module will include:
  - Direct Leverage;
  - Supporting Leverage;

- o Long Term Commitment; and
- o Such other metrics as DOH may require.

Required Outputs of the Document Management System:

- A web based platform with project management, document management and project metrics modules reflecting the above scope.

**b. Action Plan Amendment (“APA”)**

Contractor will review DOH’s current Action Plan, accepted by HUD in 2017 for the NDR Project, and verify whether all aspects of the Action Plan are still viable. This will be completed by the end of 2018.

Within six (6) months after the execution of this Agreement, Contractor will meet with the stakeholders identified in the Action Plan that have committed to expend their own funding within their programs and on their projects that have been approved by HUD in its 2016 NDR grant award to DOH as direct and supporting leverage of the HUD-funded activities. Contractor will work with the stakeholders identified in the Action Plan to determine how Contractor will identify, track, and monitor direct and supporting leverage throughout the life of the NDR Project.

Within three (3) months after the execution of this Agreement, Contractor will convene a stakeholder meeting to determine the current baseline data for each the Outcome Values identified in the DOH Action Plan and approved by HUD as metrics for quantifiably measuring grant outcomes. Following that meeting and within six (6) months after the execution of this Agreement, Contractor will produce an Outcome Value reporting process including the determination of the data sources from which progress against Outcome Values will be measured and the intervals (e.g. quarterly, semi-annually, annually, bi-annually) for each Outcome Value at which DOH will report to HUD. DOH will report to HUD at such intervals and such reports will set forth the progress against the baselines established for each Outcome Value in consultation with relevant stakeholders at the meeting described above.

Within six (6) months after the execution of this Agreement and annually thereafter (as necessary until these activities are completed), Contractor will meet with the stakeholders that are responsible for meeting DOH’s Long-Term Commitments (as accepted by HUD in the State’s 2015 application for NDR Project grant funding) for the purpose of monitoring the status and reporting on the same to HUD.

Contractor will gather the necessary information to prepare the quarterly reports and any others required by HUD. Contractor will cross reference reports on activity status generated by DOH’s other contractors who are responsible for completing various aspects of the work on each activity of the NDR Project to determine if the reports are accurate and reported milestones are, in fact, completed. Documents from other contractors reviewed by Contractor will include, but are not limited to, all National Environmental Protection Act (“NEPA”) compliance documents, permit filings, design plans and specifications, documentation of public outreach and stakeholder meetings, and other related documents.

Contractor will work with DOH and HUD to prepare any amendments necessary to the Action Plan.

**c. NEPA Compliance**

Contractor will review the NEPA and Connecticut Environmental Policy Act (“CEPA”) documentation including the Environmental Impact Statement (“EIS”) upon its completion by DOH’s contractors for each individual activity of the NDR Project.

In order to ensure that the documentation necessary for its review is being effectively produced by DOH’s other contractors, Contractor will coordinate with the applicable local, state and federal agencies and organizations for NEPA and CEPA, which include the following:

- State Historic Preservation Office (“SHPO”);

- Tribal Historic Preservation Offices ("THPO");
- DEEP Natural Diversity Data Base;
- U.S. Army Corps of Engineers ("USACE");
- U.S. Fish and Wildlife Service ("FWS");
- National Marine Fisheries Services ("NMFS"); and
- relevant municipal agencies.

Contractor shall carry out such coordination in accordance with NEPA and CEPA and other pertinent state and federal laws and regulations.

Contractor shall, following DOH's other contractors' completion of the EIS for all projected construction activities, promptly prepare the necessary environmental review documentation to serve as the record, if and when requested by HUD, to demonstrate that NEPA procedures have been adhered to for that portion of the NDR Project. The environmental review shall include, but may not be limited to, the information contained in the EIS. Specifically, the environmental review process (both procedurally and substantively) will satisfy the requirements for HUD's certification of DOH's Request for Release of Funds for construction in connection with that portion of the NDR Project.

A NEPA Environmental Assessment Determination ("EAD") is required for the planning and administrative activities of the NDR Project. Within three (3) months after the execution of this Agreement, Contractor shall prepare, review, process, and submit to DOH and HUD for review a draft EAD in conformance with the HUD form entitled "Environmental Assessment Determinations and Compliance Findings for HUD-assisted Projects 24 CFR Part 58". The HUD Part 58 EAD contains the following Environmental Assessment sections:

- A statement of Purpose and Need for the project;
- Existing Conditions and Trends;
- Environmental Assessment Factors;
- Cumulative Impacts Analysis; and
- Environmental Determination.

The draft EAD will contain supporting environmental analyses and shall include more detailed impact evaluation for the applicable EAD checklist where potential adverse impacts could be expected. The collective environmental review documents/reports shall satisfy federal, state and local environmental review requirements.

Within two (2) months after receiving comments on the draft EAD from DOH and HUD, Contractor will respond to and incorporate any comments received from governmental agencies and the public in preparing the Final EAD. Once the EAD is finalized and approved, Contractor will assist DOH in preparation of the "Combined Finding of No Significant Impact and Notice of Intent to Request Release of Funds" and "Record of Decision" ("ROD"). The preparation of documents, consultation with government agencies, public notice and hearings will all be completed in accordance with all process and timing requirements defined in 24 CFR Part 58.

**d. Financial/Procurement Compliance and Procedural Support**

Contractor shall create a compliance review methodology for the NDR Project and its individual activities that will be consistent with federal requirements and used to assess whether expenditures of NDR Project funds were eligible under the applicable federal guidelines. The system shall be designed to tie funding, budgets, costs, and changes together at both the individual activity and overall NDR Project level.

NDR Project information shall be captured in forms, stored in an electronic management system, and separated by individual NDR Project activity, all of which shall be designed, overseen and maintained by Contractor. The aforementioned system will have interactive dashboards providing key performance information. Additionally, the system will have role-based security allowing DOH, its contractors, and the Contractor to review all information for compliance and deliverable

forecasting. Contractor will enter budget information into the system for each activity along with any direct and/or supporting leverage approved by HUD for that activity. Contractor will track invoices and payments against the budget after the applicable budget has been entered into the system and will review all invoices and payments for accuracy and compliance prior to their submission to DOH. Following its review, the Contractor will submit all payment requests to DOH, and DOH will be responsible for requesting drawdown of NDR Project funds from HUD. The Contractor's system functionality shall also include the ability to generate:

- A monthly compliance report form to allow consistent monthly and quarterly reporting for individual activities that are part of the NDR Project;
- Documentation of adherence to applicable procurement regulations and laws for the NDR Project;
- Budget tracking for each activity that comprises the NDR Project from initiation to completion; and
- A workflow for payment requests, including review and approval status of items submitted by DOH's other contractors.

**e. Audit Support**

Within six (6) months after the execution of this Agreement, Contractor shall meet with HUD to determine its audit requirements for NDR grant recipients. Within three (3) months after such meeting, Contractor shall prepare an audit checklist based on input from HUD for DOH's review and approval. All documents needed for the audit shall be stored in the document management system referenced in subparagraph a. above. These documents shall include, at a minimum:

- Any contracts between DOH and its other contractors for the NDR Project;
- Invoices and pay requests;
- Preliminary engineering reports;
- Agency and quality review of documents;
- Approved construction documents;
- Meeting minutes and other communications containing documented decisions and/or direction;
- On-site interviews,
- Such labor and wage rate information as is necessary to assess compliance with the United States Department of Labor's Davis Bacon and related acts;
- Direct and supporting leverage expenditures; and
- Long- term commitment.

**f. Risk Management**

Within one (1) month after the execution of this Agreement, Contractor shall develop a project management plan ("PMP") which identifies the scope, schedule and budget for Contractor's Responsibilities as set forth in Section 2. of this Exhibit A. The PMP will be subject to the review and approval of DOH. Within the PMP, Contractor shall identify risks potentially affecting the outcome of the NDR Project, and develop steps to mitigate risks and implement mitigation steps. Contractor shall work with DOH to identify potential conflicts or issues (i.e., risks) that may impact NDR Project success. Contractor will also engage NDR Project stakeholders to solicit input based on their knowledge and experiences. Contractor will quantify the risks in terms based on the following:

- Probability of occurrence
- Severity of outcome

**NDR Project Risks:**

Within three (3) months following this consultation with DOH and NDR Project stakeholders to quantify risk, the Contractor shall develop a Risk Management Plan ("RMP") to address the management of the NDR Project risks (which have been identified within the PMP as detailed

above). The RMP will be subject to the review and approval of DOH. The intent of the RMP is to address potential risks proactively and consistently to prevent them from turning into actual issues of concern. To do this, Contractor shall employ a three-step approach involving:

- Identifying Risks
- Quantifying Impacts
- Response

The RMP shall include:

- Mitigation analysis
- Control strategies
- Monitoring measures

Contractor shall update the RMP quarterly. Updates shall include an evaluation of previously recognized risks as well as identification of new ones.

**g. Monitoring**

Within three (3) months after the execution of this Agreement, Contractor shall prepare a master schedule that outlines major milestones for each of the NDR Project's seven activities included in the Action Plan. The master schedule will be subject to the review and approval of DOH. During the three (3) months after the execution of this Agreement, Contractor shall work directly with DOH to develop an oversight and monitoring plan that will set forth the requirements established by HUD for grant recipients.

Contractor shall submit, by the end of such three (3) month period, the oversight and monitoring plan to DOH for review and approval for the NDR Project. The purpose of the oversight and monitoring plan is to enable DOH to determine that NDR Project activities are on schedule and compliant with HUD requirements. The oversight and monitoring plan shall for each activity that comprises the NDR Project, inform DOH of items and major milestones to be monitored, and the agreed-upon monitoring frequency for each item and milestone. The Contractor will set up a monitoring database within the document management system detailed in subsection 2.a. above. DOH shall have access to such monitoring database in order to view the ongoing status of the NDR Project activities.

The monitoring plan shall include the following categories which will be used by DOH to demonstrate to HUD that DOH has adhered to HUD guidance and requirements as a recipient of federal funds for the NDR Project:

- Contract compliance with HUD requirements
- Schedule performance tracked against master schedule
- Drawdown requests against projected costs
- Verification of NDR Project completion
- Payment requests
- Risks
- Public comments and review periods
- Direct and supporting leverage
- Long-term commitment
- Metrics for outcome values
- Such other matters as may be required by DOH

**h. Project Delivery**

Contractor shall provide the following delivery services during site activities associated with the following four infrastructure projects which are part of the NDR Project: Rebuild by Design Pilot Project, University Avenue, the Earthen Berm, and the Community Resilience Center. Contractor shall perform the following tasks:

Pre-Construction Activities:

- Assist with pre-construction activities, planning and permitting prior to contractor mobilization to the site;
- Assist with the review of bids and the contractor selection process in order to ensure compliance with DOH and HUD regulations and policies;
- Following contractor selection, the Contractor will review DOHs' contractor's proposed schedule and budgets against the project estimate and master schedule in order to ensure that project activities will meet scheduled deadlines; and
- Attend and assist DOH with presentations at public meetings and meetings with municipal and regulatory agencies.

Construction Activities:

- Attend weekly project team conference calls and monthly update meetings during the construction phases.
- Review and evaluate contractor claims for any increases in contract pricing or schedule alteration and provide recommendations to DOH regarding any claims. Monitor and document any contractor delays and force majeure events and their impact on project schedules and costs.
- Review and verify submittal/response Request for Information ("RFI") log which will be created and managed by DOHs' other contractors.
- Review contractors' draft applications for payment for consistency with the respective contracts and recommend suggested changes to the design engineer, resident engineer or other firm reviewing the payment requisitions. Submit the finalized application for payment to DOH for final authorization.
- Prepare and submit quarterly budget tracking reports for each project throughout the construction period and include projections for the remainder of the project. Prepare monthly executive summaries of the overall project status including cost, schedule, and other information, and submit the same to DOH.
- Review request for substantial completion and provide recommendations to DOH.
- Monitor and document the contractors' work for compliance with the project schedules and DOH and HUD requirements. Facilitate resolution of non-compliance with the approved contract documents.
- Identify any cost control measures and coordinate with the design engineer and contractor to review proposed cost control measures.
- Support DOH in providing information to project stakeholders and with inquiries from the media and public.

3. DOH's Responsibilities

DOH shall:

- a. Provide written authorization to the Contractor to begin working in accordance with the terms and conditions of this Agreement after it has been approved by the Office of the Attorney General, which will establish the start date for incurring reimbursable expenses;
- b. Obtain funding from HUD in the amount of \$2,327,470 per the terms of the NDR grant award;
- c. Use reasonable efforts to process reimbursement requests within forty-five (45) days from the receipt of such requests from Contractor;
- d. Take reasonable actions required to secure the HUD funds; provided, however, DOH shall incur no liability for any delays resulting from action or inaction by the United States Government in making such funds available to DOH;

- e. Establish priorities of work to be performed by the Contractor, which priorities will be subject to change from time to time at the discretion of DOH;
- f. Approve in writing all acceptable sub-contractors brought on by the Contractor for the purposes of conducting any of the tasks outlined in this Exhibit A or elsewhere in this Agreement; and
- g. Approve in writing Contractor prepared PMP, RMP, master schedule and audit checklist.

4. Payments

DOH shall make payments to the Contractor based on hours worked up to the following not-to-exceed amounts by task. Payments will be made in response to invoices submitted not less often than monthly. The following set of not-to-exceed task budgets may be revised from time to time by mutual written agreement of the parties:

- a. Document Control: \$423,340
- b. Action Plan Amendments and Reporting: \$87,049
- c. NEPA Compliance: \$95,931
- d. Financial/Procurement Compliance and Procedural Schedule: \$236,275
- e. Audit Support: \$287,793
- f. Risk Management: \$119,026
- g. Monitoring: \$458,337
- h. Project Delivery: \$619,719

5. This Agreement may be suspended or terminated by DOH if the Contractor fails to comply with the federal requirements to which DOH is subject under the Community Development Block Grant – Disaster Recovery program.



**EXHIBIT B**

**INSURANCE REQUIREMENTS**

(a) Contractor shall procure and maintain for the duration of this Agreement the following types of insurance, in amounts not less than the stated limits, against claims for injuries to persons or damage to property which may arise from or in connection with the performance of the work hereunder.

1. Commercial General Liability: \$1,000,000 combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises and Operation, Independent Contractors, Product and Completed Operations and Contractual Liability. If a general aggregate is used, the general aggregate limit shall apply separately to this Agreement or the general aggregate limit shall be twice the occurrence limit.

2. Workers' Compensation and Employer's Liability: Statutory coverage in compliance with compensation laws of the State of Connecticut. Coverage shall include Employer's Liability with a minimum limit of \$100,000.00 each accident, \$500,000.00 Disease – Policy limit, \$100,000.00 each employee.

3. Automobile Liability: \$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the vendor/contractor does not own an automobile, but one is used in the execution of the contract, then only hired and non-owned coverage is required. If a vehicle is not used in the execution of the contract, then automobile coverage is not required.

4. Professional Liability: The contractor shall maintain professional liability coverage providing for a total limit of \$1,000,000 to cover any act, error or omission to cover any claim arising from the performance of the designated professional services (if available).

(b) Additional Insurance Provisions.

1. The State of Connecticut Department of Housing, its officials and employees shall be named as an Additional Insured on the Commercial General Liability policy: Additional Insured status is not required for items (a) 2 through (a) 4 above.

2. Described insurance shall be primary coverage and Contractor and Contractor's insurer shall have no right of subrogation recovery or subrogation against the State of Connecticut.

3. Contractor shall assume any and all deductibles in the described insurance policies.

4. Without limiting Contractor's obligation to procure and maintain insurance for the duration identified in (a) above, each insurance policy shall not be suspended, voided, cancelled or reduced except after thirty (30) days prior written notice by certified mail has been given to the State of Connecticut with the exception that a ten (10) day prior written notice by certified mail return receipt requested for nonpayment of premium is acceptable.

5. Each policy shall be issued by an insurance company licensed to do business by the Connecticut Department of Insurance and having a Best Rating of A-, VII, or equivalent or as otherwise approved by DOH.



**Kooris, David**

---

**From:** Osmond, Adam  
**Sent:** Friday, November 17, 2017 8:15 AM  
**To:** Kooris, David  
**Subject:** FW: Final Disposition for Personal Service Agreement PSA 2018\_30301 DOH CDBG-DR

Good Morning David,

One of your PSA has been approved.

**Happy Friday.**

Thanks

Adam

---

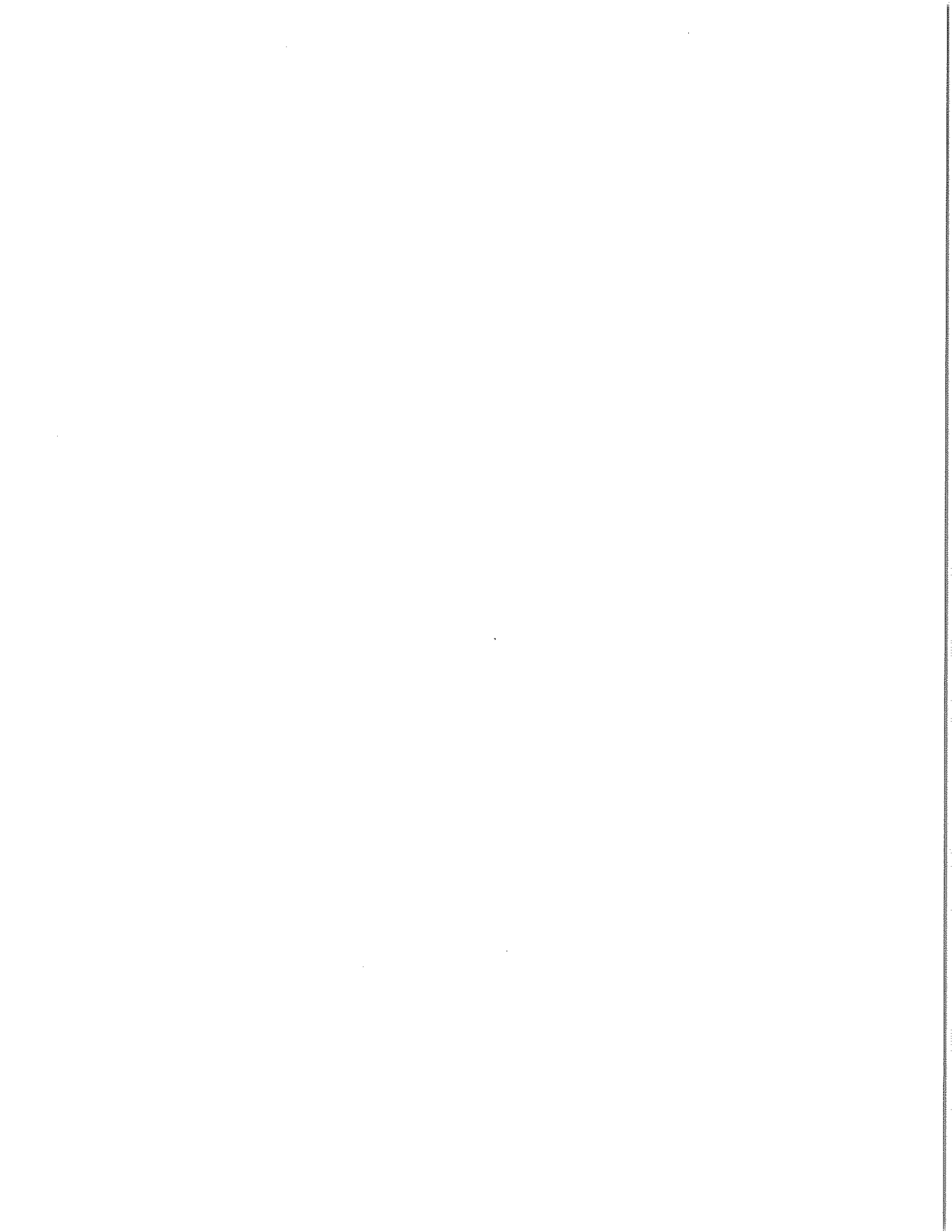
**From:** [robert.dakers@ct.gov](mailto:robert.dakers@ct.gov) [mailto:[robert.dakers@ct.gov](mailto:robert.dakers@ct.gov)]  
**Sent:** Thursday, November 16, 2017 1:37 PM  
**To:** Heriot, Joyce E <[Joyce.Heriot@ct.gov](mailto:Joyce.Heriot@ct.gov)>  
**Cc:** Dakers, Robert <[Robert.Dakers@ct.gov](mailto:Robert.Dakers@ct.gov)>  
**Subject:** Final Disposition for Personal Service Agreement PSA 2018\_30301

\*\*\*\*\*  
The Office of Policy and Management has Approved the following Personal Service Agreement PSA  
National Disaster Resilience Program Management (2018\_30301)

**Contractor:** N/A  
**Effective Date:** 11/1/2017 - 9/30/2022  
**Estimated Cost:** \$2,500,000.00  
**Comments/Conditions:** Approved RSD 11-16-17

\*\*\*\*\*

*Robert Dakers*  
Executive Financial Officer





**STATE OF CONNECTICUT**  
**NONDISCRIMINATION CERTIFICATION — Affidavit**  
**By Entity**  
**For Contracts Valued at \$50,000 or More**

*Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60 and 4a-60a, 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. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

**AFFIDAVIT:**

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of

an oath. I am Vice President of Stantec Consulting Services Inc., an entity  
Signatory's Title Name of Entity  
duly formed and existing under the laws of New York  
Name of State or Commonwealth

I certify that I am authorized to execute and deliver this affidavit on behalf of  
Stantec Consulting Services Inc. and that Stantec Consulting Services Inc.  
Name of Entity Name of Entity

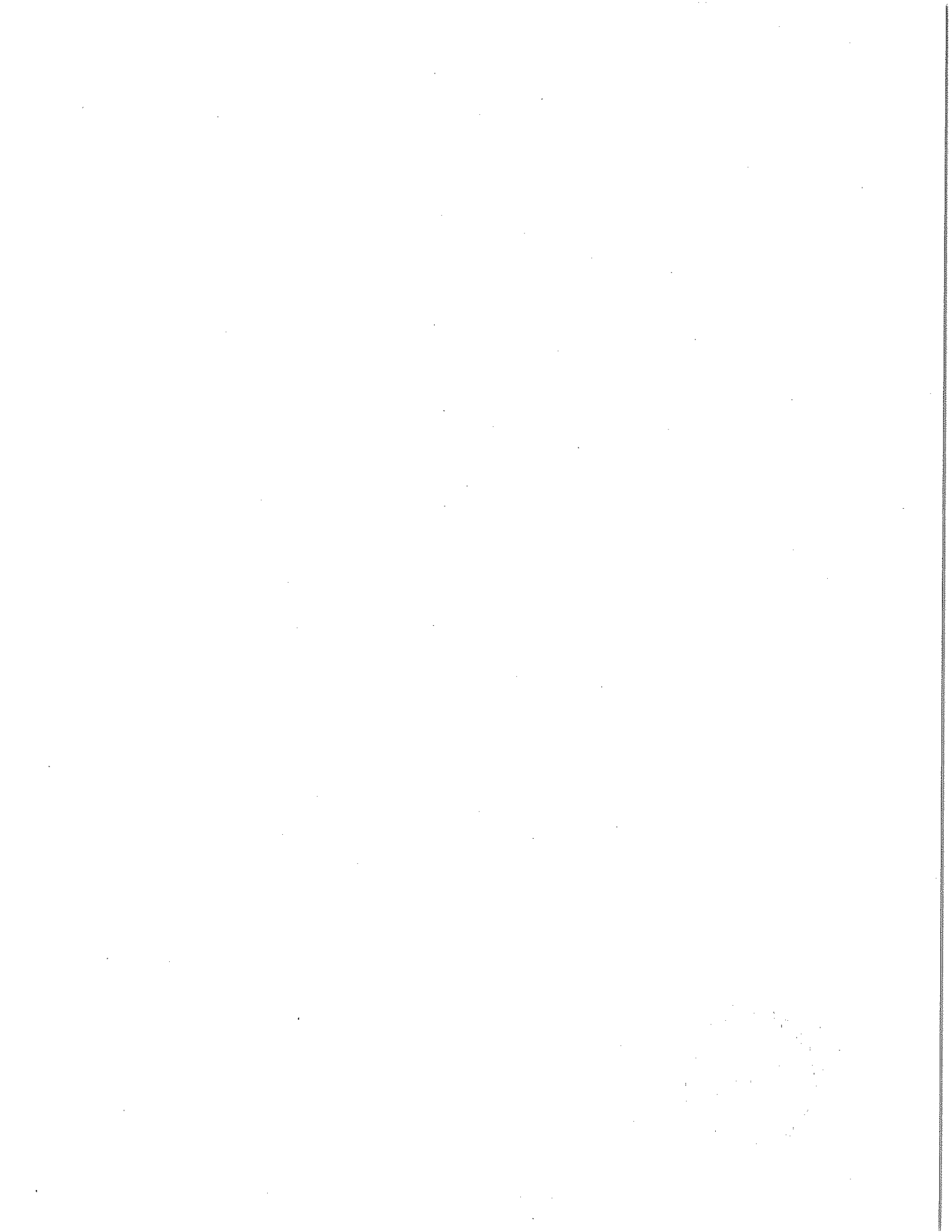
has a policy in place that complies with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.

[Signature]  
Authorized Signatory

Gary Sorge, FASLA, CSLA, AICP  
Printed Name

Sworn and subscribed to before me on this 2nd day of March, 2018

Catherine E. Dearborn August 31, 2022  
Commissioner of the Superior Court/ Notary Public Commission Expiration Date





**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 and 4a-60a, 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, Christopher O. Heisler, Secretary, of Stantec Consulting Services Inc.,  
Authorized Signatory, Title, Name of Entity

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

certify that the following is a true and correct copy of a resolution adopted on the 30<sup>th</sup> day of  
August, 2017, by the governing body of Stantec Consulting Services Inc.  
Name of Entity

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

or revoked, and is in full force and effect.

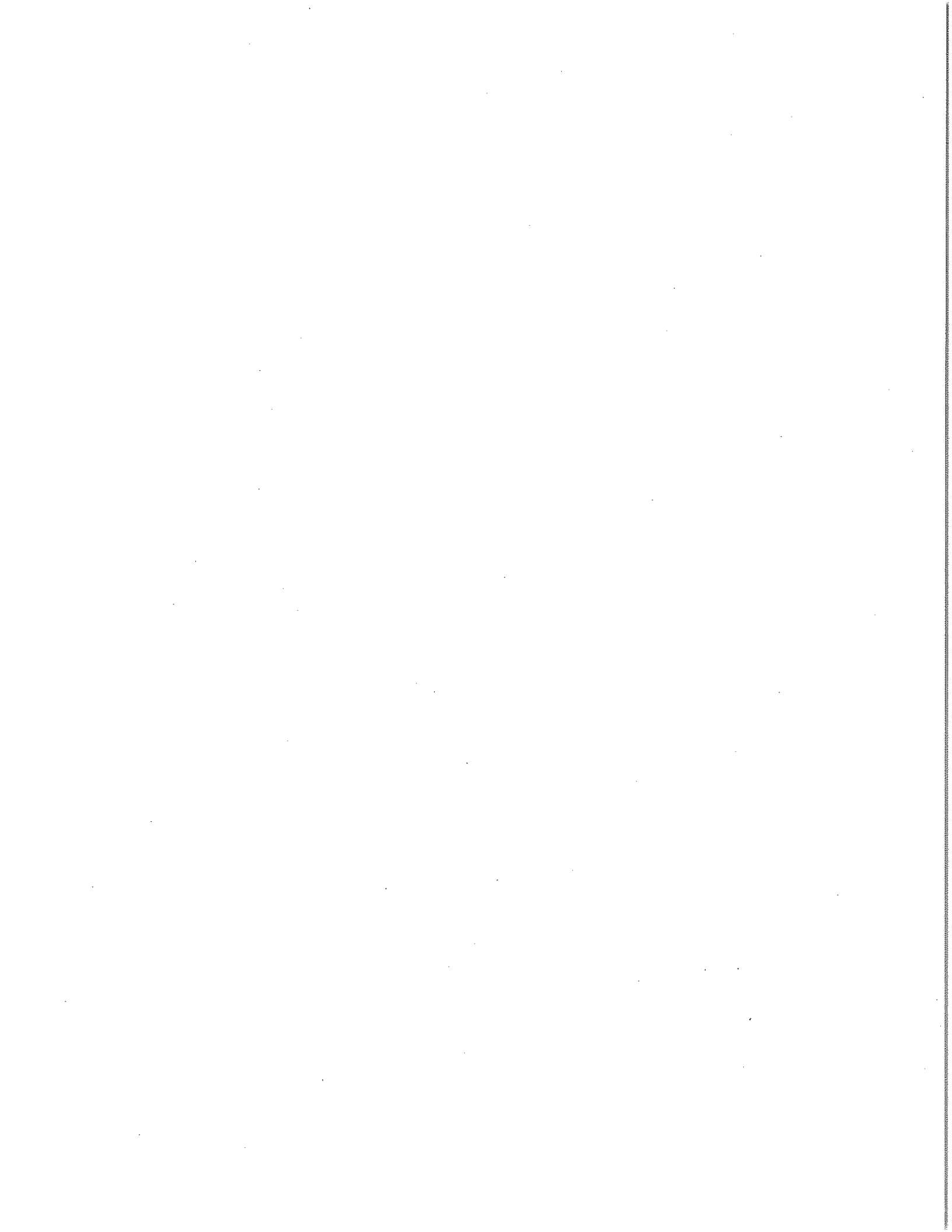
**RESOLVED:** That the policies of Stantec Consulting Services Inc. comply with  
Name of Entity

nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.

The undersigned has executed this certificate this 2<sup>nd</sup> day of March, 20 18.

[Signature] March 2, 2018  
Authorized Signatory Date

Christopher O. Heisler  
Printed Name





WRITTEN CONSENT OF THE DIRECTORS OF  
STANTEC CONSULTING SERVICES INC.

The following actions required or permitted to be taken at a meeting of the Directors of STANTEC CONSULTING SERVICES INC. (the "Corporation") hereby are taken upon the written consent of the Corporation's Directors without a meeting pursuant to the provisions of the New York Business Corporation Law:

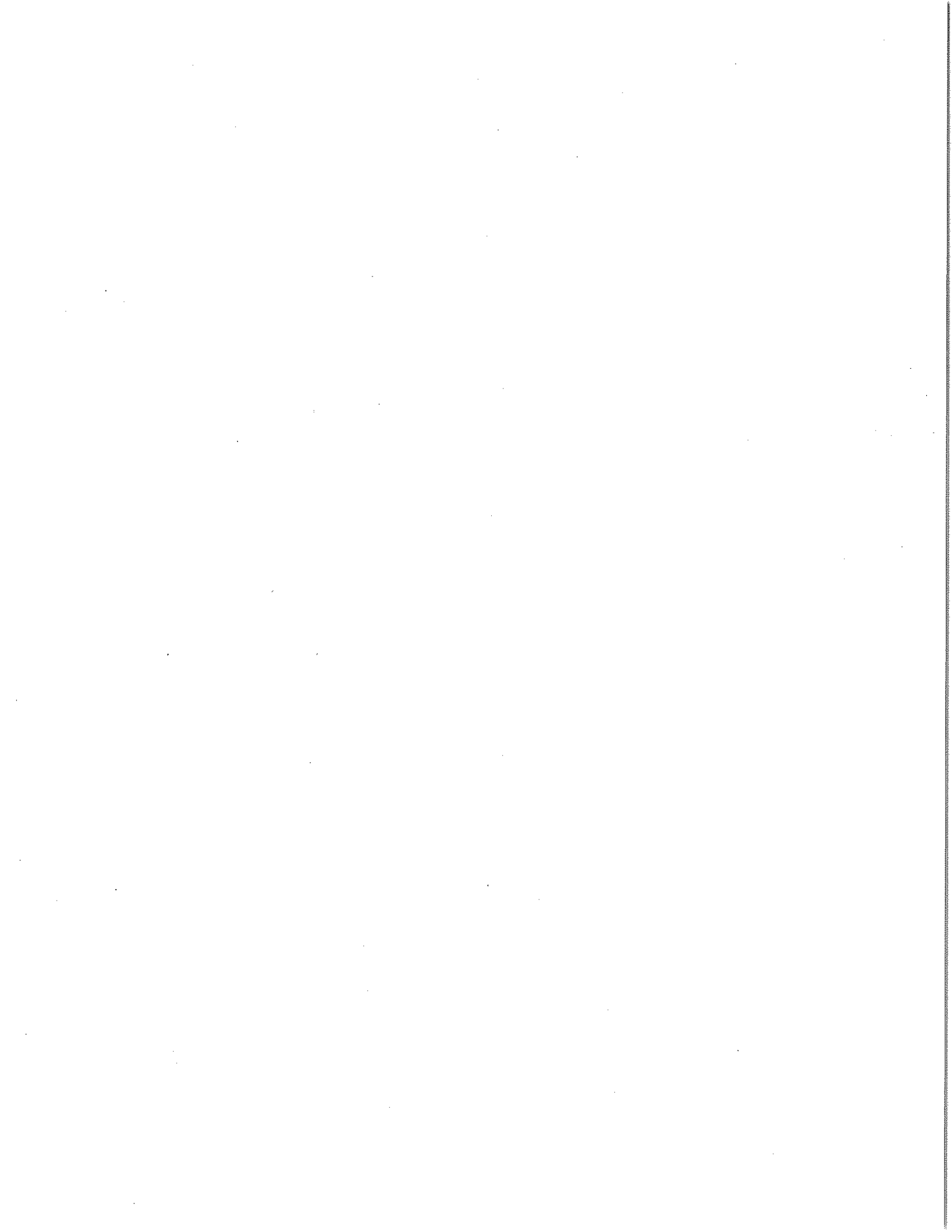
BE IT RESOLVED THAT Stantec Consulting Services Inc. hereby adopts as its policy to support nondiscrimination agreements and warranties required under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in the State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

IN WITNESS WHEREOF, this instrument has been duly executed by the directors of the Corporation as of the 30th day of August, 2007.

  
\_\_\_\_\_  
ANTHONY P. FRANCESCHINI

  
\_\_\_\_\_  
MARSHALL C. HARDY, Jr.

  
\_\_\_\_\_  
JEFFREY S. LLOYD





**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 and 4a-60a, 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 Stantec Consulting Services Inc.  
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 and 4a-60a, 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

Christopher O. Heisler  
Printed Name

Secretary  
Title

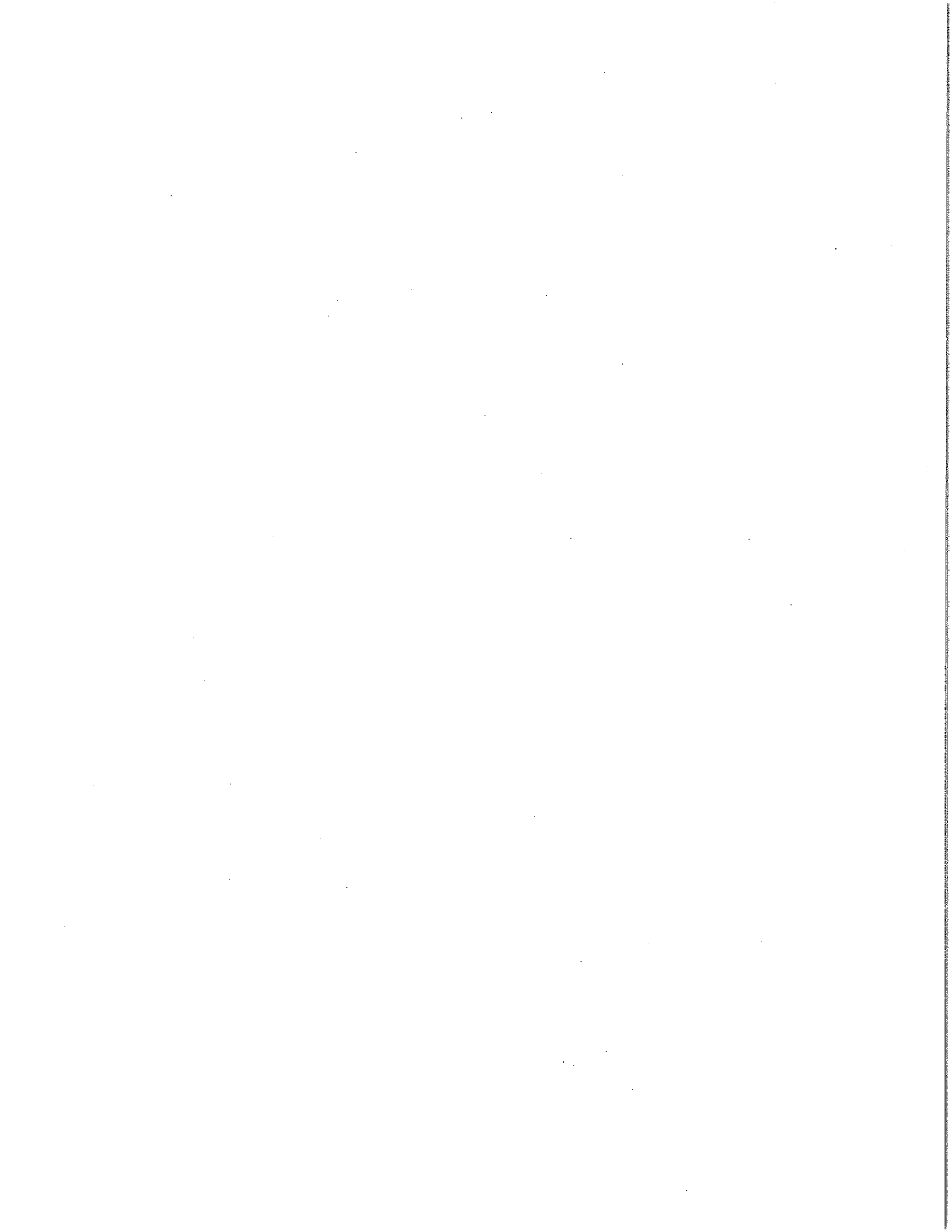
March 2, 2018  
Date

**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 and 4a-60a, as amended.

Signature of Agency Head (or designee) \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
Awarding State Agency

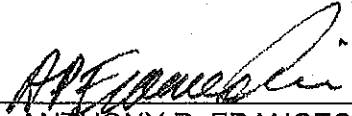


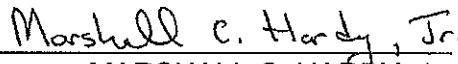
WRITTEN CONSENT OF THE DIRECTORS OF  
STANTEC CONSULTING SERVICES INC.

The following actions required or permitted to be taken at a meeting of the Directors of STANTEC CONSULTING SERVICES INC. (the "Corporation") hereby are taken upon the written consent of the Corporation's Directors without a meeting pursuant to the provisions of the New York Business Corporation Law:

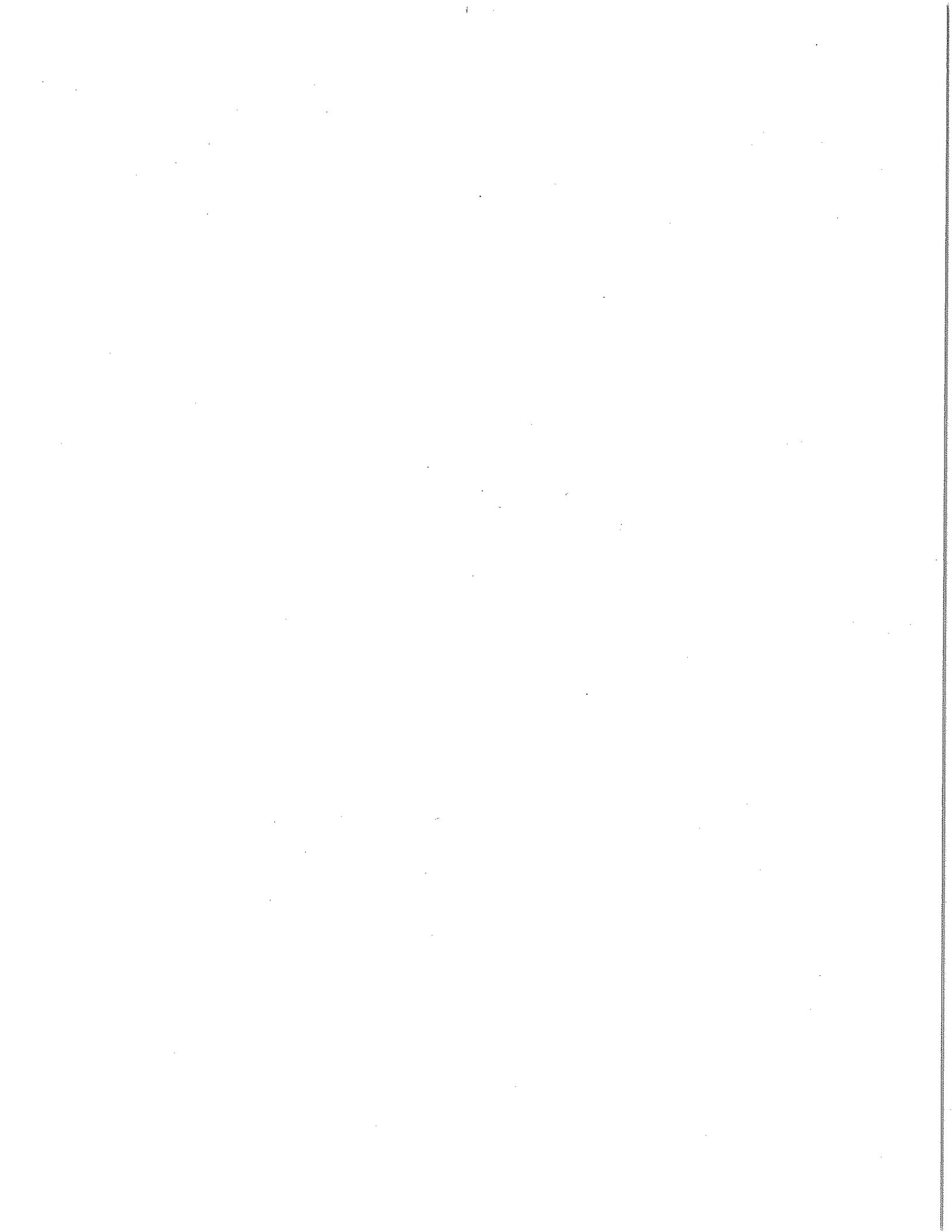
BE IT RESOLVED THAT Stantec Consulting Services Inc. hereby adopts as its policy to support nondiscrimination agreements and warranties required under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended in the State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of Public Act 07-142.

IN WITNESS WHEREOF, this instrument has been duly executed by the directors of the Corporation as of the 30th day of August, 2007.

  
\_\_\_\_\_  
ANTHONY P. FRANCESCHINI

  
\_\_\_\_\_  
MARSHALL C. HARDY, Jr.

  
\_\_\_\_\_  
JEFFREY S. LLOYD





## STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Written or electronic certification to accompany a State contract with a value of \$50,000 or more, pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49.*

### 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 if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

- CHECK ONE:**     Initial Certification     12 Month Anniversary Update (Multi-year contracts only.)
- Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

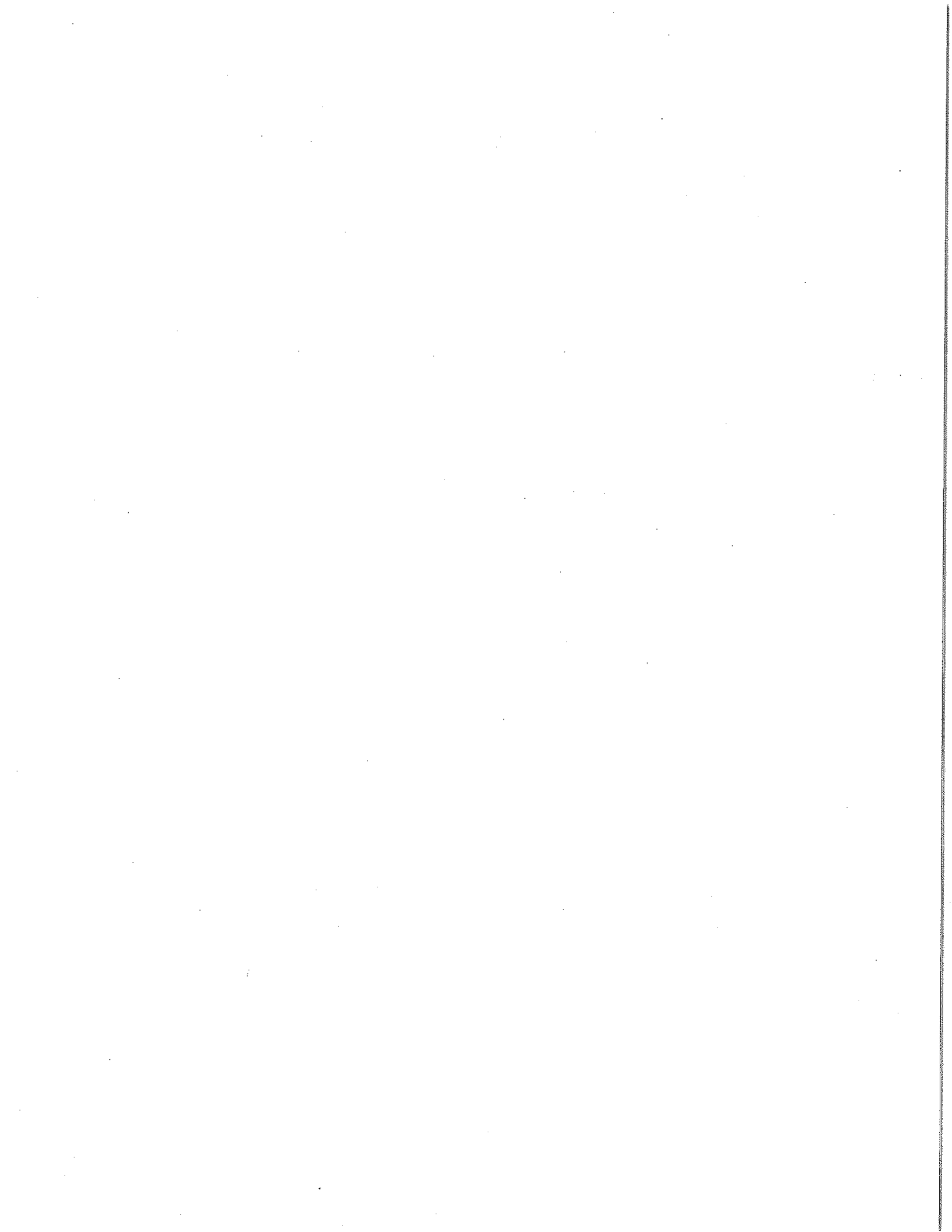
### GIFT CERTIFICATION:

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 a twelve-month anniversary 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) "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 a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

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 January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(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(f)(2)(A). I further certify that **all lawful campaign contributions** that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(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:

**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>
NONE				

**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>
NONE				

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

Stantec Consulting Services Inc.  
Printed Contractor Name

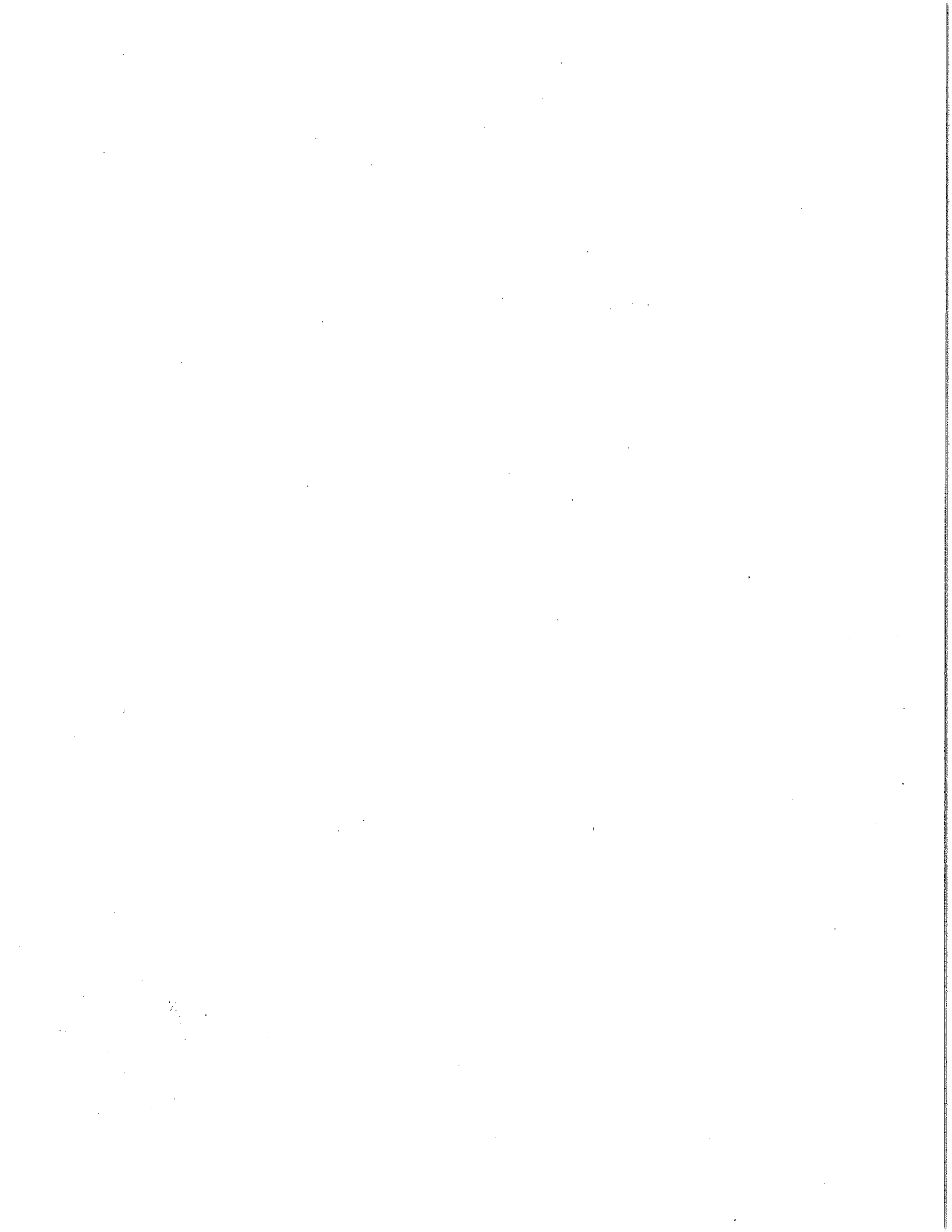
Gary Sorge, FASLA, CSLA, AICP  
Printed Name of Authorized Official

  
Signature of Authorized Official

Subscribed and acknowledged before me this 2nd day of March, 2018.

  
Commissioner of the Superior Court (or Notary Public)

August 31, 2022  
My Commission Expires





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.

Stantec Consulting Services, Inc.

Contractor Name

Department of Housing

Awarding State Agency

[Handwritten signature]

State Agency Official or Employee Signature

Evonne Klein

Printed Name

3/12/2018

Date

Commissioner

Title

Sworn and subscribed before me on this 14th day of March, 2018.

[Handwritten signature: Bernadette Tallarita]

Commissioner of the Superior Court or Notary Public

03/31/2021

My Commission Expires

Bernadette Tallarita
Notary Public

My Commission Expires 03/31/2021







STATE OF CONNECTICUT
CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a bid or proposal for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b). For sole source or no bid contracts the form is submitted at time of contract execution.

INSTRUCTIONS:

If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete all sections of the form. If the bidder or contractor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. If the bidder or contractor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1): Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

AFFIDAVIT: [Number of Affidavits Sworn and Subscribed On This Day: 1]

I, the undersigned, hereby swear that I am a principal or key personnel of the bidder or contractor awarded a contract, as described in Connecticut General Statutes § 4a-81(b), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, except for the agreement listed below:

Form fields for Consultant's Name and Title, Name of Firm, Start Date, End Date, Cost, and Description of Services Provided.

Is the consultant a former State employee or former public official? [ ] YES [ ] NO

If YES: Name of Former State Agency, Termination Date of Employment

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

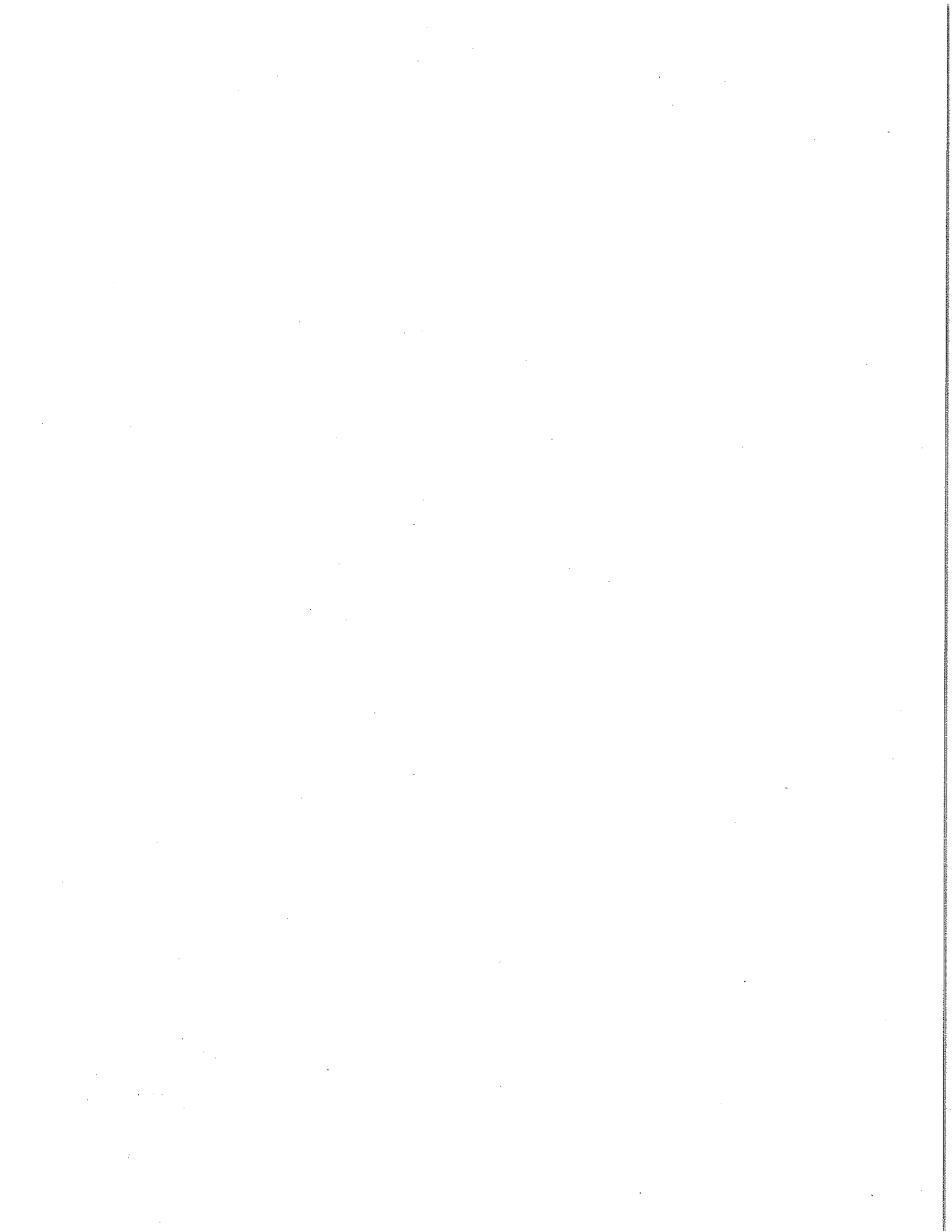
Stantec Consulting Services Inc. Signature of Principal or Key Personnel Date March 1, 2018
Gary Sorge, FASLA, CSLA, AICP CT Dept. of Housing
Printed Name (of above) Awarding State Agency

Sworn and subscribed before me on this 2nd day of March, 2018.

Catherine D. Harbore
Commissioner of the Superior Court
or Notary Public

August 31, 2022

My Commission Expires





**STATE OF CONNECTICUT  
AFFIRMATION OF RECEIPT OF STATE ETHICS LAWS SUMMARY**

*Written or electronic affirmation to accompany a large State construction or procurement contract, having a cost of more than \$500,000, pursuant to Connecticut General Statutes §§ 1-101mm and 1-101qq*

**INSTRUCTIONS:**

Complete all sections of the form. Submit completed form to the awarding State agency or contractor, as directed below.

**CHECK ONE:**

- I am a person seeking a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency with my bid or proposal. [Check this box if the contract will be awarded through a competitive process.]
- I am a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the awarding State agency at the time of contract execution. [Check this box if the contract was a sole source award.]
- I am a subcontractor or consultant of a contractor who has been awarded a large State construction or procurement contract. I am submitting this affirmation to the contractor.
- I am a contractor who has already filed an affirmation, but I am updating such affirmation either (i) no later than thirty (30) days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

**IMPORTANT NOTE:**

Within fifteen (15) days after the request of such agency, institution or quasi-public agency for such affirmation contractors shall submit the affirmations of their subcontractors and consultants to the awarding State agency. Failure to submit such affirmations in a timely manner shall be cause for termination of the large State construction or procurement contract.

**AFFIRMATION:**

I, the undersigned person, contractor, subcontractor, consultant, or the duly authorized representative thereof, affirm (1) receipt of the summary of State ethics laws\* developed by the Office of State Ethics pursuant to Connecticut General Statutes § 1-81b and (2) that key employees of such person, contractor, subcontractor, or consultant have read and understand the summary and agree to comply with its provisions.

\* The summary of State ethics laws is available on the State of Connecticut's Office of State Ethics website.

Signature

March 2, 2018  
Date

Gary Sorge, FASLA, CSLA, AICP  
Printed Name

Vice President  
Title

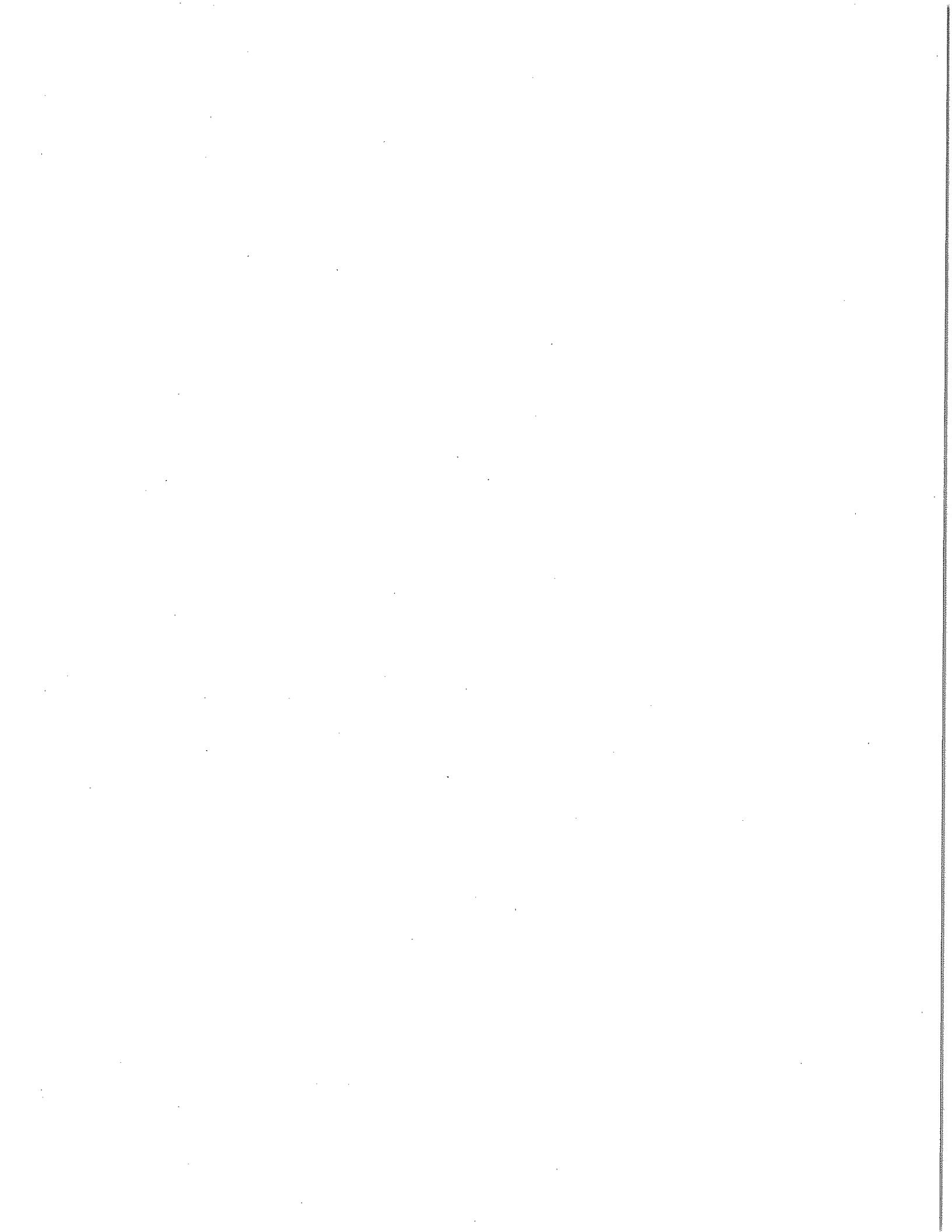
Stantec Consulting Services Inc.  
Firm or Corporation (if applicable)

55 Church Street, Suite 600  
Street Address

New Haven  
City

CT 06510  
State Zip

CT Department of Housing  
Awarding State Agency







STATE OF CONNECTICUT

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

Respondent Name: Stantec Consulting Services Inc.

INSTRUCTIONS:

CHECK ONE:  Initial Certification.  Amendment or renewal.

A. Who must complete and submit this form. Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, the certification portion of this form must be completed by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization whose principal place of business is located outside of the United States. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

Check applicable box:

- Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box are not required to complete the certification portion of this form, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.
 Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. CERTIFICATION required. Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

B. Additional definitions.

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
2) "Respondent" means the person whose name is set forth at the beginning of this form; and
3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

C. Certification requirements.

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

CERTIFICATION:

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

- Respondent has made no direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010.
 Respondent has either made direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

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

Stantec Consulting Services Inc.

Gary Sorge, FASLA, CSLA, AICP

Printed Respondent Name

Printed Name of Authorized Official

Signature of Authorized Official

Subscribed and acknowledged before me this 2nd day of March, 2018.

Commissioner of the Superior Court (or Notary Public)

August 31, 2022

My Commission Expires

