Request for Proposals for
Plan Administration and Management Services

The Connecticut Retirement Security Authority (CRSA) is seeking proposals from financial consultants and other professional service providers to provide certain services related to the Connecticut Retirement Security Program. The intent of the request is to identify firms with the necessary expertise to provide plan administration and management services within a stated time frame.

Date of Issue: April 26, 2019

Closing Date / Time: June 12, 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

PURPOSE

The Connecticut Retirement Security Authority (CRSA) is seeking proposals from qualified professional firms for the purpose of performing third party services for data collection, record keeping, plan administration, education, and investment management services for the Connecticut Retirement Security Program (“Program”). All firms submitting proposals are referred to as Proposers in this document; after negotiations, the awarded Proposer(s) will be designated as the Program Services Provider(s).

One or more Proposers may be selected. The CRSA will consider fully bundled and unbundled proposals. Proposers are required to identify the services for which they wish to be considered.

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 across a wide range of dimensions, including member satisfaction (employers and employees), percent of eligible employees participating (across demographic cuts), income replacement in retirement, and more.

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:

• Establish a new easy way for Connecticut workers without access to an employer retirement program to save for the future
• Enhance participant retirement outcomes
• Improving participant education and communication services
• Provide robust on-line transaction and information capabilities
• Offering the most appropriate investment menu
• Provide support for as many administrative functions as deemed appropriate
• Provide integrated administration and reporting for the Program
• Analyze the overall cost efficiency and investment performance of the Program
• Reduce participant and Program expenses
• Maintain and strengthening the formal Provider and CRSA working relationship

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 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

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.

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 §§31-417 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 various 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 that shall be offered by multiple vendors. Invest account contributions into (1) an age-appropriate target date fund with the vendor selected by the participant or (2) such other investment vehicles as made available by the CRSA. If a participant does not affirmatively select a specific vendor or investment option in the Program, such contributions will be invested in an age-appropriate target date fund that most closely matches the participant’s normal retirement age, rotationally assigned by the Program

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 Program</th>
<th>Connecticut Retirement Security Program (Program)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Program</td>
<td>State Administered 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

<table>
<thead>
<tr>
<th>Qualified Employer Defined</th>
<th>Employers as defined by the Act</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• “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</td>
</tr>
<tr>
<td></td>
<td>• “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</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Covered Employees Defined</th>
<th>Employees, part-time and full-time eligible, as defined by the Act</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• “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 of the Connecticut General Statutes, and (D) whose service or employment is not excluded under the provisions of subdivision (5) of subsection (a) of section 31-222</td>
</tr>
<tr>
<td><strong>Number of Potential Participants</strong></td>
<td>An estimated 600,000 workers in Connecticut currently do not have access to a retirement plan through their employer</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<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>Program 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>Account Type</th>
<th>IRA — one account per Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td>IRA Type</td>
<td>Currently Roth</td>
</tr>
<tr>
<td>Contributions - Employer</td>
<td>Currently not permitted</td>
</tr>
<tr>
<td>Contributions - Employee</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>Contributions — Opt-in Participants</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>
<tr>
<td>Auto Enrollment Process</td>
<td>Employer facilitated with technical support by 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 by electing a contribution level of zero.</td>
</tr>
<tr>
<td>PROGRAM BASICS</td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Standard Default Contribution Rate</strong></td>
<td>3.0% of the employee’s taxable wages</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><strong>Contribution Limit Monitoring and Management (Per Employer)</strong></td>
<td>Employer payroll or portal-controlled with contribution limit monitoring at the Program level</td>
</tr>
<tr>
<td><strong>Contribution Limit Monitoring and Management (Across Employers)</strong></td>
<td>Employee responsibility with contribution limit monitoring at the Program level</td>
</tr>
<tr>
<td><strong>Roth IRA Income Limit Monitoring and Eligibility Management</strong></td>
<td>Employee responsible for complying with IRS income limits for Roth Contributions</td>
</tr>
</tbody>
</table>
### INVESTMENT OPTIONS

| Requirements | The Act requires each participant’s account to be invested in (1) an age-appropriate target date fund with the vendor selected by the participant, or (2) such other investment vehicles the CRSA may prescribe. If a participant does not affirmatively select a specific vendor or investment option within the Program, the participant’s contribution will be invested in an age-appropriate target date fund that most closely matches the participant’s normal retirement age, rotationally assigned by the Program. The CRSA is considering technical corrections to the law. The multiple vendor assignment may be modified or removed before the program is launched. |

| Default Investment Option | 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. |

| Participant Investment Direction | Yes |

| Investment Option Changes | Daily |

| Frequency of Valuation | Daily |

### ACCOUNT SERVICING

| Methods | Mobile, web, online chat and telephone, at a minimum; English and Spanish; additional languages also preferred |

| General Account Inquiry (i.e., Balances) | Individual self-service via mobile, web and telephone with online chat support |

| General Account Maintenance | Individual self-service via mobile and web with online chat and telephone support for:  
  • Investment performance  
  • Investment election changes  
  • Investment fund transfers  
  • Indicative data changes  
  • Beneficiary designations |
<table>
<thead>
<tr>
<th><strong>ACCOUNT SERVICING</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Participant Account Statements</strong></td>
<td>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. Not less than annually provide each participant with a fee notice illustrating the fees of the Program and information regarding the various investment options.</td>
</tr>
<tr>
<td><strong>Distributions</strong></td>
<td>At any time, per IRA rules.</td>
</tr>
<tr>
<td><strong>Rollovers Out</strong></td>
<td>Permitted as applicable under the Internal Revenue Code</td>
</tr>
<tr>
<td><strong>Rollovers In</strong></td>
<td>Permitted as applicable under the Internal Revenue Code</td>
</tr>
<tr>
<td><strong>Distribution Services, Including Retirement Eligible</strong></td>
<td>Primarily through a web-based self-service capability, plus additional support methods as identified by Service Provider or CRSA</td>
</tr>
<tr>
<td><strong>Education and Communication Materials</strong></td>
<td>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</td>
</tr>
<tr>
<td><strong>Participant Tools and Links</strong></td>
<td>Participant tools to support retirement readiness estimation and links to national and in-state resources to support financial education and coaching.</td>
</tr>
</tbody>
</table>
SCOPE OF SERVICES

The CRSA has an obligation to request modifications with 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.

SERVICE / QUALITY ASSURANCE

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

2. How many years have you offered record keeping/administration for Defined Contribution plans or Individual Retirement Accounts?

   Please provide by category for specifically DC and IRA, the total number of assets for which your firm provides record keeping and administration services.

   Please provide by category for specifically DC and IRA, the total number of participant accounts for which your firm provides plan record keeping and administration services.

3. 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 service(s) with a diverse workforce and innovative culture. Briefly describe your firm’s ability to support CRSA and the Program in this capacity.

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

4. 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.
5. Please describe the primary contact and the team that will staff the Program on an ongoing basis. Indicate staff size, location, experience and professional designations, degrees or other credentials.

Will the primary contact be based in Connecticut?

Will the team or any portion of the team supporting the Program be based in Connecticut?

Are you anticipating the use of subcontractors? If so, please explain the business need for such subcontractors.

6. Please describe the interactions the CRSA would have with the assigned team during the implementation and on an on-going basis. Indicate the type of interaction, the frequency, and the medium.

Describe, and if possible share samples, of the reporting you will provide to the CRSA to evaluate the success of the Program for employers and participants.

7. Describe your organization’s commitment to quality, and your philosophy and approach to client services.

8. Describe your procedures for monitoring:
   a. CRSA satisfaction
   b. Participant satisfaction

9. Do you guarantee service performance? If so, please describe.

10. Describe your organization’s data security practices to assure plan administration integrity and protection of participant account data.

11. The Provider will be required to assist with the preparation of the annual audited financial statement for the Program by an independent certified public accountant selected by CRSA. Please describe any concerns or barriers this presents for your organization.

12. Has your firm represented governmental/quasi-public entities in Connecticut within the past five years? Please provide information as to the nature and purpose of such representation.
RECORDKEEPING / ADMINISTRATION

1. Please describe your process for assisting the state to register and onboard Qualified Employers.

2. Please describe your process to invite and engage with Covered Employees.

3. Please describe your process to receive contribution information and invest funds.

4. Describe in detail how your system will process contributions from more than one employer for the same participant.

5. Describe in detail how you will assist participants in complying with Roth-IRA income and contribution limits.

6. Describe in detail, including scope of participant services, timing and workflows, how you will handle account disbursements and transfers:
   a. Participant directed distributions
   b. Rollovers to another IRA or qualified retirement plan
   c. Rollovers from another IRA qualified retirement plan
   d. Applicable domestic relations orders

   Please describe the confirmation process and the options available for delivery of confirmations (print, on-line, email, text, etc.)

7. The Act requires the CRSA to consider the feasibility of offering a lifetime income option. Please provide an overview of your firm’s ability to administer lifetime income options.

8. Describe in detail how your system handles federal and state tax reporting. Do you provide tax form preparation and filing? If yes, please describe how these forms are made available to participants including any ability to retrieve forms on-line.

9. Describe in detail how your firm handles processing errors. Please indicate how you will decide on your correction approach and how the error and the correction approach will be communicated to the CRSA, employers and participants.
10. Describe your beneficiary services, including gathering and storing beneficiary information, prompting participants to update beneficiaries, and accessing beneficiary information in the event of the participant's death.

PARTICIPANT WEB / MOBILE ACCESS / VOICE RESPONSE SYSTEM (VRS), AND CALL CENTER

1. Describe the account services, transaction capabilities, and educational content available through your participant website.

2. Describe the account services, transaction capabilities, and educational content that are available through mobile devices.

3. If mobile device services are available, please indicate the operating systems supported (e.g. Apple, android, etc.).

4. For web access, please indicate the browsers supported.

5. Do you provide any text alerts via mobile devices? If so, please describe.

6. How are website and mobile transactions processed and documented?

7. Are there any transactions that cannot be processed through these channels?

8. Describe how participants are authenticated on the website or mobile device and how that authentication is integrated with the VRS or call center.


10. Describe the availability of any documents in electronic form including, but not limited to:
   a. Plan information
   b. Statements
   c. Confirmations
   d. Tax forms
   e. Notices and disclosures
   f. Investment information
   g. Educational content

11. Describe how data is secured within the system (i.e., audit trail, confirmations).
12. Does your website offer chat with a live representative? If so, please indicate times chat is available.

13. If a participant elects to move from the website or mobile site/app to a call center service representative, describe the interface between the site/app and the service representative.

14. Please identify your account access and transactional availability statistics for each of these channels (average availability per month as a percentage).

**Voice Response System (VRS)**

1. Describe the services available through your voice response system.

2. Does your VRS utilize natural language technology?

3. How are transactions processed? How are transactions documented? Are confirmations sent? If so, through what channels?

4. Describe how data is secured within the system (i.e., PIN, audit trail, confirmations).

5. Is the VRS available 24/7? If not, what are the standard hours of operation?

6. Are there any transactions that cannot be processed through the voice response system?

7. Is the menu easy for participants to use? Does it include “help” information? Please describe the structure in detail.

8. Can a participant elect to move from the VRS to a service representative?

**Call Center**

1. What initial and ongoing training is provided to service center representatives?

2. Are your representatives licensed? If so, what licenses do they carry?

3. What are the hours of operation for your call center representatives?

4. Do you monitor and/or record calls to your call center?

5. How do you monitor the quality of services provided by the representatives?

6. What are your case management procedures for calls that cannot be satisfactorily resolved at the point of call?
7. What information is available to service representatives to allow them to effectively answer participant questions?

8. Do your representatives have participant communications materials available to reference?

9. Can your representatives email, text, or fax responses and documents to participants?

10. How do you measure participant satisfaction with your call center? Will this information be available to the CRSA by employer and for the overall Program?

COMMUNICATION AND EDUCATION

1. Briefly describe your background and experience in providing communication and education materials for Roth-IRAs.

2. Please provide an example of your standard Roth-IRA statement.

3. What options are available for the customization of the standard statement for this Program?

4. Describe separately your initial and on-going communication and education services and materials (including mailings, webcasts, etc.) with Roth-IRA participants.

5. Describe how these services will be customized to the Program?

6. Please describe any capabilities you have to target messages to certain participants only.

7. Please describe any capabilities you have to personalize the web, mobile, or print content for each participant.

8. Does your organization provide any services (i.e., personal questionnaires, tools) that would help individual participants with financial planning?

Describe any electronic education tools you provide and indicate whether the tool is available via your participant website or any mobile devices.

At the election of the CRSA, quarterly statements may include an estimate of the amount of income the account will generate. Please describe whether you have the capability to illustrate income generation. What assumptions
and methodology would your company use to convert account balances to income?

9. Describe your capabilities in providing investment education to participants. What fiduciary responsibility do you assume if advice is provided?

10. Do you provide communication and education material in a foreign language? If so, describe the languages, materials, and the channels used for distribution.

11. Describe the process you will use to help the CRSA measure the effectiveness of participant education efforts.

SYSTEMS CAPABILITIES AND HARDWARE

1. Describe the hardware platform and software system you will use to recordkeep and administer the Program.

2. What system enhancements do you have planned over the next three years for:
   a. Data management and retrieval
   b. Core recordkeeping system
   c. Service technology
   d. Website
   e. Mobile site/apps
   f. Call center and VRS
   g. Integration with external parties
   h. Other planned system enhancements

3. Describe your maintenance and backup procedures including daily backups, retention timetable and off-site backup storage approach. Where are your off-site backup facilities located?

4. Are internal controls of your recordkeeping system audited by an independent accounting firm on an annual or more frequent basis? If so, please provide a copy of the most recent report.
INVESTMENTS

It is anticipated that, at a minimum, the Program will consist of a capital preservation fund, a total market passive equity fund and at least two target date series of funds.

1. Discuss your organization’s ability to provide an open-architecture investment line-up for the Program. Please disclose any restrictions.

2. Please provide the number of investment fund options available under your record keeping platform.

3. Please provide the types of investment fund options that you can accommodate on your record keeping platform (i.e. mutual funds, exchange traded funds, insurance company separate accounts, bank collective trusts, etc.)

4. To the extent we wish to comply with the spirit and the fiduciary standards embodied in ERISA Section 404(c), how can you assist us?

5. Can you offer custom target date portfolios? If so, please describe.

6. As mentioned, the CRSA will be considering the feasibility of a lifetime income option. Please describe one or more investment income products that would allow the CRSA to deliver on the structure of the lifetime income option as described in the Act.

7. If you have any additional information you would like to provide on the investment vehicles identified above, please do so as a part of the supplemental materials to your responses.

IRA CUSTOMER SATISFACTION STATISTICS AND DEFINED CONTRIBUTION CLIENT REFERENCES

1. Please provide your most recent IRA customer satisfaction survey results, if available separately for customers with and without a Roth-IRA.

2. Please provide 3 references of 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.
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 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.
FEES

Include a **Schedule of Fees** by type and year; all fees 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:

1. What are the start-up costs?

2. Please discuss whether the following design considerations would trigger additional costs beyond what your Schedule of Fees includes, post-implementation:

   i) The Act does not require an auto-escalation feature. If the CRSA requested the feature, please describe if the change results in additional costs or a savings to participants.

   ii) Currently, the Act permits the establishment of Roth-IRA accounts only. Should that change to also include the option of contributing to a Traditional IRA, please describe if the change results in additional costs or a savings to participants.
iii) The Act directs contributions into an age appropriate target-date fund if the participant does not select an investment option. If the CRSA requested initial contributions up to a dollar amount threshold, e.g. $1,000, be placed into a capital preservation fund, would this have a material cost on the Program?

iv) Currently, a 3% default contribution rate is in place for the Program. What would be the impact on expenses for the Program of an increase in the default contribution rate?

v) The Act requires rotational assignment of the target date fund among multiple vendors if the participant does not specify a selection. Please describe the potential impact on expenses for the Program for a single target date provider versus multiple providers.

3. The Program is expected to reach $1Bn in assets in four years and approximately 261,000 accounts, source: https://www.osc.ct.gov/crsb/docs/finalreport/CRSB_January_1_Report.pdf.

How will expenses be adjusted if the program exceeds or falls short of these expectations for the number of participants and aggregate program account values?

4. If you offer any type of revenue sharing or offsets to your fees and expenses, please identify and describe such arrangements.

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

6. Please describe any compensation for termination of the contract for services.

7. 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.

8. If your firm has discounted rates for quasi-governmental agencies such as the CRSA, please provide such rates.
CONTRACT PERIOD

The CRSA is required to solicit proposals for contracts not less than every 3 years for certain services used by the CRSA (financial, legal and other professional services). For any firm that contracts to provide custodial, recordkeeping or other services for the provision of an individual retirement account, such solicitation shall not be less than every 10 years.

The CRSA anticipates that the successful proposer will commence work on or about August 16, 2019.

SCHEDULE

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 26, 2019</td>
<td>Release of the RFP by CRSA</td>
</tr>
<tr>
<td>May 8, 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>
</tbody>
</table>
| May 22, 2019          | Answers to questions released and can be located at
                        | http://www.ctdol.state.ct.us/retirement%20authority/index.htm         |
| June 12, 2019         | Submission deadline                                                 |
| July 8 - 12, 2019     | Finalist Interviews, if necessary                                    |
| (tentative; may be sooner or later in CRSA’s discretion) |                                                          |
| August 16, 2019       | Selection process concludes                                          |
| (tentative; may be sooner or later in CRSA’s discretion) |                                                        |
MINIMUM QUALIFICATIONS

1. As of December 31, 2018, the proposer must have provided record keeping and administrative 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.)

2. As of December 31, 2018, the proposer must have a minimum of $10 billion in total defined contribution plan or Individual Retirement Account assets under administration.

IF YOU DO NOT HAVE THE MINIMUM QUALIFICATIONS, YOUR FIRM’S PROPOSAL MAY NOT BE CONSIDERED.

SUBMISSION DEADLINE

The due date for proposals is June 12, 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: Plan Administration 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 each representative. 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 original (clearly identified as such) and 5 copies of the proposal must be submitted. 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 June 12, 2019 at 4 pm.

F. Minimum Submission Requirements. Proposals must be (1) 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 one or more proposers in order to gain a fuller understanding of the proposals. The meetings may involve demonstrations, interviews, presentations, or site visits. The Executive Director will decide if such meetings are warranted and will contact any proposer(s) it wishes to meet with to make an appointment. Any such meetings are tentatively scheduled for the week of June 17, 2019.
I. **Contractor Selection.** It is the CRSA’s intention to notify the successful proposer on or around August 16, 2019 and to initiate this engagement as soon as possible 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 businesses 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 schedule and process, 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
- 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 4:00 p.m., June 12, 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 Scope of Services 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 3 - STATEMENT OF WORK
a. Work Plan. Provide a detailed, task-oriented breakdown for each major activity/task to be in position to go live with the program by the 4th quarter of 2019
b. Methodologies. Describe how each major activity/task will be accomplished, providing a detailed explanation of the procedures or processes that will be used to attain the expected outcomes.
c. Deliverables. List and describe each significant deliverable (outcome) during the implementation period. Include a description of the proposed method of working with the CRSA Executive Director, the resources or services requested of the CRSA Executive Director, and the proposed method of receiving CRSA Executive Director approval of deliverables.
d. Schedule. Include a proposed work schedule, by major activity/task, indicating when each activity/task will be accomplished. Identify any significant milestones or deadlines. Include due dates for all significant deliverables.

Section 4 – PERSONNEL RESOURCES
a. Staffing Plan. Identify the personnel resources that will be assigned to each major activity/task delineated in the work plan above. Include a job description for each title assigned to the personnel identified.
b. Key Personnel. Identify the key personnel that will be assigned to this project. Attach resumes reflecting their qualifications and work experience in the subject area.
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 that poses or may pose a conflict of interest or the appearance of a conflict of interest in providing plan administration or management 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 (ii);
5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

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

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

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

<table>
<thead>
<tr>
<th>Lawful Campaign Contributions to Candidates for Statewide Public Office:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contribution Date</td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Lawful Campaign Contributions to Candidates for the General Assembly:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contribution Date</td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

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__

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 (i)(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 percent 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 employee of any state contractor or prospective state contractor who has managerial or discretionary responsibilities with respect to a state contract, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

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

SIGNATURE

DATE (mm/dd/yyyy)

NAME OF SIGNER
First Name    MI    Last Name    Suffix

TITLE

COMPANY NAME

Additional information may be found on the website of the State Elections Enforcement Commission,

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 thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidder’s good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

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

**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

**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, paperheaders, 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

**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. |
| Hispanic - All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race. |
| Black (not of Hispanic Origin) - All persons having origins in any of the Black racial groups of Africa. |
| 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 1 - Bidder Information**

| Company Name: |
| Street Address: |
| City & State: |
| Chief Executive: |
| Major Business Activity: |
| Bidder Parent Company: |
| Other Locations in CT: |

**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? |
| Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? |
| Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? |
| Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? |
| Do you notify the Ct. State Employment Service of all employment openings with your company? |
| Does your company have a collective bargaining agreement with workers? |
| 6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? |
| 6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of CT? |
| 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.? |
| 8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? |
| 9. Does your company have a mandatory retirement age for all employees? |
| 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? |
| 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? |
| 12. Does your company have a written affirmative action Plan? |
| 13. Is there a person in your company who is responsible for equal employment opportunity? |

If no, please explain.
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>
</tr>
<tr>
<td>Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business &amp; Financial Ops</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marketing &amp; Sales</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Occupations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer Specialists</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Architecture/Engineering</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office &amp; Admin Support</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bldg/ Grounds Cleaning/Maintenance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Construction &amp; Extraction</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Installation, Maintenance &amp; Repair</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Material Moving Workers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procurement Occupations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTALS ABOVE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total One Year Ago</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

| Apprentices |          | |
| Trainees |            | |

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

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 Organisations</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>
</tr>
<tr>
<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.

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 fact, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)                      | (Title) | (Date Signed) | (Telephone) |
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 ___________________________ and that ___________________________.

Name of Entity Name of Entity

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