

DATE: July 10, 2008

TO: Vendors/Providers of In-Service Training for Connecticut
Police Officers and Educational Management Consultants

FROM: The State of Connecticut
Police Officer Standards and Training Council (POSTC)

The Police Officer Standards and Training Council is requesting proposals to present technical and advanced in-service training to experienced law enforcement officers and projects designed to improve management processes and procedures for POSTC. The proposals will be in effect for the two year period July 1, 2008 to June 30 2010 and may be continued if mutually acceptable. Upon acceptance, the proposals may generate "personal service agreements" (contracted services) for a period of one year.

PART 1

Vendors may submit training proposals in any of the specified categories below:

- 1) Criminal Investigation Procedures and Evidence;**
- 2) Crash Investigation and Traffic Services;**
- 3) Middle and Executive Management Training;**
- 4) Patrol Procedures, Technical and Practical Police Skills, Firearms; and**
- 5) Legal Training**

Each vendor is encouraged to submit proposals for any course topic in any category; each category may include proposals of in-service training at the Introductory (basic), Intermediate, or Advanced levels. POSTC reserves the right to re-direct a submission into another category when the proposal better corresponds with the way POSTC organizes law enforcement training. The purpose of this request for proposals is to solicit competitive proposals for the State of Connecticut, Police Officer Standards and Training Council (POSTC). The POSTC requires assistance for the development, delivery, and evaluation of training provided to state and municipal police officers.

PART 2

Vendors may submit proposals for projects designed to improve management processes and procedures at the Connecticut Police Academy.

Information to assist in preparation of proposals:

- 1) The POSTC does not "host" vendor training programs. The POSTC contracts with vendors to present training; POSTC is entirely responsible for student solicitation and registration. Vendors have no student registration responsibilities.
- 2) The Council will establish a selection committee to review and recommend qualified vendor (s) in each training category. Training programs listed herein are "sample courses or titles." Training needs assessments and budgetary considerations will determine the number and types of training services needed.
- 3) Each selected vendor must be in, and maintain, compliance with the Connecticut Statutes regulated by the Commission on Human Rights and Opportunities and conform to other applicable State and Federal regulations.
- 4) The State of Connecticut, Police Officer Standards and Training Council is not bound to undertake the work described in this Request for Proposals.
- 5) POSTC reserves the right to award similar services to multiple vendors.
- 6) POSTC may reject the proposal and void any award resulting from this RFP to a proposer who makes any material misrepresentation in their proposal or other submittal in connection with this RFP.
- 7) Proposers should be aware that all materials associated with the RFP are subject to the terms of the Connecticut Freedom of Information Act. Notwithstanding the above notification, vendors may designate any material they wish as confidential.
- 8) POSTC will consider an alternate training day schedule. The standard is an 8 hour day with 1 hour for lunch.
- 9) It is the responsibility of each respondent to carefully examine the contents of this Request for Proposals (RFP). Any ambiguities or inconsistencies shall be brought in writing to the attention of the Agency Contact Person, Ted Lemay, POSTC, 285 Preston Avenue, Meriden CT 06450, or via email at ted.lemay@po.state.ct.us no later than 2:30 p.m. EST on August 22, 2008. Failure to do so will constitute acceptance by the respondent of any subsequent interpretation or decision by the POSTC.
- 10) The POSTC believes that all information contained within this RFP document is complete and accurate, but cannot guarantee it.
- 11) All required information as outlined within this document must be submitted by the required deadlines. Failure to submit the required information will result in disqualification. The POSTC reserves the right, at its sole and absolute discretion, to request clarification or amplification of any information submitted under this RFP process. The POSTC, at its sole and absolute discretion, may allow respondents

the opportunity to submit any missing information. Any costs or expenses associated with such requests shall be the sole responsibility of the respondent.

- 12) Any and all materials submitted under this RFP shall become the property of the POSTC. The POSTC, at its sole and absolute discretion, may extend any of the actual or proposed dates shown in this RFP.
- 13) Submission of lesson plans is at the discretion of the respondent, but this action is encouraged. All lesson plans and other resource material will be regarded by the POSTC as the copyrighted property of the submitting vendor.
- 14) The POSTC reserves the right to request additional material from any vendor that fails to include sufficient information to permit a satisfactory evaluation of a proposal.

PROPOSAL DATA SHEET

PART 1 and PART 2

CONNECTICUT POLICE OFFICER STANDARDS AND TRAINING COUNCIL

In-Service Training for Connecticut Police Officers AND Educational Management Processes

Closing Date: Contractor proposals must be received
no later than 4 p.m., September 5th, 2008

Place Due: State of Connecticut
Police Officer Standards and Training Council
285 Preston Avenue
Meriden, CT 06450
Attention: Ted Lemay

Official Agency
Contact Person: Ted Lemay
203-427-2602
ted.lemay@po.state.ct.us

Copies Required: At least two (2) copies of each contractor proposal must be submitted.

Required Minimum Qualifications for Contractor:
Experience, education or training, or specialized knowledge, skills or training appropriate to the proposal

Minimum Submission Requirements

- (1) Meet the submission deadline listed below
- (2) Meet labeling requirements as listed below
- (3) Follow the required format for proposal as listed below
- (4) Submit the completed affidavits listed below

(1) Submission Deadline: No later than 4 p.m., September 5th, 2008

(2) Labeling Requirement: The training category a vendor places a proposal in **MUST** be prominently displayed on the front of each proposal. The listing of training categories (and examples) directly follows #4 (Affidavits).

(3) Format for Proposals (PART 1)

Described below is the **REQUIRED** format for Proposals. Include **EACH** lettered heading. Following each heading is a description of the information that should be included under that heading.

A. Title of Course

Separate titles may be proposed for “basic,” “intermediate” or “advanced” courses.

B. Training Goals and Objectives

The description should include specific information about training goals and the instructional objectives associated with each goal.

C. Training Audience, Format and Content

1. Vendors shall provide a description of the target population best suited to receive the proposed training.
2. Vendors shall describe the type of format (e.g., lecture), maximum number of attendees, length of the course, e.g. number of hours/days, day/evening sessions.
3. Daily content (course schedule or agenda)
4. Any prerequisites

D. Evaluation

Vendors shall provide a complete and detailed description of the formal types of evaluation they intend to use to determine mastery of learning objectives.

E. Costs

Vendors should provide a final cost for each proposed training course based upon a specified enrollment. Typical class size for POSTC training is 25-35 participants, with occasional classes to 50. Auditorium training is also available

to 300. While cost estimates may be acceptable, respondents should be as specific as possible.

Final cost figures must include, but not be limited to: travel, per diem expenses, participant fees, printing and shipping of course materials, and projected cost for the subsequent year. If appropriate, respondents can also provide alternative budget proposals from which the POSTC may select the most desirable alternative.

All materials to be supplied by the vendor necessary to conduct a course will be shipped at the vendor's expense to the course location.

Courses will be presented either at the Connecticut Police Academy in Meriden, CT or at another suitable location within the State: differential pricing within the State will not be accepted. The POSTC agrees only to provide a suitable training setting and any audio-visual equipment necessary to conduct each course.

The POSTC can also provide a fully equipped, 30 station (laptop), full internet access, computer training classroom.

F. Insurance

Each vendor agrees that, while performing services specified in all contracted programs, the vendor shall carry sufficient insurance (liability and/or other), as applicable according to the nature of the service to be performed, so as to "save harmless" the State of Connecticut from any insurable cause whatsoever. Certificates of such insurance shall be filed with the POSTC prior to the performance of services.

G. Instructor Qualifications

Vendors shall provide a complete and detailed description of the background and previous experience of all personnel that will be assigned to the proposed training and/or evaluation project. This description must include the specific time commitments (schedule) of all the instructors for each course.

In their description of instructor capabilities, vendors should include staff resumes and the specification of past work accomplished by instructors that relates to the proposed effort.

H. Limitations/Special Needs

Vendors shall provide a complete and detailed description of any and all limitations and/or special needs associated with the proposed project. Vendor information in this area can include, but not be restricted to, the following types of limitations or special needs:

1. Respondents should specify their policy concerning situations in which participation falls above the stated maximum enrollment (particularly in terms of differential costs to the POSTC).
2. Limitations concerning the vendor's anticipated schedule of availability. For example, the POSTC wants to know if the vendor is available during only certain times of the year.
3. Special needs in the area of POSTC personnel and/or logistic support. The vendor should specify any support needs that will be required from the POSTC or Academy facilities and staff.

I. Student Materials

Vendors shall provide a copy of all student handout materials that would be distributed to class participants. If audio-visual materials will be used in conjunction with the training, a brief description of them should be included.

J. Evaluations of Past Courses

Vendors are asked to provide course evaluation forms from three previous presentations of each course proposed, if the course has been conducted, including contact persons for those training locations to act as references. If the proposed course is newly developed, vendors are asked to discuss developmental efforts that may be helpful for an assessment of the likely success of initial presentation efforts.

4) Affidavits

Required Affidavits that are included in this RFP and MUST be submitted with Proposals:

1. Affidavit concerning Gifts and Campaign Contributions (OPM Ethics Form #1)
2. Consulting Agreement Affidavit (OPM Ethics Form #5)
3. Bidder Contract Compliance Monitoring Report (contained in 5 page packet that has as a heading: Commission on Human Rights and Opportunities)
4. Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE), if applicable
5. Notice to Executive Branch Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban (SEEC Form 10)

Categories for Training Proposals

#1 CRIMINAL INVESTIGATION PROCEDURES AND EVIDENCE

The CT POSTC has offered courses and programs in the past such as:

Crime Scene Procedures: Basic, Intermediate and Advanced

Interview and Interrogation	Internet related topics
Forensic Archeology	Computer Crime Analysis
Arson	D.N.A. Applications
Intelligence/Informants	Child Abuse
Photography	Supervising a Detective Unit
Videotaping	Bloodstain Pattern Evidence
Property Crime/Robbery Investigations	Surveillance
Basic and Advanced Fingerprinting	Sexual Assault
Management of Major Crime Scenes	Homicide/Suicide Investigations
Crimes Against Women	Human Trafficking
Terrorism related topics	Drug Enforcement
Undercover Investigations	Gangs

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing

#2 CRASH INVESTIGATION AND TRAFFIC SERVICES

The CT POSTC has offered courses and programs in the past such as:

Basic (At-Scene) and Advanced (Technical) Crash Investigation and
Specialized traffic related training courses such as:

Motorcycle Crash Investigation
Commercial Vehicle Inspection and Enforcement
Crash Reconstruction
Utilizing Microcomputers for Crash Investigation
Police Traffic Radar/Laser Operator and Instructor
Driving While Intoxicated Enforcement and Instructor
Tire Forensics and the Crash Scene
Investigation of Pedestrian Crashes
Crash Investigation Photography

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing.

All programs which require the participation of support subjects (e.g., DWI classes involving drinking subjects) must specify rates of compensation, the Council's obligations to recruit subjects and details on the administration of alcoholic beverages.

#3 Middle and Executive Management Training

The CT POSTC has offered courses and programs in the past such as:

First Line Supervision	Middle Management Supervision
Motivation	Internal Affairs
Media Relations	IT Management
Problem Solving and Decision Making	Budgeting
Managing Change	Counseling & Discipline
Leadership and Strategic Planning Skills	Communications Skills
Ethics	Labor/Management Relations
Team Development & Effectiveness	Performance Evaluation
Management Software	

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing.

#4 Patrol Procedures, Practical Police Skills, and Firearms

The CT POSTC has offered courses and programs in the past such as:

School Resource Officer	Shooting Decisions
Community Oriented Policing	Tactical Use of Weapons (S.W.A.T.)
Crime Prevention	Domestic Violence
Officer Safety & Survival	Tactical Vehicle Stops
Firearms	Defensive Tactics
Control and Restraint	Report Writing
Spanish Language	Suicide Intervention
Stalking	Courtroom Testimony
Peer Helper	Explosives and Bomb Recognition

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing.

#5 Legal Training

The CT POSTC has offered courses and programs in the past such as:

Civil Liability	Constitutional Law
Use of Force	Executive Liability
In-Service Legal	Supervisory Liability
Police Legal Update	Laws of Arrest
Search and Seizure	Laws of Evidence
Courtroom Testimony	Search Warrant Preparation

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing.

Criteria For Evaluating Training Proposals

(PART 1)

POSTC will create an evaluation committee to evaluate submitted Proposals for training. The prospective vendors will be selected principally on the following criteria (though not necessarily in this order of importance):

- 1) Vendor's statement of work (e.g., goals and objectives of the training course). Emphasis will be on the vendor's grasp of the project purpose, soundness of approach and any recommendations made by the vendor.
- 2) Total cost of proposal.
- 3) Background and previous experience of instructors and their demonstrated competence in the type of work that each is to perform.
- 4) Teaching Methodology
- 5) The evaluations of previous training courses delivered, if conducted.
- 6) Student handouts and reference materials.
- 7) Costs incurred by POSTC in order to present proposal

Criteria weighting is as follows: On a 100 point scale, numbers 1,2,3 and 4 are worth 20 points each, 5 is worth 10 points and 6 and 7 are worth 5 points.

All MBE and set aside companies will receive an additional 5 point bonus.

Schedule of Events

- 1) Release date of RFP: 18 July 2008
- 2) Deadline for submitting questions: 22 Aug 2008
- 3) Release date for agency answers to questions: 29 Aug 2008
- 4) Deadline for submitting proposals: 5 Sep 2008
- 5) Estimated date for selecting proposals: 29 Sep 2008
- 6) Estimated date for start of work: 1 Nov 2008

Eligibility

Political sub-divisions of the State, including other agencies, municipalities, and not-for-profit organizations, may participate in this contract.

In submitting a proposal, vendors agree that the proposal remains valid for a period of ninety (90) days after the closing date for submission of the proposal and may be extended beyond that time by mutual agreement.

PART 2

POSTC is interested in proposals to improve management processes and procedures at the Connecticut Police Academy. POSTC budget only permits a limited number of projects each fiscal year. It is our intent that proposals submitted under this RFP, if not contracted in first year, may be contracted for the following year if acceptable to all parties. Examples of projects that may be considered include, but are NOT limited to:

1. Job Task Analysis for First Line Supervisors
2. Validated Written Exit Exams for Recruits
3. Curriculum Development and Maintenance
4. Distance Learning Management
5. Grant Development

Vendors are encouraged to submit proposals on similar topics that are not specifically mentioned in the above listing.

Minimum Submission Requirements

(1) Submission Deadline: No later than 4 p.m., September 5th, 2008

(2) Labeling Requirement: Title of project MUST be prominently displayed on front of proposal

(3) Format for Proposals (PART 2)

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

1. Title of Project
2. Contact Information
 - a. Name of Proposer
 - b. Contact Person
 - c. Business Location
 - d. Mailing Address
 - e. Telephone Number
 - f. Email Address (if available)

3. Qualifications
 - a. Provide information as to how proposer meets minimum qualifications set out on page 4 of this RFP.
4. Outline of Work
 - a. Work Plan
Provide a detailed, task oriented breakdown for each activity in the outline of work.
 - b. Methodologies
Describe how each activity (task) will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
5. Deliverables
List and describe the form and content of each deliverable. Include a description of the proposed method of working with the agency, the resources or services requested of the agency (if any), and the proposed method of receiving agency approval of deliverables.
6. Schedule
Include a proposed work schedule, by activity, indicating when each activity will be accomplished. Identify any significant milestones or deadlines. Include due dates for all deliverables.
7. Proposed Cost
Include a fixed cost proposal for each project to include all work and deliverables.

(4) Affidavits

Required Affidavits that are included in this RFP and MUST be submitted with Proposals:

1. Affidavit concerning Gifts and Campaign Contributions (OPM Ethics Form #1)
2. Consulting Agreement Affidavit (OPM Ethics Form #5)
3. Bidder Contract Compliance Monitoring Report (contained in 5 page packet that has as a heading: Commission on Human Rights and Opportunities)
4. Affidavit for Certification of Subcontractors as Minority Business Enterprises (MBE), if applicable
5. Notice to Executive Branch Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Ban (SEEC Form 10)

Criteria For Evaluating Training Proposals **(PART 2)**

POSTC will create an evaluation committee to evaluate submitted Proposals for Management Processes. The prospective vendors will be selected principally on the following criteria (though not necessarily in this order of importance):

- 1) Vendor's work plan
- 2) Project Methodology
- 3) Total cost of proposal.
- 4) Deliverables
- 5) Background and qualifications of proposers and their demonstrated competence in the type of work that each is to perform.
- 6) Schedule

Criteria weighting is as follows: On a 100 point scale, numbers 1,2,3 and 4 are worth 20 points each, 5 and 6 are 10 points each.

All MBE and set aside companies will receive an additional 5 point bonus.

Schedule of Events

- 1) Release date of RFP: 18 July 2008
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- 3) Release date for agency answers to questions: 29 Aug 2008
- 4) Deadline for submitting proposals: 5 Sep 2008
- 5) Estimated date for selecting proposals: 30 Oct 2008
- 6) Estimated date for start of work: 1 Dec 2008

Eligibility

Political sub-divisions of the State, including other agencies, municipalities, and not-for-profit organizations, may participate in this contract.

In submitting a proposal, vendors agree that the proposal remains valid for a period of ninety (90) days after the closing date for submission of the proposal and may be extended beyond that time by mutual agreement.



STATE OF CONNECTICUT GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

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

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

GIFT CERTIFICATION:

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

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

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

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

CAMPAIGN CONTRIBUTION CERTIFICATION:

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



STATE OF CONNECTICUT

GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name

Signature of Authorized Official

Subscribed and acknowledged before me this _____ **day of** _____, **200**__.

Commissioner of the Superior Court (or Notary Public)

For State Agency Use Only

Awarding State Agency

Planning Start Date

Contract Number or Description



STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract 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)

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 vendor 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 vendor 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 the contractor enters into any new consulting agreement(s) during the term of the State contract.

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

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), 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:**

Consultant's Name and Title		Name of Firm (if applicable)
Start Date	End Date	Cost
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.

Printed Name of Bidder or Vendor	Signature of Chief Official or Individual	Date
Printed Name (of above)		Awarding State Agency

Sworn and subscribed before me on this _____ day of _____, 200__.

Commissioner of the Superior Court
or Notary Public

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

(Revised 09/17/07)

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

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

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

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

INSTRUCTIONS AND OTHER INFORMATION

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

1) Definition of Small Contractor

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

PART I - Bidder Information

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

PART II - Bidder Nondiscrimination Policies and Procedures

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

Part III - Bidder Subcontracting Practices

(Page 4)

1. Will the work of this contract include subcontractors or suppliers? Yes__ No__

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

1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above?

Yes__ No__

PART IV - Bidder Employment Information

Date:

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

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

PART V - Bidder Hiring and Recruitment Practices

(Page 5)

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

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

(Signature)	(Title)	(Date Signed)	(Telephone)
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**Affidavit for Certification of Subcontractors
as Minority Business Enterprises (MBE)**
*(to be completed only for subcontractors not certified as MBE's
by the Department of Administrative Services)*

To document the •good faith efforts• of the below named state contractor to include minority business enterprises as subcontractors (for services and/or material suppliers) on the state contract also identified below, I certify that the following subcontractors meet the criteria for minority business enterprises set forth in CONN. GEN. STAT. § 4a-60(b). I attest that each named minority business enterprise will be contracted by the named state contractor to participate on the identified state contract as a subcontractor.

The subcontractors being identified to be bona fide minority business enterprises are:

Subcontractor Name	Complete Address	Subcontractor's Principal Officer's Name

(use additional sheets as necessary)

I further certify and affirm that I have read and understand the contract compliance requirements codified at CONN. GEN. STAT. Sections 4a-60 & 46a-71(d), and the Contract Compliance Regulations codified at Sections 46a-68j-21 through 43 of the Administrative Regulations of Connecticut State Agencies. I also understand that any false statements made herein are punishable by law.

state contractor legal name

type full printed name and title of official
submitting this affidavit on behalf of
contractor

state contract number

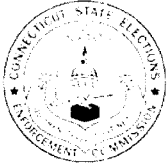
signature of official

state contract awarding agency

date of affidavit

Subscribed and sworn to before me, this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court
My Commission expires _____



STATE OF CONNECTICUT
STATE ELECTIONS ENFORCEMENT COMMISSION
20 Trinity Street Hartford, Connecticut 06106 – 1628

SEEC FORM 10

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

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

Campaign Contribution and Solicitation Ban

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

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

Duty to Inform

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

Penalties for Violations

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

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

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

Contract Consequences

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

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

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

Receipt acknowledged: _____
(signature) (date)

Print name: _____ Title: _____

Company Name: _____

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

Definitions:

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

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100.

"Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

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

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

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

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

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

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