

Request for Proposals (RFP) BOR-124
Educational Master Plan and Facilities Master Plan
Board of Regents for Higher Education
On behalf of Middlesex Community College
Bid Due Date 9/28/2012 2:00 PM EDST

I. Statement of Objectives

The Board of Regents for Higher Education (BOR) is seeking proposals from qualified educational consultants to assist Middlesex Community College (MxCC) in development of an educational master plan and associated facilities master plan. The Plan will create the College's vision for the future, reflecting its mission as articulated in the College's Strategic Plan.

II. Background

Middlesex Community College (MxCC) is centrally located on a 34 acre site in Middletown, Connecticut. Its primary service area includes communities east of the Connecticut River, south to the shoreline, north to Rocky Hill and west to the Meriden-Wallingford area. Middlesex maintains a satellite branch in Meriden to better serve the needs of that region. The educational goal of MxCC is to promote understanding, learning, ethics and self-discipline by encouraging critical thinking. It offers degree and certificate programs in general studies, and liberal arts education, college transfer credits, and programs in the technical and occupational fields. In addition, Middlesex Community College offers non-credit courses including special certificate programs for senior citizens and customized training designed for business and industry interests. MxCC provides its certified nurse's aide non-credit offerings to a number of clinical sites located throughout its service area. Middlesex Community College offers 21 associate degree programs and 21 certificate programs, and is considered to be a leader in the areas of ophthalmic design and dispensing, broadcast cinema and biotechnology. The College offers more than 40 distance learning courses, nearly 100 sections during the fall, spring and summer sessions-and five on-line/on-ground hybrid courses to students covering a variety of subjects.

Credit enrollment gains for fiscal year 2010 at Middlesex were sustained during fiscal year 2011. The unduplicated headcount for fiscal year 2011 was 4,423. Fall 2010 headcount enrollment (2952) increased 1.3% from fall 2009; this represents a 29.1% increase over the five years since fall 2005. Spring 2011 headcount enrollment (2,849) increased 0.7% from spring 2010, 80.0% of the student body was matriculated into degree and certificate programs, with general studies continuing to be the highest enrolled program. Fifty percent of first-time, full-time, degree-seeking students participated in financial aid programs offered at Middlesex. The average age of the student population at Middlesex Community College has trended downward over the past decade to its current level of 26.4 years.

During fiscal year 2011, Middlesex experienced significant changes in leadership. Following the appointment of President Wilfredo Nieves to Capital Community College, Jonathan Daube, President emeritus of Manchester Community College assumed interim leadership while a search was undertaken for a permanent president. Dr. Anna M. Wasescha was ultimately selected as the new President and began her duties in July of 2011. Additionally during the year the retirement of the Academic Dean resulted in others assuming expanded interim assignments.

During 2011, MxCC developed a Strategic Plan. Work on an Academic Master Plan has begun, however the services of an academic/institutional planner are a critical prerequisite to development of a Facilities Master Plan that will support the strategic objectives of the College.

III. History of Middlesex Community College

The College was founded in 1966 as a branch of Manchester Community College. It became an independent institution in 1967. In 1973, the campus located on a 34 acre site in Middletown, Connecticut, was opened with three buildings, Founders Hall, Snow Hall and Wheaton Hall. Founders Hall was the location of administration, student service and support, the library and cafeteria. Snow and Wheaton Halls served as the classroom buildings. Neither the buildings nor use of these buildings has changed much since 1973. In 1992 Chapman Hall opened. This facility houses the Library, a multi-purpose room and a limited number of classrooms. Since 1992, a maintenance garage and a metal Central HVAC plant have been constructed. While Middlesex Community College maintains its buildings in a safe and serviceable condition, they are worn, dated buildings that do not adequately serve today's students by allowing for new learning modalities.

Concerns include: rooms of inappropriate size and configuration, poor quality of laboratories, cramped faculty space, lack of student gathering space, severe shortage of performance space, excessive costs to maintain the three oldest buildings on campus. Enrollment growth is in part dependent upon program offerings that respond to current demand and future trends. MxCC space severely limits program opportunities, particularly those having a technical or vocational aspect. New students to Middlesex Community College often comment that the facilities are inferior to those available to them in high school.

If Middlesex Community College is to continue to grow and serve students in its geographic area, the facilities must support changing needs.

IV. Scope of Project

A. Program for the Educational Master Plan

Project Initiation: This phase will allow the consultant to become familiar with available information and to assist the College with the establishment of a project schedule. Orientation meetings with the administration, academic departments and staff will be conducted. The consultants shall assist the college with the preparation of a process for involving the campus community in the planning effort. Key stakeholders will be identified and methods for ensuring their participation will be determined.

Data Gathering and Analysis: The consultant shall receive, review and synthesize all available studies, reports, publications, data and other pertinent information such as existing and proposed student and faculty FTE, library and housing data, strategic plans, accreditation and self-studies, facilities inventory, classroom and laboratory contact hours, college catalogs, etc. The consultant shall review the assembled materials and identify information gaps.

Conduct Interviews with MxCC Representatives: The consultant shall meet with MxCC representatives to define current programs and anticipated program growth, research activity and planned changes in the curricula. The consultant will plan meetings, facilitate discussions, and prepare materials for presentation and dissemination. Meetings with groups such as the Faculty Senate and other college-wide committees will be required.

Prepare Program Report: The consultant shall prepare a draft Program Report for review by the college Planning Committee and additional representatives from MxCC. The consultant shall conduct presentations to the

College Executive Committee, Faculty Senate, college-wide committees and college office staff. Upon completion of the review process, a Final Report shall be submitted.

Presentation to Board of Regents Staff: The consultant responsible for the development of the Program will make one presentation to Board of Regents staff.

B. Facilities Master Plan

Field Studies: The consultant shall participate in a walk-through of all campus facilities. Preliminary assessment of highest and best long-term use of existing facilities will be established. The plan will coordinate, define and determine the following:

- Campus land use patterns;
- Vehicular and pedestrian circulation systems;
- Adjacent and nearby development;
- Natural resources/animal habitat/natural systems on campus or in the vicinity;
- Utilities;
- Stormwater runoff;
- Air emissions;
- Solar orientation of existing and future facilities;
- Parking; and
- Approximate size and location of existing and new building or additions

Data Gathering and Analysis: The consultant will document the physical environment in the following categories:

- Facility and ground conditions, lifecycles, and operations; and
- Campus relation with surrounding community, as well as regulatory and environmental issues, including the opportunity for renewable energy resources, environmental conservation, and minimization of impacts on natural systems.

The consultant will also:

- Review the building condition surveys; and
- Conduct interviews with College personnel dedicated to maintenance of campus facilities.

Master Plan Scenarios: The consultant shall prepare concept scenarios for the physical development of the College. Assumptions regarding college priorities will be reviewed and adjusted to match academic, strategic and student affairs goals, physical needs and strategic positioning opportunities. Campus representatives and the Planning Committee shall meet with the consultant to review and discuss the alternatives.

C. Mandatory Plan Elements

At a minimum, the educational master planner is to develop, gather, evaluate, and recommend as required the following:

- External and internal environmental audit looking at all areas of the College;
- Educational services in the College's service area, within the State of Connecticut, as well as within the nation;
- Enrollment; population growth; participation rate; economic conditions; household incomes; age profiles; workforce characteristics of the local regions; programs of instruction; productivity and enrollment management; student demographic profile; capacity for growth; curriculum; weekly student contact hours; future growth rate;

- Detailed assessment of College service areas; profile of future programs of instruction; financial plan that looks at all resources including full-time and part-time faculty and professional staff; technology and other resources;
- Facilities master plan, including the Middletown Campus, the Meriden campus (currently leased space), and the manufacturing center in Meriden (currently leased space);
- Comprehensive space utilization requirements;
- Future capacities to support curriculum growth adjustments;
- Determinations from the educational plan and facilities evaluation of the areas in need of additional, modified or relocated spaces;
- Consideration for adjacencies; considerations and recommendations for moving existing and new functions from existing buildings into a new building and/or existing buildings;
- Space allocation diagrams, adjacency diagrams, implementation phasing plans, estimated costs for planning, design and construction of each phase of implementation;
- Comprehensive digital drawings of the master plan of the campus; database detailing square footages of the campus; combination drawings and data base plan;
- Site acquisition strategies, if applicable, building code study, landscape master plan, facilities capital plan;
- Incorporating sustainable design principles into building systems;
- Traffic patterns and parking facilities strategies; internal and external way finding; and environmental impact of any proposed construction.

Master Plan: Upon approval of the Planning Committee, a final report will be developed to contain a program of required renovations, improvements, new construction, and need for leased space (if any) based upon the approved master plan scenario in conjunction with the Program for the Master Plan. The program will include estimated project costs, recommended priorities, proposed schedule of implementation, and if recommended, identification of property expansion.

Presentation to the Board of Regents: The consultant will present the report and findings first to the Board of Regents staff and then to the entire Board of Regents in conjunction with the consultant responsible for developing the Program document.

V. Questions and Proposal Submission Requirements

Questions will be accepted via e-mail only until 5:00 pm September 7, 2012. Send questions to obrient@ct.edu

All questions will be answered as an addendum to the RFP. No question will be answered by phone or after the deadline for questions unless it involves the correction of an error in the RFP document.

Terry O'Brien
Contract Compliance Officer
Connecticut Board of Regents for Higher Education
39 Woodland Street
Hartford, CT 06105
(860) 493-0023

Please Note: Faxed, E-Mailed or late bids will be automatically rejected.

BOR may require respondents to make a formal presentation of their response (i.e. interview of the firm(s)). **Late, faxed or electronic forms of proposals are not acceptable and will be rejected by BOR.**

BOR is not responsible for any delays by the U.S. mail or any expedited carrier. It is expressly the responsibility of the bidder to insure that the bid package arrives prior to the bid opening.

VI RFP Submission

A. Presentation

Proposals shall be typed, and submitted on 8 ½" x 11" size paper, in a bound format. Maps, charts and spreadsheets may be submitted on 11" x 17" size paper, book folded. Lengthy narrative is discouraged and presentations should be brief and concise.

B. Cover Letter

The cover letter shall be address to Theresa O'Brien and must, at a minimum, contain the following:

- Identification of Proposer, including name, address and telephone number;
- Proposed working relationships between Proposer and sub consultants, if applicable;
- Acknowledgement of receipt of all RFP addenda, if any;
- Name, title, address and telephone number of contact person during period of proposal evaluation; and signature of a person authorized to bind Proposer to the terms of the proposal.

C. Proposal

The proposal shall contain the following sections with titles and information as described below.

1. Qualifications, Related Experience and References of Proposer

This section of the proposal should establish the ability of the Proposer to satisfactorily perform the required work, including: demonstrated experience and competence performing work of a similar nature, strength and stability of the firm, staffing capability, work load, record of meeting schedules on similar projects, and supportive client references.

Provide a brief profile of the firm, including: the types of services offered, the year founded, form of the organization (corporation, partnership, sole proprietorship); number, size and location of offices; and number of employees.

Describe the firm's experience in performing work of a similar nature to that solicited in this RFP and highlight the participation in such work by the key personnel proposed for assignment to this project.

Identify sub consultants by company name, address, contact person, telephone number and project function and describe Proposer's experience working with each sub consultant. Information requested of Proposer shall also be provided for each sub consultant.

Provide for each project cited as related experience, the name, title, address and telephone number of the person(s) at the client organization who is most knowledgeable about the work performed. A minimum of five (5) references must be given.

2. Proposal Team

This section shall establish the method to be used by the Proposer to manage the project as well as identify key personnel assigned. Provide education, experience and applicable professional credentials of project staff. Furnish brief resumes for the proposed Project Manager and other key personnel. Identify key personnel to

perform the work in the specified tasks and subtasks, and include major areas of sub consultant work. Include a project organization chart delineating communication and reporting relationships among the project staff, including sub consultants. Include a statement that key personnel will be available to the extent proposed for the duration of the project acknowledging that no person designated as “key” to the project shall be removed or replaced without prior written concurrence of the Board of Regents for Higher Education.

3. Work Plan

Proposer shall provide a narrative that addresses the Scope of Project and demonstrates its understanding of the college’s needs and requirements. Describe the approach to completing the tasks specified in the Scope of Project. Outline sequentially the activities that would be undertaken in completing the tasks and specify who would perform them.

4. Fee Schedule

Provide a fee schedule composed of hourly rates for all professional and staff time. The fee schedule must also include an estimate of level of effort (hours required to complete all tasks) for each category of professional and staff member associated with this RFP. The hourly rate for all personnel shall include all overheads and cost including profit in order to arrive at a final billing rate for each specific category of personnel. Please remember to submit two separate fee schedules associated with the two individual separate plan updates as per Section III. All anticipated expenses associated with each of the separate task should also be identified and listed within the respective fee schedules.

5. Required Forms

The following forms must be completed and returned with the proposal: Forms are on pages 9-17.

Contract proposal Signature Page (Form BO-1) p.9

CHRO – Contract Compliance Regulations Notification to Bidders p.11-12

Employment Information Form (Form EEO-1) p.13-14

Affidavits Regarding Consulting Agreements (Form 1, p 15-16; Form 5, p 17

Non Discrimination Affidavit p. 17

Non-discrimination Form C p. 18

VI. Instructions to Proposers

A. RFP Addenda

Any changes to the requirements will be made by written addendum to this RFP. Any written addenda issued pertaining to this RFP shall be incorporated into the terms and conditions of any resulting agreements. The Board of Regents for Higher Education will not be bound to any modifications to or deviations from the requirements set forth in this RFP as the result of verbal instructions. Any written addenda shall supersede verbal statements by any College agent or employee. All addenda will be posted to the Board of Regents for Higher Education RFP Website and the DAS Contracting Portal.

B. Clarifications

Should any Proposer require clarification of this RFP, they shall notify the BOR in writing no later than 2:00 PM on September 7, 2012. All questions shall be in the form of an e-mail only sent to Theresa O’Brien (obrient@ct.edu). Any questions received after the date and time noted above will not be accepted. Please refer to RFP Addenda above for the posting of the response to any questions or clarifications to this RFP.

C. Identification of Proposals

The Proposer shall submit an original and six (6) copies of its proposal in a sealed package, addressed as shown above, bearing the Proposer’s name and address and clearly labeled as follows:

RFP-BOR-124 Proposal for the Educational Master Plan
and Facilities Master Plan, Middlesex Community College
Terry O'Brien
Contract Compliance Officer
Connecticut Board of Regents for Higher Education
39 Woodland Street
Hartford, CT 06105
(860) 493-0023

VII. Conditions

- BOR reserves the right to accept or reject any and all proposals, or any item or part thereof, or to waive any informalities or irregularities in proposals, submitted for consideration.
- Any contract awarded as the result of this RFP must be in full conformance with statutory requirements of the State of Connecticut and the Federal Government.
- All proposals in response to this RFP are to be the sole property of the State, and subject to the provisions of section 1-210 of the Connecticut General Statutes. (re: Freedom of Information).
- Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP is to be the sole property of the State unless stated otherwise in the RFP or contract.
- All data collected by the contractor shall remain the sole property of the Board of Regents for Higher Education.
- Any alleged oral agreement or arrangement made by a Proposer with any agency or employee will be superseded by the written agreement.
- BOR reserves the right to amend or cancel this RFP, at any time without prior notice, and makes no representations that contracts will be awarded to any Proposer responding to this RFP.
- BOR reserves the right to reject the proposal of any consultant, which is in default of any prior contract for misrepresentation.
- BOR reserves the right to correct inaccurate awards resulting from its clerical errors.
- Proposals are subject to rejection, in whole or in part, if they limit or modify any of the terms and conditions and/or specifications of the RFP.
- A Proposer, if requested, must be prepared to present evidence of experience, ability, and service facilities necessary to satisfactorily meet the requirements set forth or implied in the proposal.
- No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the agency may be required at the bidder's expense and BOR reserves the right to negotiate with any or all Proposers who submit in response to this RFP.
- Proposer shall bear costs associated with Proposer's response to this request for proposals including presentation and/or demonstrations costs, if any.

- The proposal must include a summary of the Proposer's experience with Affirmative Action. This information is to include a summary of the Proposer's affirmative action plan and the Proposer's affirmative action policy statement.

Regulations of Connecticut State Agencies Section 4-114a-3(10) requires agencies to consider the following factors when awarding a contract, which is subject to, contract compliance requirements.

- a) The Proposer's success in implementing an affirmative action plan;
- b) The Proposer's success in developing an apprenticeship program complying with Section 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- c) The Proposer's promise to develop and implement a successful Affirmative Action Plan;
- d) The Proposer's submission of EEO-1 data indicating that the composition of its work force is at or nearby parity when compared to the racial and sexual composition of the work force in the relevant labor market area; and
- e) The Proposer's promise to set aside a portion of the contract for legitimate small contractors and minority enterprises.

VIII. Evaluation of Proposals

Each proposal will be evaluated by a selection committee against the following criteria to determine which consulting firm is most capable of implementing BOR requirements:

- Demonstrated ability and past experience to perform the specified work;
- Proposer's understanding of the project and its purpose and scope, as evidenced by the proposed approach and the level of effort;
- Ability to complete all aspects of the project;
- Client references; and
- Demonstration of commitment to affirmative action by full compliance with the regulations of the Commission on Human Rights and Opportunities (CHRO).

A presentation to the selection committee may be requested.

IX. Rights Reserved to Board of Regents for Higher Education

The Board of Regents for Higher Education reserves the right to award in part, to reject any and all proposals, in whole or in part; and to waive technical defects, irregularities and omissions if, in its judgment, the best interest of the BOR will be served. BOR also reserves the right to negotiate with any or all vendors who submit a proposal in response to this RFP.

BO-1



BOR Finance Department
39 Woodland Street, Hartford,
CT 06105-2337

THIS FORM AND
REQUIRED
PROPOSAL
SCHEDULE MUST
BE RETURNED

RFP NUMBER BOR-124	DATE OF OPENING September 28, 2012	TIME OF OPENING 2:00 PM Local	AMOUNT OF SURETY (if required) - none -	DATE ISSUED August 27, 2012
COMMODITY CLASS/SUBCLASS AND DESCRIPTION Educational Master Plan & Facilities Master Plan			REQUIRED SITE VISIT: Not applicable	
DIRECT ALL QUESTIONS TO: Terry O'Brien		TELEPHONE: (860) 493-0023		
FOR Middlesex C C	CONTRACT PERIOD OR DATE REQUIRED As per RFP			

REQUEST FOR PROPOSAL

Pursuant to the provisions of Sections 10a-151b and 4-217 of the General Statutes of Connecticut as amended. SEALED PROPOSALS WILL BE RECEIVED by the Finance Department of the Connecticut State University ("CSU") for furnishing the services herein listed.

AFFIRMATION OF PROPOSER

The undersigned affirms and declares:

That this proposal is executed and signed with full knowledge and acceptance of the provisions of the laws of the State of Connecticut, and the terms and conditions listed herein.

That should any part of this proposal be accepted in writing by CSU within ninety (90) calendar days from the date of opening unless an earlier date for acceptance is specified in proposal schedule, said proposer will furnish and deliver the services for which this proposal is made, at the rates offered and fee schedule proposed, and in compliance with the provisions listed herein. Should award of any part of this proposal be delayed beyond the period of ninety (90) days or an earlier date specified in proposal schedule, such award shall be conditioned upon proposer's acceptance.

PROPOSAL. The undersigned, accepting the conditions set forth herein, hereby agrees in strict accordance therewith, to furnish and deliver the services to Connecticut State University at the prices bid therein.

SIGNATURE WHEN PROPOSER IS AN INDIVIDUAL	TYPE OR PRINT NAME OF INDIVIDUAL			DOING BUSINESS AS (Trade Name)	
	BUSINESS ADDRESS		STREET	CITY	STATE
					ZIP CODE
	WRITTEN SIGNATURE OF INDIVIDUAL SIGNING THIS PROPOSAL			SOCIAL SECURITY NUMBER	DATE EXECUTED
TYPEWRITTEN NAME				TELEPHONE NUMBER	
SIGNATURE WHEN PROPOSER IS A FIRM	NAME (Type or print names of all partners)		TITLE		NAME
					TITLE
	NAME		TITLE		NAME
					TITLE
	DOING BUSINESS AS (Trade Name)		BUSINESS ADDRESS		STREET
				CITY	
				STATE	
				ZIP CODE	
WRITTEN SIGNATURE OF PARTNER SIGNING THIS PROPOSAL			F.E.I. NUMBER	DATE EXECUTED	
TYPEWRITTEN NAME				TELEPHONE NUMBER	
SIGNATURE WHEN PROPOSER IS A CORPORATION	FULL NAME OF CORPORATION				INCORPORATED IN WHAT STATE
	BUSINESS ADDRESS		STREET	CITY	STATE
					ZIP CODE
	PRESIDENT		SECRETARY		TREASURER
WRITTEN SIGNATURE OF CORPORATE OFFICIAL OR PERSON DULY AUTHORIZED TO SIGN PROPOSALS ON BEHALF OF THE ABOVE CORPORATION				TITLE	
TYPEWRITTEN NAME			TELEPHONE NUMBER		DATE EXECUTED

RETURN THIS FORM IMMEDIATELY!

Acknowledgment: Receipt of Request-For-Proposal Documents

Bid Number: RFP-BOR-0124

**Title: Educational Master Plan and Facilities Master Plan
Board of Regents for Higher Education
On behalf of Middlesex Community College**

Please take a moment to acknowledge receipt of the attached RFP documents. Your compliance with this request will help us to maintain proper follow-up procedures while ensuring that all recipients have the opportunity to submit a proposal.

Date Issued: August 27, 2012

Date received? ____/____/____

Do you plan to submit a proposal? Yes____ No____

Print or type the following information:

Company name: _____

Address: _____

City or Town: _____

Phone: _____

Fax: _____

Received by: _____

E-Mail _____

**Note: Faxed acknowledgments are requested! FAX (860)493-0006
A cover sheet is NOT necessary.
IMPORTANT: DO NOT FAX BIDS.
BIDS MUST BE SUBMITTED IN SEALED PACKAGES!**

**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS**

NOTIFICATION TO BIDDERS

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 A 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.

<p>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.</p> <p>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.</p> <p>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</p> <p>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.</p> <p>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, payroll clerks, bill and account collectors, customer service representatives, files clerks, dispatchers, shipping clerks, secretaries and administrative assistants, computer operators, mail clerks, and stock clerks.</p>	<p>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.</p> <p>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...</p> <p>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.</p> <p>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 off bearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.</p>
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2. Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

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

PART 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__	3. 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 standard of the Ct. Dept. of Labor? Yes__ No__ NA__
4. 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

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__
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PART IV – Bidder Employment Information

Date:

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

PART V – Bidder Hiring and Recruitment Practices

<p>5. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)</p>				<p>6. Check (X) any of the below listed requirements that you use as a hiring qualification (X)</p>		<p>3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination</p>
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishments	

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

(Signature)	(Title)	(Date Signed)	(Telephone)
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**STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION**

Written or electronic 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)

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 it 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 contactor 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 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:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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

Lawful Campaign Contributions to Candidates for the General Assembly:

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

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

Printed Contractor Name
Authorized Official

Printed Name of

Signature of Authorized Official

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

Commissioner of the Superior Court (or Notary Public)



**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: _____]

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:**

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 Contractor

Signature of Principal or Key Personnel

Date

Awarding State Agency

Printed Name (of above)

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

Commissioner of the Superior Court or Notary Public

