Request for Proposals for Investment Consulting Services

The Connecticut Retirement Security Authority (CRSA) is seeking proposals to provide certain services related to the Connecticut Retirement Security Program. The intent of the request is to identify firms with the necessary independence and expertise to provide investment consulting services within a stated timeframe.

Date of Issue: August 19, 2019

Closing Date / Time: October 1, 2019 @ 4:00 pm EST

Issued by: Connecticut Retirement Security Authority
Executive Director: Mary Fay
Phone: 860-205-4959
Email: maryfaycrsa@gmail.com
REQUEST FOR PROPOSALS (RFP)
BY
CONNECTICUT RETIREMENT SECURITY AUTHORITY

This Request for Proposals (RFP) includes the following:

Purpose 2
Background 3
Program Overview 5
Scope of Services 10
A. General Investment Consulting Services Required
B. Plan Administration
C. Investments, Structure, and Program Effectiveness
D. Other Services
Consultant Qualifications and Responses 13
A. Service / Quality Assurance
B. Service Model / Team
C. Customer Satisfaction and References
D. Complaints and Investigations
E. Fees
Contract Period 18
Schedule 18
Minimum Qualifications 19
Submission Deadline 20
RFP Procedures 20
RFP Conditions 22
Required Format for Proposals 26

Legal and Policy Attachments
Notice of State Certification Requirements
Executive Orders
Gift and Campaign Contribution Certification (Ethics Form 1)
Consulting Agreement Affidavit (Ethics Form 5)
State Elections Enforcement Commission’s Notice
Connecticut Commission on Human Rights and Opportunities Notice
Nondiscrimination Certification
PURPOSE

The Connecticut Retirement Security Authority (CRSA) is seeking proposals from qualified professional firms for the purpose of performing Investment Consulting Services for the Connecticut Retirement Security Program (the “Program” or “Plan”). All firms submitting proposals are referred to as Proposers in this document; after negotiations, the awarded Proposer will be designated as the Investment Consultant. CRSA anticipates it will choose one Investment Consultant from the Proposers, and will negotiate a contract with that consultant.

The CRSA is seeking strong organizations willing to partner in delivering services for this new program. Key characteristics will include organizational strength, depth and experience with individual retirement accounts (IRAs) and defined contribution programs, as well as the intent to partner and innovate to help drive success of the Program.

The successful firm will demonstrate their ability to deliver truly independent advice, a high capacity for working collaboratively within and across the organizations and teams that will ultimately be service providers to or stakeholders in the Connecticut Retirement Security Program.

The purpose of this RFP is to solicit bids from qualified firms and identify which firm might be the best-qualified to enter into a Contract (the “Contract” or “Agreement”) with the CRSA for comprehensive investment consulting services (the “Services”) related to the Program. The selection of a Proposer will be highly dependent on the Proposer’s experience and capabilities to assist the CRSA with at least the following:

- Develop and adhere to the standards set forth in the investment policy statement
- Monitor, review, and evaluate the available universe of investment funds and managers
- Monitor, review, and evaluate performance of the Program’s investment offerings against similar investment offerings by other vendors
- Provide a formal report of such reviews and evaluations
- Develop an investment fund menu that is appropriate for the participants
- Enhance participant retirement outcomes
- Analyze the overall cost efficiency and investment performance of the Program
- Reduce participant and Program expenses
- Maintain and strengthen the formal Provider and CRSA working relationships

While cost will be a factor to be considered, CRSA is not required and reserves the right in its reasonable discretion not to accept the lowest priced proposal.
Please note, although the Program contains some elements that are new, it is significantly based on the concepts, best practices and capabilities associated with individual retirement accounts (IRAs) and defined contribution plans that Providers service today.

Proposers are encouraged to respond based on their current capabilities, calling out where new or expanded capabilities will be needed or desirable to service the Program.


Please note, the law was recently amended with the passage of the state budget. The changes to the statutes may be found at Sections 99-102 of Public Act 19-117.

BACKGROUND

The purpose of the Program is to promote and enhance retirement savings for private sector employees in the state. Public Act 16-29, as amended (codified at Connecticut General Statutes §§31-416 through 31-429) (the “Act”), provides that the CRSA shall establish the Program in compliance with these rules. The Act requires the Program to, among other things:

A. Allow eligible individuals to contribute through payroll deductions to a Roth individual retirement account established by the Program

B. Require qualified employers, as defined in the Act, to offer employees the opportunity to contribute to a Program IRA through payroll deductions, unless the employer offers a qualified retirement plan, including but not limited to a plan qualified under section 401(a), section 401(k), section 403(a), section 403(b), section 408(k) or section 408(p) of the Internal Revenue Code

C. Provide for automatic enrollment of eligible employees and allow such employees to opt out of the Program

D. Provide for employee contributions to a plan to be deposited directly with the custodian for the IRA and prohibit employer contributions to employee accounts

E. Require the maintenance of separate records and accounting for each individual retirement account
F. Provide quarterly statements to participants encompassing, among other things, the account balance, the value of the participant’s investment in each investment option selected by the participant, the investment options available, the amount of fees charged, and a description of the services to which the charges relate, and at the election of the CRSA board of directors, an estimate of the income the account is projected to generate for the participant.

G. Allow for participants to maintain an account regardless of place of employment. Participants are allowed, to the extent permitted by Internal Revenue Code of 1986, to roll over funds into other retirement accounts, or to roll in funds from other retirement accounts to the account maintained by the CRSA.

H. Establish criteria and guidelines to offer qualified investment choices. Invest account contributions into (1) an age-appropriate target date fund or (2) other investment vehicles the CRSA may prescribe if affirmatively selected by the participant.

I. Provide a lifetime income investment option if the CRSA determines the design features illustrated in the Act to be feasible and cost effective.

J. Prepare informational materials for employers, participants and prospective participants as required by the Act.

K. Ensure the State of Connecticut and employers that participate in the Program have no proprietary interest in the contributions or earnings on amounts contributed to accounts established under the Program.

L. Minimize total annual fees associated with the Program. Not less than annually provide each participant with a fee notice illustrating the fees of the Program and information regarding the various investment options. The CRSA is directed to minimize total annual fees associated with the Program and on and after completion of the fourth calendar year following the first date on which the Program becomes effective, total annual fees associated with the Program must not exceed 75 basis points of the total value of the Program’s assets.

M. Allow employers to establish an alternative retirement plan for some or all employees.

N. Ensure that the Program is not treated as an employee benefit plan under the federal Employee Retirement Income Security Act of 1974 (29 U.S.C. 1001 et seq.)
## PROGRAM OVERVIEW

The following gives an overview of the Program.

<table>
<thead>
<tr>
<th>Name of Plan</th>
<th>Connecticut Retirement Security Program (Program)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Plan</td>
<td>Payroll Deduction Roth Individual Retirement Account (Roth-IRA)</td>
</tr>
<tr>
<td>Date Contributions Begin</td>
<td>Anticipated to be no later than December 31, 2019 (to be discussed with Service Providers)</td>
</tr>
</tbody>
</table>

## ELIGIBILITY

### Qualified Employer Defined

- “Qualified Employer” means any person, corporation, limited liability company, firm, partnership, voluntary association, joint stock association or other entity doing business in the state during the calendar year, whether for profit or not for profit, that employed on October first of the preceding calendar year five or more individuals in the state and has paid not less than five of such individuals taxable wages of not less than five thousand dollars in the preceding calendar year

- “Qualified Employer” does not include: (A) The federal government, (B) the state or any political subdivision thereof, (C) any municipality, unit of a municipality or municipal housing authority, (D) an employer employing only individuals whose services are excluded under subdivision (5) of subsection (a) of section 31-222 of the Connecticut General Statutes, or (E) an employer that was not in existence at all times during the current calendar year and the preceding calendar year

### Covered Employees Defined

- Employees, part-time and full-time eligible, as defined by the Act

- “Covered Employee” means an individual (A) who has been employed by a qualified employer for a period of not less than one hundred twenty days, (B) who is nineteen years of age or older, (C) who performs services within the state for purposes of section 31-222, and (D) whose service or employment is not excluded under the provisions of subdivision (5) of subsection (a) of section 31-222 of the Connecticut General Statutes
<table>
<thead>
<tr>
<th><strong>Number of Potential Participants</strong></th>
<th>An estimated 600,000 workers in Connecticut currently do not have access to a retirement plan through their employer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Participant Projections</strong></td>
<td>The program is expected to enroll over 250,000 participants. Additional information is provided with the feasibility study</td>
</tr>
<tr>
<td><strong>Plan Asset Projections</strong></td>
<td>The Program is expected to reach a $1 billion asset threshold in approximately 4 years and approach $4 billion within 10 years. Additional information is provided with the feasibility study</td>
</tr>
</tbody>
</table>

## PROGRAM BASICS

<table>
<thead>
<tr>
<th><strong>Account Type</strong></th>
<th>IRA -- one account per Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IRA Type</strong></td>
<td>Currently Roth</td>
</tr>
<tr>
<td><strong>Contributions - Employer</strong></td>
<td>Currently not permitted</td>
</tr>
<tr>
<td><strong>Contributions - Employee</strong></td>
<td>Employee contributions are withheld and transmitted by the Employer on behalf of the Employee. The Act requires contributions to be transmitted on the earliest date that the amount withheld can be transmitted but no later than 10 business days following the date upon which the employee’s contribution amounts were withheld from the paycheck.</td>
</tr>
<tr>
<td><strong>Contributions – Opt-in Participants</strong></td>
<td>Participants not employed by a Qualified Employer – for example, the self-employed – will be allowed to opt-in and make contributions directly (feature to be added later if not included in the initial service start-up). The Act allows for a private employer with four employees or fewer to make the Program available to its employees, subject to rules and procedures as prescribed by the CRSA. Unenrolled individuals may elect to enroll in the Program at any time, subject to the rules and procedures as prescribed by the CRSA.</td>
</tr>
</tbody>
</table>
### Auto Enrollment Process

Employer facilitated with technical support by the state and its service providers.

An opt-out period will occur before payroll deductions begin; only the individual can opt him or herself out of the program.

Not later than 60 days after a Qualified Employer provides informational materials to the Covered Employee, the employer will automatically enroll the Covered Employee in the Program at the participant’s contribution level. A Covered Employee may opt out of the Program at any time by electing a contribution level of zero. The employee can opt-out of the Program at any time, before and after making contributions.

<table>
<thead>
<tr>
<th>PROGRAM BASICS</th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Standard Default Contribution Rate</strong></td>
<td>3.0%</td>
</tr>
<tr>
<td><strong>Contributions – Electable Levels</strong></td>
<td>Employees can select a contribution rate that may be expressed as a (i) percentage of taxable wages or (ii) a dollar amount up to the maximum contribution limit under the Internal Revenue Code.</td>
</tr>
<tr>
<td><strong>Contribution Changes</strong></td>
<td>Employees can elect alternative contribution amount at initial enrollment period and at such frequencies as will be determined by the CRSA.</td>
</tr>
<tr>
<td><strong>Employee Contribution Cessation</strong></td>
<td>Participants can stop contributing at any time (subject to the limitations in the Internal Revenue Code governing Roth IRAs), i.e. 0% contribution election</td>
</tr>
<tr>
<td><strong>Contribution Date and Fund Deposit Frequency</strong></td>
<td>The Act requires employers to transmit employee contributions withheld from income on the earliest date that the amount withheld can be transmitted but no later than 10 business days</td>
</tr>
<tr>
<td><strong>Contribution File Processing Issue/Reject Management</strong></td>
<td>Predominately, an employer file via portal w/Web submittal and Automated Clearing House (ACH) or equivalent funding process/platform</td>
</tr>
<tr>
<td>Contribution Limit Monitoring and Management (Per Employer)</td>
<td>Employer payroll or portal-controlled with contribution limit monitoring at the Program level</td>
</tr>
<tr>
<td>-------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Contribution Limit Monitoring and Management (Across Employers)</td>
<td>Employee responsibility with contribution limit monitoring at the Program level</td>
</tr>
<tr>
<td>Roth IRA Income Limit Monitoring and Eligibility Management</td>
<td>Under the Internal Revenue Code, the employee is responsible for complying with IRS income limits for Roth Contributions. The CRSA is required to establish a process for preventing an employee’s contributions from exceeding the statutory maximum.</td>
</tr>
</tbody>
</table>

**INVESTMENTS**

<table>
<thead>
<tr>
<th>Investment Option Requirements</th>
<th>At a minimum, it is anticipated that the Program will consist of a capital preservation fund, a total market passive equity fund and at least two target date series of funds.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Date Fund</td>
<td>The Act requires each participant’s account to be invested in (1) an age-appropriate target date fund, or (2) other investment vehicles that the CRSA may make available for participants who wish to affirmatively select a vehicle other than, or in addition to, a target date fund.</td>
</tr>
<tr>
<td>Default Investment Option</td>
<td>Target date fund based on Employee age and the Normal Retirement Age as defined in the Act. The CRSA is considering technical corrections to the law. The NRA definition may be modified or removed before the program is launched.</td>
</tr>
<tr>
<td>Participant Investment Direction</td>
<td>Yes</td>
</tr>
<tr>
<td>Investment Option Changes</td>
<td>Daily</td>
</tr>
<tr>
<td>Frequency of Valuation</td>
<td>Daily</td>
</tr>
<tr>
<td>ACCOUNT SERVICING</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------------</td>
<td>------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Methods</strong></td>
<td>Mobile, web, online chat and telephone, at a minimum; English and Spanish; additional languages also preferred</td>
</tr>
<tr>
<td><strong>General Account Inquiry (i.e., Balances)</strong></td>
<td>Individual self-service via mobile, web and telephone with online chat support</td>
</tr>
</tbody>
</table>
| **General Account Maintenance**                      | Individual self-service via mobile and web with online chat support for:  
- Investment performance  
- Investment election changes  
- Investment fund transfers  
- Indicative data changes  
- Beneficiary designations |
| **Participant Account Statements**                   | Quarterly, needs to include (1) account balance including the value of investments in each investment option selected by the participant, (2) the various investment options available (3) the amount of fees and a description of the fees and (4) if the CRSA affirms, an estimate of the amount of income the account is projected to generate based on reasonable assumptions.  
Annually provide each participant with a fee notice illustrating the fees of the Program and information regarding the various investment options. |
| **Distributions**                                    | At any time, per IRA rules. |
| **Rollovers Out**                                    | Permitted as applicable under the Internal Revenue Code |
| **Rollovers In**                                     | Permitted as applicable under the Internal Revenue Code |
| **Distribution Services, Including Retirement Eligible** | Primarily through a web-based self-service capability, plus additional support methods as identified by Service Provider or CRSA |
| **Education and Communication Materials**            | Employer and Employee materials primarily through web-based self-serve library, plus additional support methods as identified by Service Provider or CRSA; anticipated key requirements include both an Employer Toolkit to support employer readiness to facilitate the Program effectively, and an Employee Enrollment One-Pager and related tools and information |
| **Participant Tools and Links**                      | Participant tools to support retirement readiness estimation and links to national and in-state resources to support financial education and coaching. |
SCOPE OF SERVICES

The CRSA has an obligation to request modifications to the Act if we deem one or more criteria under the Act to be prohibitively costly to participants or counter to the mission of enhancing retirement savings. CRSA welcomes Proposers to engage the CRSA on such items while developing their response to the RFP.

The Consultant shall provide the “Services” to the CRSA Board and to the Executive Director, including advice on investment funds and program approaches suitable for this individual retirement account program. The Services requested include though may not be limited to providing:

1) Target Date Fund knowledge and comparative assessments
2) An Investment Policy Statement (IPS) for the Program
3) Portfolio analytics and attribution analyses
4) Investment manager/investment fund research and searches
5) Investment manager/investment fund monitoring and reporting
6) General program analysis for effectiveness and competitiveness
A. GENERAL AND INVESTMENT CONSULTING SERVICES REQUIRED

i. Quarterly Performance Reporting. Consultant shall continually monitor, review, and evaluate all investment funds and options used in the Program and present and provide a formal report of such review and evaluation to the Board on the third Friday following the close of each calendar quarter or on such other date(s) that the Board may determine, which may be more or less frequently than quarterly.

ii. On-going Monitoring. Consultant shall continuously monitor investment funds used in the Program for adverse (or potentially adverse) events such as key person departures, significant changes in organizational ownership, significant client losses, investment performance issues and other negative product concerns. Advise the Board and the Executive Director as to appropriate measures to be taken, including the continuing appropriateness of the investment manager, investment fund, or option when concerns are identified.

iii. Investment Manager Searches. Consultant shall assist the Board and the Executive Director with investment manager search activity and make recommendations to the Board regarding the hiring of any investment manager.

iv. Current Trends and Issues. Consultant shall keep the Board and the Executive Director informed about current investment trends and issues for individual retirement accounts and defined contribution plans.

v. Requests for Proposals. Consultant may be asked to provide assistance on drafting requests for proposal (“RFP”) for more complex investment vehicles such as stable value retirement funds or collective investment trusts and evaluating the responses submitted.

vi. Transitions. The Consultant may be asked to assist in the transition of investment management services or assets from one provider to another.

vii. Fiduciary Duties. Consultant will act as a fiduciary to the Plan and will meet the standards applicable to investment advisors, including those under the Investment Advisers Act of 1940, the Employee Retirement Income Security Act and the regulations promulgated under such statutes.
B. PLAN ADMINISTRATION

   i. Participant Communications – The Consultant may be asked to draft and/or review materials promoting the Plan or educating participants regarding various aspects of the Plan related to investments and asset allocation.

   ii. IRS Audit - The Consultant may be required to assist in responding to an IRS audit at no additional cost to the Program.

C. INVESTMENTS, STRUCTURE, AND PROGRAM EFFECTIVENESS

Annual Reporting to the Board. This meeting will occur on the third Friday following the end of the preceding calendar year or such other date that the Board shall determine. The Consultant shall work with the Executive Director to prepare and present to the Board a comprehensive annual report covering at least the following:

   i. The effectiveness of the current Program in meeting program goals, and an analysis and recommendations for improvement where appropriate in key areas including, but not limited to: a) participation rates, b) Program structure and overall offering, c) operating and service provider satisfaction levels using independent measures, d) Program costs and fees compared to competitive alternatives and e) the reasonableness of investment manager fees.

   ii. Performance and suitability assessment of the various investment options and underlying fund manager(s).

   iii. Recommended changes to overall Program structure including the investment policies, fund and option additions, deletions, and allocation modifications, and performance objectives and standards for each investment fund and option.

   iv. The appropriateness of the asset allocation used for the target-date retirement funds employed by the Plan.

D: OTHER SERVICES

   i. In addition to the specific investment consulting services outlined in preceding pages, the Board and/or the Executive Director may require the Consultant to provide ongoing education on market practices, outreach to employers, assist in vendor management and undertake other Board directed projects.

   ii. Please outline the range of services that your firm offers and the associated costs for those services. The Board would be particularly interested in your thoughts on services that you provide that you believe would be particularly beneficial to the successful introduction and management of this retirement program.
CONSULTANT QUALIFICATIONS AND RESPONSES

A. SERVICE / QUALITY ASSURANCE

i. Please tell us about your firm (e.g. size, average tenure of employees, years of industry experience). If your team is affiliated with a large firm that includes multiple teams around the country, please also provide the same information about your team in particular for this question and for each question below.

Do you have offices in Connecticut? If so, please quantify and describe the services or products supported from Connecticut locations.

ii. Contact for this RFP: Name, Title, Phone and facsimile numbers, Email and mailing addresses

iii. Describe the ownership and structure of your firm

iv. List your firm’s lines of business (including affiliated companies)

v. How many years has your firm been in business?

vi. Briefly describe your firm’s history

vii. Please describe your firm’s vision, mission and corporate values

viii. All Proposers must hold and maintain valid licenses and registrations required by or otherwise needed to comply with applicable federal and state laws for this Program. The CRSA seeks well-capitalized Proposers recognized in their respective field(s) with a diverse workforce and innovative culture.

Briefly describe your firm’s ability to support CRSA and the Program in this capacity.

ix. How many employees are CFAs, CFPs and/or Investment Adviser Representatives (IARs)?

x. Do you use sub-contractors? If Yes, who and for what services?

xi. What is the position of your firm with states such as Oregon, California, Illinois, Maryland and others offering an individual retirement account program to employees without access to a workplace retirement program?

xii. Please provide the value of client plan assets under advisement as an ERISA 3(21) Fiduciary and, separately, the value of client plan assets under advisement as an ERISA 3(38) Fiduciary.
xiii. Total number of clients with defined contribution plans under your advisement (401(k)/403(b)/401(a) Profit Sharing/ 401(a) Profit Sharing or Money purchase other than 401(k) plans)

xiv. Number of core client plans (with whom your firm have regular quarterly contact)

xv. Number of client plans added over the past 24 months

xvi. Number of client plans lost over the past 24 months

xvii. Describe what differentiates your firm from other investment consulting firms.

xviii. The Act requests the CRSA to consider the feasibility of offering a lifetime income option. Please provide an overview of your firm’s ability to consult on income options within this Program.

xix. How does your firm define and measure the success of retirement plan consulting relationships?

xx. Has your firm or any employee of your firm been found guilty of any violation or paid any fines because of violations of law, including but not limited to securities regulations or ERISA?

xxi. Is your firm bonded/insured? If so, to what amount?

xxii. Would your firm recommend, consider for recommendation, or otherwise mention to the CRSA any money managers associated with a company that is related to or affiliated with your firm? If so, describe the relationship your firm has to such company(ies).

xxiii. Does your firm or any companies related to or affiliated with your firm have relationships with service providers that have relationships with money managers that your firm might recommend, consider for recommendation, or otherwise mention to the CRSA? If so, please describe those relationships.

xxiv. Would your firm or any companies related to or affiliated with your firm accept any non-monetary benefits from money managers or service providers that your firm recommends, considers for recommendation, or otherwise mentions to the CRSA? If so, please describe the circumstances under which you might accept such benefits.

xxv. Would your firm consider hosting one or more conferences that would be attended by money managers that you have recommended, considered for recommendation, or otherwise mentioned to the CRSA? If so, please describe the types of conferences that you would host.
xxvi. Does your firm have any policies or procedures to address conflicts of interest or to prevent potential conflicts (such as payments or relationships) from being considered when your firm provides advice to clients? If so, please describe such policies and procedures.

xxvii. If applicable, please provide a copy of both parts of your firm’s SEC Form ADV and most recent updates.

xxviii. Please provide audited financial statements for the last three fiscal years.

The statements should include a balance sheet, income statement, and cash flow statement with all footnotes and disclosures in accordance with generally accepted accounting principles for the last three (3) full fiscal years of operations.

B. SERVICE MODEL / TEAM

i. Describe your service model for this new Program and the support anticipated to be provided to the CRSA Board and the Executive Director (staff, responsibilities, interactions with the Board and the Executive Director, frequency of in-person meetings, frequency of conference calls, team dynamics)

ii. Please describe the process you will use to prepare the IPS for this Program.

iii. If possible, share samples of the reporting you will provide on a quarterly and annual basis to the Board

iv. Primary contact for our relationship:
   • Name, Title, Address, Phone, Email
   • Overall experience with employer-sponsored retirement plans, including previous employment history
   • Commitment to the retirement plans business
   • Education, honors, designations and other credentials
   • Regular activities to stay current on market and regulatory developments
   • Areas of expertise
   • Years with the firm
   • Role at the firm
   • Number of plans supported
   • Average size of plans supported
   • Any clients lost in the last 24 months? If so, please provide the reason(s).
• Will the primary contact be the only person with whom we will be working? If no, please list name(s), contact information, and profile information for each person.

C. CUSTOMER SATISFACTION AND REFERENCES

Please provide references for three current defined contribution clients. At least 1 of the 3 should have converted to the Proposer within the last year. Please provide client name, contact name, address, phone number, email address, services provided, and year they became a client.

D. COMPLAINTS AND INVESTIGATIONS

Discuss any pending complaints or investigations, or any complaints or investigations made or concluded within the past five (5) years to or by any client, regulatory body or court regarding the conduct of your firm or its predecessors, or the conduct of any of its present or former members, officers, directors or employees.

E. FEES

Include a Schedule of Fees by type and year; any proposals must be valid for the entire duration of the contract. The Schedule of Fees must separately identify any fees and out-of-pocket expenses expected to be incurred for any consulting services. Note: The CRSA is exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Such taxes must not be included in the proposed cost.

The CRSA is directed to minimize fees, and on and after completion of the fourth calendar year following the first date on which the Program becomes effective, total annual fees associated with the Program must not exceed 75 basis points of the total value of the Program assets.

The Schedule of Fees must include all expenses covering each of the services and activities identified in your proposal response. Identify if the expense is:

a. One time or on-going
b. Participant paid (direct or account adjustment)
c. CRSA paid (billed and billing frequency)
d. Paid through indirect compensation from third parties
e. Accounted for or accrued in determining daily investment share/unit value
Use the specific information provided in this RFP about the Program in determining and illustrating your expenses. If assumptions are necessary, please fully explain your assumptions and quote the related expenses on a unit cost basis, if possible.

In addition to the expense schedule, please respond specifically to the following:

i. Fee Proposal Summary

List proposed cost of service on an annualized basis in the spaces provided below. Additionally, if you are proposing to subcontract with a third party to provide any services listed in your proposal, you must include the price of these services in your annualized cost below and reveal the cost and terms of your contract with any proposed subcontractor (Note: subcontractors must be approved in advance by the CRSA). If additional space is needed, attach those sheets to this cost proposal.

<table>
<thead>
<tr>
<th>Calendar Year 2020</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Calendar Year 2021</td>
<td>$</td>
</tr>
<tr>
<td>Calendar Year 2022</td>
<td>$</td>
</tr>
<tr>
<td>Calendar Year 2023</td>
<td>$</td>
</tr>
<tr>
<td>Calendar Year 2024</td>
<td>$</td>
</tr>
</tbody>
</table>

ii. Services beyond Scope of Proposal

Describe services that may be considered beyond the scope of this RFP. Provide an hourly charge rate for these services or company rate structure for each service.

iii. What are the start-up costs (if any)?

iv. How are expenses adjusted if the program exceeds or falls short of expectations for the number of participants and aggregate program account values?

v. Please describe any other indirect compensation arrangements that may relate to the services you would provide for the Program.

vi. Please describe any fees associated with termination of the contract for services.

vii. In addition to the expense schedule, please identify any other service or activity not covered (e.g. postage, handling, supplies, servicing commissions, etc.). Please be specific.
viii. If the firm has discounted rates for governmental or quasi-governmental agencies, please provide such rates.

**CONTRACT PERIOD**

The CRSA anticipates that the successful proposer will commence shortly after the selection process concludes. The contract period is expected to be a period of five years, though the Board is open to shorter or longer terms not to exceed ten years.

**SCHEDULE**

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>August 19, 2019</td>
<td>Release of the RFP by CRSA</td>
</tr>
<tr>
<td>September 6, 2019</td>
<td>Questions, if any, due to Mary Fay, Executive Director, via email at <a href="mailto:maryfaycrsa@gmail.com">maryfaycrsa@gmail.com</a></td>
</tr>
<tr>
<td>September 20, 2019</td>
<td>Answers to questions released</td>
</tr>
<tr>
<td>October 1, 2019</td>
<td>Submission deadline</td>
</tr>
</tbody>
</table>

Finalist interview(s), if any, will be scheduled after October 1 at a time to be determined by the Board.

The Board anticipates contracting with a proposer before the end of this year.

Dates are tentative and may change in CRSA’s discretion.
MINIMUM QUALIFICATIONS

1. The consultant must be registered with and maintain registration as an Investment Adviser with the U.S. Securities and Exchange Commission and with each state in which the consultant is required to register.

2. The consultant’s advice must be truly independent without regard to the interests of the consultant’s firm and with no direct or indirect influence from third parties to bias the consultant’s advice. The firm must state that all actions and recommendations will be for the sole purpose and benefit of the participants in the Program.

3. The firm must act as and acknowledge in writing that it is a “fiduciary” and will meet the standards applicable to investment advisors, including those under the Investment Advisers Act of 1940, the Employee Retirement Income Security Act and the regulations promulgated under such statutes and that the firm will not delegate such fiduciary responsibilities to any other entity.

4. As of December 31, 2018, the proposer must have provided investment consulting services for Defined Contribution Plans and/or Individual Retirement Accounts (Traditional and Roth) for a minimum of ten (10) years. (Defined Contribution Plans are those plans authorized under Section 457, 401(k), 403(b), or 401(a) of the Internal Revenue Code. Individual Retirement Accounts are those tax qualified accounts authorized under Section 408 and 408A of the Internal Revenue Code.)

5. As of December 31, 2018, the proposer must have a minimum of $50 billion in total defined contribution plan or Individual Retirement Account assets under management (AUM).

6. Consultant shall obtain at Consultant’s expense the insurance specified in this Proposal and shall maintain it in full force and at its own expense throughout the duration of this Contract, including any extended reporting or tail coverage for acts and omissions of Consultant during the term of the Contract, and all warranty periods that apply. Consultant shall obtain the following insurance from insurance companies or entities that are authorized to transact the business of insurance and issue coverage in the State and that are acceptable to CRSA. Coverage shall be primary and non-contributory with any other insurance and self-insurance. Consultant shall pay for all deductibles, self-insured retention and self-insurance, if any.

   **Fiduciary Liability Insurance**: covering breaches in fiduciary duties related to the services or fiduciary responsibility to be provided under this Agreement in such amounts as the CRSA may prescribe.

IF YOU CANNOT MEET THE MINIMUM QUALIFICATIONS, YOUR FIRM’S PROPOSAL MAY NOT BE CONSIDERED.
SUBMISSION DEADLINE

The due date for proposals is October 1, 2019 at 4 pm. Late submissions will not be accepted.

Proposals are to be sent to Mary Fay, Executive Director for the Connecticut Retirement Security Authority:

Connecticut Retirement Security Authority
ATTN: Investment Consulting Services RFP
Mary Fay, Executive Director
P.O. Box 270684
West Hartford, CT. 06127

No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification of proposals may be required by the CRSA at the proposer’s sole cost and expense.

RFP PROCEDURES

A. Proposer’s Authorized Representative. Proposers must designate an authorized representative and one (1) alternate. Provide the name, title, address, telephone and facsimile numbers, e-mail address, and normal working hours for representative and alternate. This information must be submitted with the RFP submission.

B. Communications Notice. All communications with the CRSA or any person representing the CRSA concerning this RFP are strictly prohibited, except as permitted by this RFP. Any violation of this prohibition by proposers or their representatives may result in disqualification or other sanctions, or both.

C. Inquiry Procedures. All questions regarding this RFP and submission requirements must be directed, in writing, to Mary Fay, Executive Director. Proposers are required to limit their contact regarding this RFP to the Executive Director.

CRSA will provide all Proposers with the questions and answers to the questions brought by Proposers and addressed by CRSA. The questions and answers will be posted to http://www.ctdol.state.ct.us/retirement%20authority/index.htm

D. Packaging and Labeling Requirements. All proposals must be submitted in sealed envelopes or packages. All proposals must be addressed to the Executive Director. The name and address of the proposer must appear in
the upper left hand corner of the envelope or package. An authorized representative of the proposer must sign the proposal. Unsigned proposals will be rejected. Proposals transmitted by facsimile may not be accepted or reviewed.

E. Proposals Due. An original and 5 copies as well as an electronic version of proposal in software compatible with Microsoft Word 7.0 must be received no later than October 1 at 4 pm.

F. Minimum Submission Requirements. Proposals must (1) be submitted before the deadline, (2) satisfy the packaging and labeling requirements, (3) follow the required format, (4) be complete, (5) include all required forms, and (6) be duly executed. Proposals that fail to meet these minimum submission requirements may be disqualified and not reviewed further.

G. Selection Committee. A committee appointed by the board of directors of the CRSA will evaluate qualified proposals submitted in response to this RFP and recommend finalists for consideration. Any attempt by a Proposer to influence a member of the Selection Committee during the Proposal review and evaluation process will result in the elimination of that Proposer’s proposal from consideration.

H. Meetings with Proposers. At its discretion, the CRSA may convene meetings with proposers in order to gain a fuller understanding of the proposals. The meetings may involve demonstrations, interviews, presentations, or site visits. The Board will decide if meetings are warranted and will contact proposers to make an appointment.

I. Contractor Selection. It is the CRSA’s intention to notify the successful proposer as soon as possible and to initiate this engagement shortly thereafter.
RFP CONDITIONS

All proposers must be willing to adhere to the following conditions:

A. The CRSA is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, or business practices. The CRSA is committed to complying with the Americans with Disabilities Act of 1990 (ADA) and does not discriminate on the basis of disability, in admission to, access to, or operation of its programs, services, or activities. The CRSA strongly encourages qualified minority business enterprises (as defined in Connecticut General Statutes §4a-60) to apply.

B. The selected Proposer(s) must agree that it/they will comply with the nondiscrimination and affirmative action requirements of Connecticut General Statutes §§4a-60(a)(1) and 4a-60a(a)(1).

C. All proposals in response to this RFP are to be the sole property of the CRSA and none will be returned. All materials associated with this procurement process are subject to the terms of State laws defining freedom of information and privacy and all rules, regulations and interpretations resulting from those laws. The Connecticut Freedom of Information Act (FOIA) generally requires the disclosure of documents in the possession of the State upon request of any person, unless the content of the document falls within certain categories of exemption.

IMPORTANT NOTE: The FOIA includes exemptions for “trade secrets” and “commercial or financial information given in confidence, not required by statute.” These exemptions allow, but do not require, the CRSA to withhold information that qualifies under these exemptions, which exemptions remain available so long as the information continues to be treated by the submitting party as confidential and is not readily available to the public from other sources. Only the particular information falling within one of these exemptions can be withheld by the CRSA if a public records request is made under FOIA. Such confidential information must be separated and isolated from other material in the proposal and labeled CONFIDENTIAL and enclosed in a separate envelope. It will not be sufficient merely to state generally in the proposal that the proposal is proprietary or confidential in nature and not, therefore, subject to release to third parties. A convincing explanation and rationale sufficient to justify each exemption from release consistent with Section 1-210(b) of the Connecticut General Statutes shall be prepared by the Proposer and shall accompany the proposal. The rationales and explanation shall be stated in terms of the prospective harm to the competitive position of the Proposer that would result if the identified information were to be released, and shall state the reasons why the Proposer believes the materials are legally exempt from release pursuant to Section 1-210(b) of the Connecticut General Statutes.
CRSA will endeavor to keep said information confidential to the extent permitted by law. CRSA, however, has no obligation to initiate, prosecute or defend any legal proceeding or to seek a protective order or other similar relief to prevent disclosure of any information pursuant to a FOIA request. As set forth below, the proposer has the burden of establishing the availability of any FOIA exemption in any proceeding where it is an issue. In no event shall CRSA or any of its staff have any liability for disclosure of documents or information in the possession of CRSA, which CRSA or such staff believes to be required pursuant to the FOIA or other requirements of law.

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

E. Timing and sequence of events resulting from this RFP will ultimately be determined by the CRSA.

F. The proposer’s proposal shall remain valid for a period of 180 days after the closing date for the submission and may be extended beyond that time by mutual agreement.

G. All proposed costs must be capped to the fee limit as provided in the Act. The CRSA stands ready to work with Proposers on a continuous cost improvement process.

H. The CRSA may amend or cancel this RFP at any time prior to the due date and time, if the CRSA deems it to be necessary, appropriate or otherwise in the best interests of the CRSA. Failure to acknowledge receipt of amendments, in accordance with the instructions contained in the amendments, may result in a firm's proposal not being considered. Issuance of this RFP does not guarantee that the CRSA will award a contract to any Proposer. The CRSA reserves the right to re-bid, extend or otherwise modify this RFP or the related schedules and processes at any time, in any manner in its sole discretion. The CRSA also reserves the right, in its sole discretion, to consider any source of information in evaluating proposals; omit any planned evaluations step if, in the CRSA’s view, the step is not needed; reject any or all proposals; and open contract discussions with other Proposer(s) if the CRSA and the first selected Proposer(s) are unable to agree on contract terms.

Amendments and notices of cancellation will be posted on the CRSA website, http://www.ctdol.state.ct.us/retirement%20authority/index.htm

I. The CRSA reserves the right to correct clerical or administrative errors that may be made during the evaluation of Proposals or during the negotiation of the contract and to change the contract award accordingly. In addition, the
CRSA reserves the right to re-evaluate Proposals and the award of the contract in light of information either not previously known or otherwise not taken into account prior to the contract award. This may include, in extreme circumstances, revoking the award of the contract already made to a firm and subsequently awarding the contract to another firm. Such action on the part of the CRSA will not constitute a breach of contract on the part of the CRSA since the contract with the initial firm would be deemed void and of no effect as if no contract ever existed between the CRSA and the firm. The CRSA may waive minor irregularities found in proposals or allow a Proposer to correct them, depending on which is in the best interest of the CRSA. “Minor irregularities” means typographical errors, informalities that are matters of form rather than substance and evident from the proposal itself and insignificant mistakes that can be waived or corrected without prejudice to other Proposers, as determined in the sole discretion of the CRSA.

J. Any costs and expenses incurred by proposers in preparing or submitting proposals are the sole responsibility of the proposer.

K. A proposer must be prepared to present evidence of experience, ability, service facilities, and financial standing necessary to satisfactorily meet the requirements set forth or implied in the proposal.

L. No additions or changes to the original proposal will be allowed after submission. While changes are not permitted, clarification of proposals may be required by the CRSA at the proposer’s sole cost and expense.

M. Some Proposers may be asked to give demonstrations, interviews, presentations or further explanation to the RFP Selection Committee.

N. The proposer represents and warrants that: (i) the proposal is not made in connection with any other proposer; (ii) the fees and costs proposed in its proposal have been arrived at independently, without consultation, communication or agreement for the purpose of restricting competition as to any matter relating to such process with any other organization or with any competitor; (iii) unless otherwise required by law, the Proposer has not knowingly disclosed quoted fees directly or indirectly to any other organization or to any competitor prior to the deadline for submission of the proposal; (iv) no attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition; and (v) the proposal is in all respects fair and made without collusion or fraud. The proposer further represents and warrants that it did not participate in any part of the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no agent, representative or employee of the CRSA participated directly in the proposer’s proposal preparation.
O. All responses to the RFP must conform to instruction. Failure to include any required signatures, provide the required number of copies, meet deadlines, answer all questions, follow the required format, or failure to comply with any other requirements of this RFP may be considered appropriate cause for rejection of the response. The CRSA may, in its discretion, not consider proposals that contain even minor or immaterial deviations.

P. This RFP is not an offer and neither this RFP nor any prior or subsequent discussions shall give rise to any commitment on the part of the CRSA or confer any rights on any proposer unless and until a contract is fully executed by the necessary parties. The contract document will represent the entire agreement between the proposer and the CRSA and will supersede all prior negotiations, representations or agreements, alleged or made, between the parties. The CRSA shall assume no liability for payment of services under the terms of the contract until the successful proposer is notified that the contract has been accepted and approved by the CRSA and both parties have executed the contract. The contract may be amended only by means of a written instrument signed by the CRSA and the proposer. Further, the contract or any portion thereof or the right, title or interest of the Proposer therein or thereto may not be sublet, sold, transferred, assigned or otherwise disposed of to any person or entity without the prior written consent of the CRSA. No person or entity, other than the Proposer to whom the contract was awarded, is permitted to perform work without the prior written approval of the CRSA. In the contract the selected Proposer will represent and warrant that, at all pertinent and relevant times, it has been, is and will continue to be in full compliance with all applicable codes, statutes, acts, ordinances, judgments, decrees, injunctions and regulations of federal, state, municipal or other governmental departments, commissions, boards, bureaus, agencies or instrumentalities.

Q. Proposers represent that no elected or appointed official or employee of the State of Connecticut or the CRSA has, or will, benefit financially or materially from the contract. The contract may be terminated by the CRSA if it is determined that gratuities of any kind were either offered to, or received by, any state officials or employees from the Proposer, the Proposer’s agent(s), representative(s) or employee(s). Such action on the part of the CRSA shall not constitute a breach of contract by the CRSA.

R. A Proposer’s submission of a proposal shall constitute, without any further act required of the Proposer or the CRSA, the Proposer’s acceptance of the requirements, administrative stipulations and all of the terms and conditions of this RFP. Proposals must reflect compliance with these requirements.
REQUIRED FORMAT FOR PROPOSALS

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

- Page Size: 8 ½ x 11 inches
- Font Size: 12 pitch
- Margins: 1” minimum on the top, bottom, and sides of all pages
- Number of Copies: An original and 5 copies of the proposal must be received no later than October 1, 2019
- One (1) Electronic Version. Format: Microsoft Word 7.0 or compatible software.

Section 1 – TABLE OF CONTENTS
Proposers must include a Table of Contents that lists sections and subsections with page numbers that follow the organization and sequence for this proposal as required.

Section 2 – PROPOSER INFORMATION
Answer all questions under CONSULTANT QUALIFICATIONS AND RESPONSES in the order as presented in this RFP. Please also number your responses to align with the numeric order of the questions presented in this RFP. Not doing so may disqualify your firm from consideration.

Section 5 – CONFLICT OF INTEREST
Include a disclosure statement concerning any current business relationships (within the last three (3) years) or assignments that your firm or any employee of your firm has or has had, including business relationships or assignments with any other investment firm, financial advisory firm, law firm, or other person or entity, that poses or may pose a conflict of interest or the appearance of a conflict of interest in providing investment consulting services to the CRSA.

Section 6 – VALIDATION OF PROPOSAL
Each Proposal must be signed by an authorized official and shall be a binding commitment that the CRSA may incorporate the Proposal, in whole or in part, by reference or otherwise, into the contract. The Proposal must also include evidence that the person submitting the Proposal has the requisite power and authority on behalf of the Proposer to submit and deliver the proposal and subsequently to enter into, execute, deliver and perform the contract.
Notice of State Certification Requirements

1. Proposers must execute a Gift and Campaign Contribution Certification (Ethics Form 1) attached as Appendix A and include with the proposal.

2. Each Proposer must deliver a Consulting Agreement Affidavit (Ethics Form 5), attached hereto as Appendix B with its proposal and the selected Proposer(s) must deliver an updated form contemporaneously with contract execution. The selected Proposer(s) must amend Ethics Form 5 whenever it/they enter into any new consulting agreement during the term of the contract.

3. With regard to a state contract (as defined in Connecticut General Statutes §9-612(f)(1)(C)), having a value in a calendar year of $50,000 or more or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to the proposal must expressly acknowledge receipt of the State Elections Enforcement Commission’s notice, attached in Appendix C, advising prospective state contractors of state campaign contribution and solicitation prohibitions and the Proposer will inform its principals of the contents of this notice.

4. Pursuant to Regs. Conn. State Agencies §46a-68j-30(8), the Connecticut Commission on Human Rights and Opportunities (“CHRO”) requires the CRSA to notify bidders, on a form developed by the CHRO, that the contract to be awarded pursuant to this RFP is subject to contract compliance requirements. Appendix D contains this required notice. Please complete and include with the proposal the Bidder Contract Compliance Monitoring Report (pages 3-5). Proposers who are selected will be required to post a notice attesting to their compliance with contract compliance requirements.

5. Every contractor with the CRSA is required to provide documentation to support the contractor's nondiscrimination agreements and warranties. Three certification forms (two for businesses, depending on the value of the contract, and one for individuals) are attached as Appendix E. An authorized signatory of the selected Proposer(s) must sign the applicable certification form and submit it to the CRSA at the time of execution of the contract.

6. The selected Proposer(s) shall, if the contract with the CRSA constitutes a contract for "investment services" (as defined in Connecticut General Statutes Section 9-612(e)(1)(A)), disclose to the CRSA in writing all third party fees (including but not limited to, management fees, placement agent fees, solicitation fees, referral fees, promotion fees, introduction or matchmaker fees and due diligence fees) attributable to the contract in the form of a sworn affidavit.
Executive Orders

The selected Proposer(s) shall comply, to the extent applicable, with the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973 and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999. Copies of these Executive Orders are available upon request.
STATE OF CONNECTICUT
GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

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

INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

CHECK ONE:  □ Initial Certification  □ 12 Month Anniversary Update (Multi-year contracts only.)

□ Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

GIFT CERTIFICATION:

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

1) “Contract” means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
2) If this is an Initial Certification, “Execution Date” means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, “Execution Date” means the date this certification is signed by the Contractor;
3) “Contractor” means the person, firm or corporation named as the 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)(l) or (ll);
5) “Gift” has the same meaning given that term in C.G.S. § 4-250(1);
6) “Principals or Key Personnel” means any official in C.G.S. §§ 4-250(5) and 4-252(c)(1)(ll) 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 the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

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

I further certify that, on or after January 1, 2011, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(f)(1), has made any campaign contributions to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(f)(2)(A). I further certify that all lawful campaign contributions that have been made on or after January 1, 2011 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

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<th>Name of Contributor</th>
<th>Recipient</th>
<th>Value</th>
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Lawful Campaign Contributions to Candidates for the General Assembly:

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

Printed Contractor Name ___________________________________________ Printed Name of Authorized Official ________________________________

Signature of Authorized Official ________________________________

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

Commissioner of the Superior Court (or Notary Public)

My Commission Expires ___________________________________________
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

Printed Name (of above)

Awarding State Agency

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

[Signature]

Commissioner of the Superior Court or Notary Public

My Commission Expires
Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

Acknowledgement of Receipt of Explanation of Prohibitions for Incorporation in Contracting and Bidding Documents

This notice is provided under the authority of Connecticut General Statutes § 9-612 (1) (2) and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the reverse side of this page).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

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 (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 (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate shall make a contribution to (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.

On and after January 1, 2011, 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 knowingly solicit contributions from the state contractor's or prospective state contractor's employees or from a subcontractor or principals of the subcontractor 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.

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—Up to $2,000 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 up to $2,000 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 not more than $5,000 in fines, or both.

CONTRACT CONSEQUENCES

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

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions 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 shall 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.
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 of 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 or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

"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 return of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fundraising 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, serving on the committee that is hosting a fundraising event, introducing the candidate or making other public remarks at a fundraising event, being honored or otherwise recognized at a fundraising event, 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 under this chapter, (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, (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this subdivision, or (v) mere attendance at a fundraiser.

"Subcontractor" means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty-first of the year in which the subcontract terminates. "Subcontractor" does not include (i) 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 (ii) 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 subcontractor" 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 subcontractor, 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 subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (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 subcontractor.
## ACKNOWLEDGEMENT OF RECEIPT

<table>
<thead>
<tr>
<th>SIGNATURE</th>
<th>DATE (mm/dd/yyyy)</th>
</tr>
</thead>
</table>

### NAME OF SIGNER

<table>
<thead>
<tr>
<th>First Name</th>
<th>MI</th>
<th>Last Name</th>
<th>Suffix</th>
</tr>
</thead>
</table>

### TITLE


### COMPANY NAME


---

Additional information may be found on the website of the State Elections Enforcement Commission,  
[www.ct.gov/secc](http://www.ct.gov/secc)  
Click on the link to “Lobbyist/Contractor Limitations”
COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES
CONTRACT COMPLIANCE REGULATIONS
NOTIFICATION TO BIDDERS
(Revised 09/3/15)

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81(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 therein to determine the bidder’s 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.

I) Definition of Small Contractor

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

White (not of Hispanic Origin)-All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Black (not of Hispanic Origin)-All persons having origins in any of the Black racial groups of Africa.

Hispanic-All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.

American Indian or Alaskan Native-All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

<table>
<thead>
<tr>
<th>Company Name:</th>
<th>Bidder Federal Employer Identification Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street Address:</td>
<td>Or Social Security Number:</td>
</tr>
<tr>
<td>City &amp; State:</td>
<td>Bidder Identification</td>
</tr>
<tr>
<td>Chief Executive:</td>
<td>(response optional/definitions on page 1)</td>
</tr>
<tr>
<td>Major Business Activity:</td>
<td>-Bidder is a small contractor? Yes</td>
</tr>
<tr>
<td>(brief description)</td>
<td></td>
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<tr>
<td></td>
<td>-Bidder is a minority business enterprise? Yes</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Black</td>
</tr>
<tr>
<td></td>
<td>American Indian/Alaskan Native</td>
</tr>
<tr>
<td></td>
<td>Individual(s) with a Physical Disability</td>
</tr>
<tr>
<td>Bidder Parent Company:</td>
<td>-Bidder is certified as above by State of CT? Yes</td>
</tr>
<tr>
<td>(If any)</td>
<td></td>
</tr>
<tr>
<td>Other Locations in CT:</td>
<td>(If any)</td>
</tr>
</tbody>
</table>

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 |
| 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 notify all recruitment sources in writing of your company’s Affirmative Action/Equal Employment Opportunity employment policy? Yes | No |
| 4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes | No |
| 5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes | No |
| 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 |
| 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 |
| 8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes | No |
| 9. Does your company have a mandatory retirement age for all employees? 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 | N/A |
| 11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes | No | N/A |
| 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: |
1. Will the work of this contract include subcontractors or suppliers?  Yes ☐ No ☐

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

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

### PART IV - Bidder Employment Information

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

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

<table>
<thead>
<tr>
<th>Apprentices</th>
<th>Trainees</th>
</tr>
</thead>
</table>

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

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

<table>
<thead>
<tr>
<th>SOURCE</th>
<th>YES</th>
<th>NO</th>
<th>% of applicants provided by source</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Employment Service</td>
<td></td>
<td></td>
<td>Work Experience</td>
</tr>
<tr>
<td>Private Employment Agencies</td>
<td></td>
<td></td>
<td>Ability to Speak or Write English</td>
</tr>
<tr>
<td>Schools and Colleges</td>
<td></td>
<td></td>
<td>Written Tests</td>
</tr>
<tr>
<td>Newspaper Advertisement</td>
<td></td>
<td></td>
<td>High School Diploma</td>
</tr>
<tr>
<td>Walk Ins</td>
<td></td>
<td></td>
<td>College Degree</td>
</tr>
<tr>
<td>Present Employees</td>
<td></td>
<td></td>
<td>Union Membership</td>
</tr>
<tr>
<td>Labor Organizations</td>
<td></td>
<td></td>
<td>Personal Recommendation</td>
</tr>
<tr>
<td>Minority/Community Organizations</td>
<td></td>
<td></td>
<td>Height or Weight</td>
</tr>
<tr>
<td>Others (please identify)</td>
<td></td>
<td></td>
<td>Car Ownership</td>
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<td></td>
<td></td>
<td></td>
<td>Arrest Record</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Wage Garnishments</td>
</tr>
</tbody>
</table>

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

- [ ] State Employment Service
- [ ] Private Employment Agencies
- [ ] Schools and Colleges
- [ ] Newspaper Advertisement
- [ ] Walk Ins
- [ ] Present Employees
- [ ] Labor Organizations
- [ ] Minority/Community Organizations
- [ ] Others (please identify)
- [ ] Ability to Speak or Write English
- [ ] Written Tests
- [ ] High School Diploma
- [ ] College Degree
- [ ] Union Membership
- [ ] Personal Recommendation
- [ ] Height or Weight
- [ ] Car Ownership
- [ ] Arrest Record
- [ ] Wage Garnishments

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

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

<table>
<thead>
<tr>
<th>(Signature)</th>
<th>(Title)</th>
<th>(Date Signed)</th>
<th>(Telephone)</th>
</tr>
</thead>
</table>
STATE OF CONNECTICUT

NONDISCRIMINATION CERTIFICATION — Representation by Individual

For All Contract Types Regardless of Value

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

INSTRUCTIONS:

For use by an individual who is not an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut, regardless of contract value. Submit to the awarding State agency prior to contract execution.

REPRESENTATION OF AN INDIVIDUAL:

I, ___________________________________ of ___________________________________  
(Signatory) (Business Address)

represent that I will comply with the nondiscrimination agreements and warranties of the

Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.

_________________________________  ______________________________
(Signatory)  (Date)

_________________________________
(Printed Name)
STATE OF CONNECTICUT

NONDISCRIMINATION CERTIFICATION — Representation by Entity

For Contracts Valued at Less than $50,000

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

INSTRUCTIONS:

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

REPRESENTATION OF ENTITY:

I, ____________________________, of ____________________________,

(Authorized Signatory) (Title) (Name of Entity)

an entity duly formed and existing under the laws of ____________________________

(Name of State or Commonwealth)

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

______________________________ and that ________________________________

(Name of Entity) (Name of Entity)

agrees to comply with the nondiscrimination agreements and warranties of Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended.

________________________________________  __________________________

(Authorized Signatory)  (Date)

________________________________________

(Printed Name)
STATE OF CONNECTICUT
NONDISCRIMINATION CERTIFICATION — Affidavit
By Entity
For Contracts Valued at $50,000 or More

Documentation in the form of an affidavit signed under penalty of false statement by a chief executive officer, president, chairperson, member, or other corporate officer duly authorized to adopt corporate, company, or partnership policy that certifies the contractor complies with the nondiscrimination agreements and warranties under Connecticut General Statutes §§ 4a-60 and 4a-60a, as amended

INSTRUCTIONS:

For use by an entity (corporation, limited liability company, or partnership) when entering into any contract type with the State of Connecticut valued at $50,000 or more for any year of the contract. Complete all sections of the form. Sign form in the presence of a Commissioner of Superior Court or Notary Public. Submit to the awarding State agency prior to contract execution.

AFFIDAVIT:

I, the undersigned, am over the age of eighteen (18) and understand and appreciate the obligations of an oath. I am ___________________________ of ____________________________________________, an entity Signatory’s Title Name of Entity duly formed and existing under the laws of ____________________________________________________ Name of State or Commonwealth.

I certify that I am authorized to execute and deliver this affidavit on behalf of

________________________________________ of ________________________________, an entity

Name of Entity

I certify that ______________________________ of ________________________________, an entity Name of Entity

________________________________________, an entity Name of State or Commonwealth

________________________________________ of ________________________________, an entity

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

Authorized Signatory

Printed Name

Sworn and subscribed to before me on this ___________ day of __________, 20__

Commissioner of the Superior Court/ Notary Public

Commission Expiration Date