Revised 05/2007

Original Contract Number:	089C-CBA-01/09DSS8001NL	
Amendment Number:		
Maximum Contract Value:	$462,936.00	
Contractor Contact Person:	Frederick Smith	Tel: (860) 225-8601
DSS Contact - Contract:	Andrea Beady	Tel: (860) 424-5780
Program:	Pat Manny	Tel: (860) 424-5612

STATE OF CONNECTICUT
DEPARTMENT OF SOCIAL SERVICES
HUMAN SERVICE CONTRACT

Contract Summary

The State of Connecticut DEPARTMENT OF SOCIAL SERVICES

Street: 25 SIGOURNEY STREET

City: HARTFORD **State:** CT **Zip:** 06106

Tel#: (860) 424-5699 **hereinafter "the Department",**

hereby enters into a contract with:

Contractor's Name: HUMAN RESOURCES AGENCY OF NEW BRITAIN, INC.

Street: 180 CLINTON STREET

City: NEW BRITAIN **State:** CT **Zip:** 06053

Tel#: (860) 225-8601 **FEIN/SS:** 060954802

hereinafter " the Contractor", for the provision of services outlined herein in Part I.

Term of Contract	This contract is in effect from 07/01/09 through 09/30/10.
Statutory Authority	The Department is authorized to enter into this contract pursuant to § 4-8 and 17b-3 of the Connecticut General Statutes.
Set-Aside Status	Contractor ☐ IS or ☒ IS NOT a set aside Contractor pursuant to § 4a-60g of the Connecticut General Statutes.
Effective Date	This contract shall become effective only as of the date of signature by the Department's authorized official(s) and, where applicable, the date of approval by the Attorney General. Upon such execution, this contract shall be deemed effective for the entire term specified above.

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PART I – SCOPE OF SERVICES, CONTRACT PERFORMANCE, BUDGET, REPORTS, AND OTHER PROGRAM-SPECIFIC PROVISIONS

The Contractor shall provide the following specific services for the COMMUNITY SERVICES BLOCK GRANT – AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (CSBG-ARRA) PROGRAM and agrees to comply with the terms and conditions set forth as required by the Department, including but not limited to the requirements and measurements for scope of services, contract performance, quality assurance, reports, terms of payment, and budget. No provisions shall be contained in this Part I that negate, supersede, or contradict any provision of Part II. In the event of such inconsistency between Part I and Part II, the provisions of Part II shall control.

A. DESCRIPTION OF SERVICES

1) CSBG-ARRA funding is made available contingent on the Contractor maintaining its status as a community action agency in full compliance with all other CSBG program and administration regulations and requirements as stipulated in Contract # 089C CBG-27 / 09DSS1501NL - A1. Additionally, during the contract period, the Contractor agrees to use CSBG-ARRA funds for the following:

   a) Head Start Support Services
      i) During the contract period the Contractor shall provide expanded Head Start Support Services designed to support families in maintaining stability, attaining or maintaining employment as well as supporting children's continued enrollment/attendance in the program.
      ii) The Contractor shall support the goals stated above by supplementing transportation costs and services
      iii) Such services shall promote long-term economic stability of Head Start families and be in compliance with the Federal ARRA.
      iv) **Number Served:** Throughout the term of this contract, the Contractor will provide Head Start Support Services to a total of at least **120** unduplicated individuals and a total of at least **40** unduplicated families. .

   b) Expanded Emergency and Case Management Services
      i) During the contract period the Contractor shall provide expanded Emergency and Case Management services designed to increase the self-sufficiency of individual and family participants.

      ii) Expanded Emergency and Case Management Services shall include but not be limited to:

         (1) **Information and Referral, Emergency Energy Support, Crisis Intervention and Crisis Case Management** services and resources to meet immediate and short-term needs of low-income individuals and families in New Britain.

         (2) **Canneries/self help production, food baskets**, emergency **food pantry** assistance and **community garden** produce projects to counteract conditions of starvation and malnutrition among vulnerable seniors in New Britain.

         (3) **Job counseling, skills training** and **employment generating projects** designed to assist unemployed and/or underemployed low-income people, in New Britain to secure and retain meaningful employment.

         (4) **Income Tax Counseling, Budget Counseling**, and **Energy Conservation services** designed to assist low-income people in New Britain to increase income, develop assets and achieve financial stability through.

      iii) Such services shall promote long-term economic stability of participants and their families and be in compliance with the Federal ARRA

iv) **Numbers Served:** Through the term of this contract the contractor will provide Expanded Emergency and Case Management services to a total of at least 700 unduplicated individuals and a total of at least 500 unduplicated families.

2) **Income eligibility requirements:** The Contractor will provide program services described herein to families who have reported household incomes at or below 200% of the Federal Poverty Level Income guidelines

B. PROGRAM ADMINISTRATION

1. Throughout the term of this contract, the Contractor will staff the Program with the following positions:

a. Head Start Support Services

Job Title	Hours Worked	Hours in Standard Work Week	FTE
None (services subcontracted)			

b. Expanded Emergency and Case Management Services

Job Title	Hours Worked	Hours in Standard Work Week	FTE
Community Services Case Manager- Clinton Street	14	35	.4
Sr. CS Case Manager-Arch St	3.27	35	.09
CS Case Manager -Broad St, Osgood	11.55	35	.33
CS Case Manager -Arch St, Scarlett Dr.	35	35	1
CS Case Manager -Arch St	8.4	35	.24
Office Assistant - Arch St	5	35	.14
Scheduler-Arch St	15	35	.43
Billing Clerk - Arch St	25	35	.71
Certifier - Arch St	35	35	1
IT Coordinator	14.45	35	.41
Community Services Case Manager- Armistice St	15.4	35	.44
Community Services Case Manager- Oak Street	10	35	.29
Income Development Services Director	27	35	.77
CS Case Manager -Scarlett Dr	35	35	1
(5) Income Development Program Participants- TBD	30	35	(5 @ .86) 4.3
(17) Income Development Program Participants-TBD	30	35	(17 @ .86) 14.62
Quality Assurance/Sustainability Specialist	20	35	.57

2. The Contractor will provide Program services at:
   a. **336 Arch Street**
   b. **460 Osgood Avenue**
   c. **55 Broad Street**
   d. **35 Oak Street**
   e. **180 Clinton Street**
   f. **58 Scarlett Drive**
   g. **16 Armistice Street**

   Standard Program hours of operation will be **Monday through Friday, between 8:30 a.m. to 4:30 p.m.**, during the contract period.

3. The Contractor's administrative office is located at **180 Clinton Street, New Britain, CT**

C. PROGRAM EVALUATION:

1. The Contractor's participation is mandatory in the evaluation process, identified by the Department, to ensure Program services are provided in an efficient and effectiveness manner as well as in a customer friendly method. The evaluation process shall appraise the Contractor's Program within its catchment area, as well as in comparison and conjunction with other CAAs within the Connecticut Community Action Network, in relation to the project goals of CSBG-ARRA.

2. CSBG-ARRA project goals include but are not limited to providing projects with special attention to creating and sustaining economic growth and employment opportunities and provide a wide range of innovative employment-related services and activities tailored to the specific needs of individuals, families, and communities; use funds in a manner that meet short-term and long-term economic and employment needs of such communities; and making meaningful and measurable progress toward the reform goals of the Recovery Act.

D. QUALITY ASSURANCE COMPLIANCE:

1. The Contractor agrees to comply with any and all applicable regulations adopted by the Department or other Departments pursuant to the services provided under this contract and, as applicable, require that all pertinent subcontractors comply as well.

2. The performance of the Contractor, and any applicable subcontractors, shall be reviewed and evaluated at least annually by Department staff. Such reviews and evaluations may be performed by examination of customer records, service logs, other documents and reports, and a meeting(s) with Contractor staff and/or customers and Board members. Site visits will be conducted at funded facilities and program sites administered by the Contractor.

E. OUTCOMES AND MEASURES. The Contractor shall implement the services and programs described herein to assure the following outcomes on behalf of participants. Outcomes shall be measured through the programmatic and statistical reports provided by the Contractor and submitted to the Department. The Department will monitor outcome results achieved pursuant to these terms and conditions:

1. Head Start Support Services

Jobs Created:

Job Title	Hours Worked	Hours in Standard Work Week	FTE
None (services subcontracted)			

Jobs Retained:

Job Title	Hours Worked	Hours in Standard Work Week	FTE
None (services subcontracted)			

Goal 6- Low-Income People Especially Vulnerable Populations, Achieve Their Potential by Strengthening Family and Other Supportive Systems

Outcome: Children participate in services that support their growth and development.

Measure: 40 out of 40 or 100% of Children (ages 0-5) participate in pre-school activities and demonstrate improvement in school readiness skills.

Outcome: Increased Families' Skills and Strengthened Families.
Measure: 10 out of 40 or 25% of participants maintain family stability by accessing affordable care of minor child or other dependent.
Outcome: Barriers to employment and self-sufficiency were eliminated or reduced.
Measure: 30 out of 40 or 75% obtained care for child or other dependant, **in order to** acquire/maintain employment.

2. Expanded Emergency and Case Management Services

Jobs Created:

Job Title	Hours Worked	Hours in Standard Work Week	FTE
Community Services Case Manager- Clinton Street	14	35	.4
Sr. CS Case Manager-Arch St	3.27	35	.09
CS Case Manager -Broad St, Osgood	11.55	35	.33
CS Case Manager -Arch St, Scarlett Dr.	35	35	1
CS Case Manager -Arch St	8.4	35	.24
Office Assistant - Arch St	5	35	.14
Scheduler-Arch St	15	35	.43
Billing Clerk - Arch St	25	35	.71
Certifier - Arch St	35	35	1
IT Coordinator	14.45	35	.41
Income Development Services Director	27	35	.77
(5) Income Development Program Participants- TBD	30	35	(5 @ .86) 4.3
(17) Income Development Program Participants-TBD	30	35	(17 @ .86) 14.62
Quality Assurance/Sustainability Specialist	20	35	.57

Jobs Retained:

Job Title	Hours Worked	Hours in Standard Work Week	FTE
CS Case Manager- Armistice St	15.4	35	.44
CS Case Manager- Oak Street	10	35	.29
CS Case Manager -Scarlett Dr	35	35	1

GOAL 6: LOW-INCOME PEOPLE, ESPECIALLY VULNERABLE POPULATIONS, ACHIEVE THEIR POTENTIAL BY STRENGTHENING FAMILY AND OTHER SUPPORTIVE SYSTEMS

Outcomes and Measures by Service Category – Emergency Services

Short Term Outcome: Reduced or Eliminated an Emergency Need.

Measure: **400 out of 500 or 80%** of households avoid utility termination or fuel crisis through agency payment.

Measure: **50 out of 500 or 10%** of households obtain resolution of problem with fuel vendor.

Measure: **50 out of 500 or 10%** of households avoid eviction through payment of rent.

Intermediate Outcome: Increased Ability to Manage Income and Use Assets to Achieve Self-Sufficiency.

Measure: **400 out of 500 or 80%** of households/individuals decrease debt.

Measure: **50 out of 500 or 10%** of persons Completed payment plan for matching payment program.

Measure: **50 out of 500 or 10%** of persons Completed payment plan for NUSTART Program.

Outcomes and Measures by Service Category - Nutrition

Short Term Outcome: Reduced or eliminated an emergency need.

Measure: **55 out of 125 or 44%** receive emergency/supplemental food from food pantry. (Proxy)

Intermediate Outcome: ***Seniors Participate in Services that Support Active, Independent Living.***

Measure: **35 out of 125 or 28%** Senior Citizens remain active in their communities by participating in community-oriented programs (include Senior Centers, RSVP, Senior Employment, Foster Grandparent etc.)

Long Term Outcome: Improved or maintained nutrition.

Measure: **35 out of 125 or 28%** of seniors' nutritional risk score declines or stays the same after 12 months.

GOAL 1: LOW-INCOME PEOPLE BECOME SELF SUFFICIENT

Outcomes and Measures by Service Category - Employment

Short Term Outcome: Barriers to employment and self-sufficiency were eliminated or reduced.

Measure: **18 out of 40 or 45%** obtained work experience as a non-paid volunteer **and** developed measurable identified skill(s).

Measure: **30 out of 40 or 75%** demonstrated a measurable increase in identified skills/competencies **required** for employment

Intermediate Outcome: Unemployed persons obtained employment.

Measure: **22 out of 40 or 55%** of persons obtained **part-time** employment.

Measure: **22 out of 40 or 55%** of persons maintained employment for at least 90 days.

Intermediate Outcome: Persons increased earned income.

Measure: **5 out of 40 or 12.5%** or participants increase earned income through additional hours or increase in hourly wage

Outcomes and Measures by Service Category - Income

Short Term Outcome: Household resources are increased from non-employment sources.

Measure: **700 out of 700 or 100%** of persons obtained Free Tax Preparation Services

Measure: **259 out of 700 or 37%** of persons obtained Federal Earned Income Tax Credit.

Measure: **210 out of 700 or 30%** of persons Obtained Federal Child Tax Credit.

Intermediate and Long Term Outcome: Increased Ability to Manage Income and Use Assets to Achieve Self-Sufficiency.

Measure: **50 out of 700 or 7%** of persons demonstrated ability to complete and maintain a budget for over 90 days.

Measure: **35 out of 700 or 5%** of persons opened IDA or other savings account and increased savings.

Measure: **21 out of 700 or 3%** of persons decreased debt and maintained budget and savings plans for over one year.

F. STATE AND FEDERAL REQUIREMENTS:

1. Throughout the term of this contract, the Contractor will assure that CSBG-ARRA funds made available and services provided under this contract, are tracked and reported separately.

2. Throughout the term of this contract, the Contractor will assure that funds made available under this contract will be used to support initiatives designed to assist Program participants. The objective of these initiatives may include but are not limited to:

   a. Achieving self-sufficiency and solve problems that hinder the achievement of self-sufficiency.

   b. Securing and retaining meaningful employment.

   c. Attaining an adequate education with particular attention to improving literacy skills.

   d. Improving individual/family income management skills.

   e. Obtaining and maintaining adequate housing and a suitable living environment.

   f. Obtaining emergency assistance through loans, grants or other means to meet immediate and urgent family or individual needs. To provide on an emergency basis for the provision of appropriate supplies and services, nutritious foodstuffs, and related services as may be necessary to counteract conditions of starvation and malnutrition among the poor.

   g. Increasing participation in the affairs of the community including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations and other public and private partners to:

      i. Document best practices based on successful grassroots intervention in urban areas and develop methodologies for widespread replication.

      ii. Strengthen and improve relationships with local law enforcement agencies that may include participation in activities such as neighborhood or community policing efforts.

      iii. Develop programs that address the needs of children and adolescents in low-income communities.

   h. The Contractor will coordinate the employment and training activities provided under this contract (if applicable), with local workforce investment systems established under the Federal Workforce Investment Act of 1998.

   i. The Contractor will coordinate with and enhance effective use of other established community services support programs with related purposes as to supplement the Program services as described under this contract.

3. Unless specified by the Secretary of the Federal Department of Health and Human Services, **CSBG-ARRA** funds may not be used for the purchase or improvement of land or the purchase, construction or permanent improvement, other than low cost, residential weatherization or other energy-related home repairs, of any building or other facility.

4. Programs supported by **CSBG-ARRA** funds under this contract will not be carried on in a manner involving the use of program funds, the provision of services or the employment or assignment of personnel, in a manner supporting or resulting in the identification of such programs with:

   a. Any partisan or non-partisan political activity or any political activity associated with a candidate or contending faction or group, in an election for public or party office;

   b. Any activity to provide voters or prospective voters with transportation to the polls or similar assistance, in connection with any such election; or

   c. Any other voter registration activity.

5. The Contractor will provide applicable Program information and statistics as required for data entry in the Federal **ROMA** performance measurement system. Such Program information and related statistics will be made available to the Department.

6. The State requires that the language of the following certification be included in the award documents for all sub-awards at all tiers including subcontracts, sub-grants, and contracts under sub-recipients, which shall certify and disclose accordingly. The Contractor certifies that:

   a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the state, to any person for influencing or attempting to influence any officer or employee of any agency, member of Congress, an officer or employee of, or an employee of a member of Congress, or an employee of a member of Congress in connection with the awarding of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

   b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the State shall complete and submit standard Federal form-LLL, "Disclosure Form to Report Lobbying," (obtained from Health and Human Services) in accordance with its instructions.

8. **Block Grant Funding** It is contemplated that the Department will utilize Federal Block Grant funding for this contract. The Department's obligation to pay under the terms of the contract is conditioned upon the Legislature approving the block grant plan and funding in accordance with C.G.S.§ 4-28b that is consistent with expenditures under this contract.

9. **Funding Identification.** Federal funding has been provided for this contract as follows:
   CFDA (Catalog of Federal Domestic Assistance) Title: Community Services Block Grant

   CFDA Number: 93.710

   Award Name: Community Services Block Grant Stimulus: American Recovery and Reinvestment Act of 2009

   Award Year: 10/01/2008 – 09/30/2010

   Research and Design: ☐ Yes or X No

   Name of Federal Agency Awarding: Department of Health and Human Services

10. Within thirty (30) days of the execution of the contract, the Contractor shall obtain and provide the Department a DUNS number. To obtain a DUNS number, the Contractor can click on the following link: http://fedgov.dnb.com/webform

11. The Contractor will inform custodial parents in single-parent families that participate in programs, activities, or services carried out or provided under this contract (if applicable), about the availability of child supports services; and refer such parents to the Department's Child Support offices.

12. The Contractor will report expenditures as defined by the Federal Health and Human Services (HHS), Office of Community Services (OCS) in Transmittal No. 37, issued December 10, 1999. Expenditures shall be reported in terms of "Direct" program costs and "Administrative" costs. The terms are defined as follows:

    a. "Direct" program costs can be specifically identified with delivery of a particular project, service or activity undertaken by a grantee to achieve an outcome intended by the funding program. For CSBG, such direct costs derive from the funding objectives specified in the reauthorizing statute and from the goals and outcome measures in the ROMA system required by the statute. Direct program costs are incurred for the service delivery and management components within a particular program or project. Therefore, direct program costs include expenditures on some activities with administrative qualities, including salaries and benefits of program staff and managers, equipment, training, conferences, travel, and contracts that expressly relate to the delivery of an individual program or service funded by a specific grant source.

    b. "Administrative" costs, in the context of CSBG statutory reporting requirements, are equivalent to the familiar concepts of "indirect" federal costs or overhead. As distinguished from program administration or management expenditures that qualify as direct program costs, administrative costs refer to central executive functions that do not directly support a specific project or service. Rather, administrative costs are incurred for common objectives that benefits multiple programs administered by the grantee organization, or the organization as a whole, and as such are not readily assignable to a particular program funding stream. Administrative costs relate to the general management of the grantee organization, such as strategic direction, Board development, Executive Director functions, accounting, budgeting, personnel, procurement, and legal services.

G. SUBCONTRACTED SERVICES: In addition to Part II of this contract:

1. The Contractor agrees to subcontract the Program services described in Part I Section A of this contract to **Dattco Bussing Company,** located at **583 South Street, New Britain, CT 06051,** in an amount not to exceed **$45,025.00** for the entire contract period **07/01/2009 through 09/30/2010.**

2. Any subcontract shall contain terms that require the subcontractor to maintain books, records, documents, program and individual service records, and other evidence of its accounting and billing procedures and practices which sufficiently and properly reflect all direct and indirect costs; that these records shall be subject at all reasonable times to monitoring, inspection, review or audit by authorized employees of the State, or, where applicable, federal agencies; and that the subcontractor shall retain all such records concerning this contract for a period of 3 years after the completion and submission to the State of the Contractor's annual financial audit.

3. The Contractor agrees to be responsible to the Department for the performance of said subcontractor. The establishment of a subcontractor relationship shall not relieve the Contractor of any responsibility or liability under the contract. The Contractor shall bear full responsibility, without recourse to the Department for their performance.

H. PROGRAMMATIC/STATISTICAL REPORTING:

1. The Contractor shall submit to the Department, Program information and statistics based on the projects and services described herein in a manner and/or format provided by the Department.

2. The Contractor shall submit a quarterly report to the Department's Program representative generated from data collected through the Contractor's internet based information and case management system within 30 days of the end of each quarterly period.

3. The Contractor shall submit a quarterly narrative report to the Department's Program representative within 30 days of the end of each quarterly period.

4. The Contractor shall submit such required Program reports in a format outlined in a future policy transmittal, to the Department's Program representative in the Strategic Planning Division, located at 25 Sigourney Street, Hartford, CT 06106.

5. The Contractor agrees to provide outcome based performance data on the measures included in the Contractor's Program as set forth in Part I Section F of this contract.

6. The Contractor agrees to comply with any additional reporting requirements that may be necessary for compliance with the terms and conditions of the federal CSBG ARRA award.

7. The Contractor shall submit such reports in a manner and/or format outlined in a future policy transmittal.

I. FINANCIAL REPORTING:

1. The Contractor agrees to track all CSBG ARRA funds separately and to submit separate quarterly fiscal reports for each CSBG-ARRA funded project.

2. The Contractor will submit quarterly fiscal reports on **DSS-304** and **DSS-305** forms due to the Department's Program representative within 30 days following the end of each quarterly period. The final fiscal report is due within 60 days following the end of the entire contract period.

3. The Contractor will submit such required financial reports to the Department's program representative located at 25 Sigourney Street, Hartford, CT 06106.

4. The Contractor agrees to comply with any additional reporting requirements that may be necessary for compliance with the terms and conditions of the federal CSBG ARRA award.

5. The Contractor shall submit such reports in a manner and/or format outlined in a future policy transmittal.

6. **Interest:** Any interest earned by the Contractor as a result of payments authorized by the Department shall be reported to the Department by the Contractor on the next Quarterly Financial Report submitted after that interest income is earned. The Contractor agrees to follow the Department's direction as to the disposition of such interest income.

J. BUDGET AND PAYMENT PROVISIONS:

1. The Department agrees to pay for the services provided and as described under this contract for an amount not to exceed **$462,936.00** for the contract period July 1, 2009 through September 30, 2010.

2. The Contractor agrees to utilize Department funds in accordance with the budget on pages 16 and 17. contained herein.

3. The Contractor will submit a written request for payment on a quarterly basis. Each payment request must be submitted on a **DSS W-1270** Form to the Department's program representative located at 25 Sigourney Street, Hartford, CT 06106. Requests for payment will be honored and funds released based on submission by the Contractor, with review and acceptance by the Department, of quarterly financial reports; the availability of funds; and the Contractor's satisfactory compliance with the terms of the contract.

4. When the Department's review of any financial report or on-site examination of the Contractor's financial records indicate that under expenditure or under utilization of contract funds is likely to occur by the end of the contract year, the Department may, with advance notice to the Contractor, alter the payment schedule for the balance of the contract period.

5. **Surplus/Excess Payments:** In the event the Department has advanced funds to the Contractor or overpaid the Contractor, the Contractor shall at the end of the contract period, or earlier if the contract is terminated, return to the Department in full any unexpended funds within 30 days; or such unexpended funds may, at the discretion of the Commissioner of the Department, be carried over and used as part of a new contract period if a new similar contract is executed.

K. PROVISIONS RELATING TO EXPENDITURES:

1. Expenditures shall be defined as expenses incurred by the Contractor, on an accrual basis, in delivering the services described in Part I herein, and in categories that the Department has agreed to pay in accordance with the Budget and Payment Provisions Sections above.

2. The Contractor's expenditures may vary in the amount per category from those set forth in the approved budget, provided that such variance does not materially change the services described in this Part I. The Contractor may not vary the category of expenditures set forth in the approved budget absent the Department's written approval in accordance with the Budget Variance Section below.

3. During the term of the contract, the Contractor shall notify the Department, of the categories of and actual expenditures made under the contract in accordance with the Financial Reporting Section above.

4. The Contractor shall maintain records sufficient to report the expenditures made under the contract and shall, if requested, provide such records to the Department.

5. The Contractor may allocate expenditures such as administrative and general, rent, or utilities, under the contract provided that:

   a. such allocated expenditures were included by category in the budget, and

   b. the procedure for allocation is reasonable and does not unfairly burden the Department with expenditures properly applied to services beyond those needed to deliver services described in this Part I.

L. BUDGET VARIANCE:

1. The Contractor may transfer funds from one category to another (except for equipment) in the agreed upon and approved budget included in this contract for a single component without prior notification of the Department under the following conditions:

   a. The amount by which a single category may be increased may not exceed **15%** of the approved amount or **$1,500.00** whichever is greater. This applies only to category amounts in the formally approved budget subsequently approved budget revisions.

b. Budget flexibility is to be applied to each component separately and is not to be computed on the composite budget items.

c. The number of people or the percentage of time charged to a job classification may be increased, provided this does not exceed the flexibility cited above.

d. The Contractor may not make any transfer under this procedure that involves any of the categories or kinds of expenditures specifically listed below.

e. All such transfers will be reflected on the next submitted financial report.

2. The Department requires the following changes in approved Program budgets to have prior written Department approval by a formal budget revision and/or formal contract amendment:

a. The purchase of an item of equipment not approved in the original budget.

b. A transfer that involves an increase of an approved category amount by more than **15%** or **$1,500.00** whichever is greater.

c. Any increase in compensation for services under a third party contract.

d. Any transfers of funds from one component to another.

e. Any transfer of budgeted Program income or food reimbursement.

3. The Department will respond to a properly executed request within 30 days of receipt.

4. No budget revisions proposed by the Contractor may be submitted later than 30 calendar days after the program has ended, except that the Department may entertain, at any time, a budget revision for the purpose of increasing funds solely for the audit of the Program. The final financial report will show all category overruns. Costs incurred after the end of the budget period will be disallowed except where the Department has expressly approved in writing and in advance.

M. TERMINATION:

1. Notwithstanding the requirements of Part II, in the event that the Contractor fails to comply with the terms of this contract or the State plan prepared pursuant to the requirements of the CSBG Act (42 USC 9901 et. Seq.), to provide services in accordance with the CSBG Act, or to meet appropriate standards, goals, performance objectives and other requirements established by the State, the Contractor will be subject to the procedures specified in the aforementioned CSBG Act Section 678C, including the provisions related to the reduction of funding or termination of this contract.

2. In addition to the provisions of Part I, Section M.1. above, this contract may be terminated by the State for convenience or for financial instability, subject to the following termination provisions.

3. All notices of termination as defined in the subsections below shall be signed by the Contract Administrator and/or designee, shall specify a date of termination and shall be delivered to the Contractor no less than 60 days prior to the specified date of termination.

4. **Termination for Convenience:**

a. The Department may terminate performance of work under the Contract in whole or in part whenever for any reason the Department shall determine that such termination is in the best interest of the Department and/or the State of Connecticut.

b. In the event that the Department elects to terminate the Contract pursuant to this provision, the Contract Administrator and/or designee shall notify the Contractor by certified mail, return receipt requested. Termination shall be effective as of the close of business on the date specified in the notice.

4. **Termination for Financial Instability:**

a. In the event that the Contractor becomes financially unstable to the point of threatening the ability of the Department to obtain the services provided for under this contract, ceases to conduct business in the normal course, makes a general assignment for the benefit of creditors, suffers or permits the appointment of a receiver for its business or its assets, the Department may, at its option, immediately terminate this contract.

b. In the event the Department elects to terminate this contract under this provision, it shall do so by the Contract Administrator and/or designee sending notice of termination to the Contractor by certified mail, return receipt requested, specifying the date of termination.

c. In the event of the filing of a petition in bankruptcy by or against a principal subcontractor, the Contractor shall immediately so advise the Department. The Contractor shall ensure that all tasks related to the subcontract are performed in accordance with the terms of the contract and agrees that the filing of a petition in bankruptcy by or against a subcontractor shall, in no way, relieve Contractor of its duties under this contract.

5. **Procedure for Termination:** In addition to the requirements set forth in Part I, Section M of this contract, upon delivery by certified mail to the Contractor of a Notice of Termination specifying the nature of the termination and the date upon which such termination becomes effective, the Contractor shall:

a. Stop work under the contract on the date and to the extent specified in the Notice of Termination.

b. If the Department so directs in writing, terminate all subcontracts to the extent that they relate to the performance of work terminated by the Notice of Termination or assign to the Department in the manner and to the extent directed by the Contract Administrator all of the right, title, and interest of the Contractor under the subcontracts not so terminated, in which case the Department shall have the right, in its discretion, to settle or pay any and all claims arising out of the termination of such subcontracts.

c. Complete the performance of such part of the work as shall not have been terminated by the Notice of Termination.

d. Be entitled to payment for services rendered through the effective date of termination.

N. MISCELLANEOUS PROVISIONS:

1. **Audit Exceptions:** In addition to and not in any way in limitation of the obligation of this contract, it is understood and agreed by the Contractor that the Contractor shall be held liable for any State or Federal audit exceptions and shall return to the Department all payments made under this contract to which exception has been taken or which have been disallowed because of such an exception.

2. **Severability:** If any provision of this contract is declared or found to be illegal, unenforceable, or void, then both parties shall be relieved of all obligations under that provision. The remainder of this contract shall be enforced to the fullest extent permitted by law.

3. **Transport of Clients:** In the event that the Contractor or any of its employees or subcontractors shall, for any reason, transport a client of DSS, the Contractor hereby agrees to the following:

   a. The Contractor shall require that its employees, subcontracted transportation providers, drivers, and vehicles meet licensure or certification requirements established by the State of Connecticut Department of Transportation (DOT) and the State of Connecticut Department of Motor Vehicles (DMV) that transport, or have the potential to transport, clients.

   b. All vehicles utilized shall be appropriately licensed, certified, permitted, and/or insured.

PART III **FINANCIAL SUMMARY**

PROGRAM NAME:	**HRA-CSBG-ARRA - Composite**
PROGRAM NUMBER:	**089C-CBA-01 / 09DSS8001NL**

	Requested	Adjustments	Approved
Contract Amount			
For Amendments Only			
Previously Approved Contract Amount			
Amount of Amendment			$

Line #	Item	Subcategory (a)	Line Item Total (b)	Adjustments (c)	Revised Total (d)
1	**UNIT RATE**				
	1a. Bed Days				
	1b. Client Advocate				
	1c. Security Deposit				
	1d. Other Unit Rate Costs				
	TOTAL UNIT RATE				
2	**CONTRACTUAL SERVICES**				
	2a. Accounting				
	2b. Legal				
	2c. Independent Audit	3,800			
	2d. Other Contractual Services	45,800			
	TOTAL CONTRACTUAL SERVICES		**49,600**		
3	**ADMINISTRATION**				
	3a. Admin. Salaries				
	3b. Admin. Fringe Benefits				
	3c. Admin. Overhead	2,205			
	TOTAL ADMINISTRATION		**2,205**		
4	**DIRECT PROGRAM STAFF**				
	4a. Program Salaries	289,773			
	4b. Program Fringe Benefits	113,288			
	TOTAL DIRECT PROGRAM		**403,061**		
5	**OTHER COSTS**				
	5a. Program Rent	1,755			
	5b. Consumable Supplies				
	5c. Travel & Transportation				
	5d. Utilities				
	5e. Repairs & Maintenance				
	5f. Insurance	1,065			
	5g. Food & Related Costs	5,250			
	5h. Other Project Expenses				
	TOTAL OTHER COSTS		**8,070**		
6	**EQUIPMENT**				
7	**PROGRAM INCOME**				
	7a. Fees				
	7b. Other Income				
	TOTAL PROGRAM INCOME				
8	**TOTAL NET PROGRAM COST** (Sum of 1 through 6, minus Line 7)	-	**462,936**		

PART III **FINANCIAL SUMMARY**

PROGRAM NAME:	**HRA-CSBG ARRA - Education**
PROGRAM NUMBER:	**089C-CBA-01 / 09DSS8001NL**

	Requested	Adjustments	Approved
Contract Amount			
For Amendments Only			
Previously Approved Contract Amount			
Amount of Amendment			$

Line #	*Item*	**Subcategory (a)**	**Line Item Total (b)**	**Adjustments (c)**	**Revised Total (d)**
1	**UNIT RATE**				
	1a. Bed Days				
	1b. Client Advocate				
	1c. Security Deposit				
	1d. Other Unit Rate Costs				
	TOTAL UNIT RATE				
2	**CONTRACTUAL SERVICES**				
	2a. Accounting				
	2b. Legal				
	2c. Independent Audit	290			
	2d. Other Contractual Services	45,025			
	TOTAL CONTRACTUAL SERVICES		45,315		
3	**ADMINISTRATION**				
	3a. Admin. Salaries				
	3b. Admin. Fringe Benefits				
	3c. Admin. Overhead	-			
	TOTAL ADMINISTRATION	-			
4	**DIRECT PROGRAM STAFF**				
	4a. Program Salaries	-			
	4b. Program Fringe Benefits	-			
	TOTAL DIRECT PROGRAM	-			
5	**OTHER COSTS**				
	5a. Program Rent				
	5b. Consumable Supplies				
	5c. Travel & Transportation				
	5d. Utilities				
	5e. Repairs & Maintenance				
	5f. Insurance	80			
	5g. Food & Related Costs	-			
	5h. Other Project Expenses				
	TOTAL OTHER COSTS		**80**		
6	**EQUIPMENT**				
7	**PROGRAM INCOME**				
	7a. Fees				
	7b. Other Income				
	TOTAL PROGRAM INCOME				
8	**TOTAL NET PROGRAM COST**		**45,395**		

PART III **FINANCIAL SUMMARY**

PROGRAM NAME:	**HRA-CSBG-ARRA - Other**
PROGRAM NUMBER:	**089C-CBA-01 / 09DSS8001NL**

	Requested	Adjustments	Approved
Contract Amount			
For Amendments Only			
Previously Approved Contract Amount			
Amount of Amendment			$

Line #	*Item*	Subcategory (a)	Line Item Total (b)	Adjustments (c)	Revised Total (d)
1	**UNIT RATE**				
	1a. Bed Days				
	1b. Client Advocate				
	1c. Security Deposit				
	1d. Other Unit Rate Costs				
	TOTAL UNIT RATE				
2	**CONTRACTUAL SERVICES**				
	2a. Accounting				
	2b. Legal				
	2c. Independent Audit	3,510			
	2d. Other Contractual Services	775			
	TOTAL CONTRACTUAL SERVICES		**4,285**		
3	**ADMINISTRATION**				
	3a. Admin. Salaries				
	3b. Admin. Fringe Benefits				
	3c. Admin. Overhead	2,205			
	TOTAL ADMINISTRATION		**2,205**		
4	**DIRECT PROGRAM STAFF**				
	4a. Program Salaries	289,773			
	4b. Program Fringe Benefits	113,288			
	TOTAL DIRECT PROGRAM		**403,061**		
5	**OTHER COSTS**				
	5a. Program Rent	1,755			
	5b. Consumable Supplies				
	5c. Travel & Transportation				
	5d. Utilities				
	5e. Repairs & Maintenance				
	5f. Insurance	985			
	5g. Food & Related Costs	5,250			
	5h. Other Project Expenses				
	TOTAL OTHER COSTS		**7,990**		
6	**EQUIPMENT**				
7	**PROGRAM INCOME**				
	7a. Fees				
	7b. Other Income				
	TOTAL PROGRAM INCOME				
8	**TOTAL NET PROGRAM COST** (Sum of 1 through 6, minus Line 7)	-	**417,541**		

PART II. MANDATORY TERMS AND CONDITIONS

The Contractor agrees to comply with the following mandatory terms and conditions.

A. CLIENT-RELATED SAFEGUARDS

1. **Inspection of Work Performed.** The Department or its authorized representative shall at all times have the right to enter into the Contractor's premises, or such other places where duties under the contract are being performed, to inspect, to monitor or to evaluate the work being performed. The Contractor and all subcontractors must provide all reasonable facilities and assistance for Department representatives. All inspections and evaluations shall be performed in such a manner as will not unduly delay work. The Contractor shall disclose information on clients, applicants and their families as requested unless otherwise prohibited by federal or state law. Written evaluations pursuant to this section shall be made available to the Contractor.

2. **Safeguarding Client Information.** The Department and the Contractor agree to safeguard the use, publication and disclosure of information on all applicants for and all clients who receive service under this contract with all applicable federal and state law concerning confidentiality.

3. **Reporting of Client Abuse or Neglect.** The Contractor shall comply with all reporting requirements relative to client abuse and neglect, including but not limited to requirements as specified in Conn. Gen. Stat. §§ 17a-101 through 103, 19a-216, 46b-120 (related to children); Conn. Gen. Stat. § 46a-11b (relative to persons with mental retardation); and Conn. Gen. Stat. § 17b-407 (relative to elderly persons).

B. CONTRACTOR OBLIGATIONS

1. **Cost Standards.** Effective January 1, 2007, the Contractor and funding state agency shall comply with the Cost Standards issued by the State of Connecticut, Office of Policy and Management ("OPM"), as may be amended from time to time. The Cost Standards are published by OPM on the Web at http://www.opm.state.ct.us/finance/pos_standards/coststandards.htm. Such Cost Standards shall apply to:

   (a) all new Contracts effective on or after January 1, 2007;

   (b) all Contract amendments modifying funding, effective on or after January 1, 2007;

   (c) all Contracts in effect on or after July 1, 2007.

2. **Credits and Rights in Data.**

   (a) Unless expressly waived in writing by the Department, all documents, reports, and other publications for public distribution during or resulting from the performances of this Contract shall include a statement acknowledging the financial support of the state and the Department and, where applicable, the federal government. All such publications shall be released in conformance with applicable federal and state law and all regulations regarding confidentiality. Any liability arising from such a release by the Contractor shall be the sole responsibility of the Contractor and the Contractor shall indemnify the Department, unless the Department or its agents co-authored said publication and said release is done with the prior written approval of the Commissioner of the Department. Any publication shall contain the following statement: "This publication does not express the views of the Department or the State of Connecticut. The views and opinions expressed are those of the authors." The Contractor or any of its agents shall not copyright data and information obtained under the terms and conditions of this contract, unless expressly authorized in writing by the Department. The Department shall have the right to publish, duplicate, use and disclose all such data in any manner, and may authorize others to do so. The Department may copyright any data without prior notice to the Contractor. The Contractor

does not assume any responsibility for the use, publication or disclosure solely by the Department of such data.

(b) "Data" shall mean all results, technical information and materials developed and/or obtained in the performance of the services hereunder, including but not limited to all reports, surveys, plans, charts, recordings (video and/or sound), pictures, curricula, public awareness or prevention campaign materials, drawings, analyses, graphic representations, computer programs and printouts, notes and memoranda, and documents, whether finished or unfinished, which result from or are prepared in connection with the services performed hereunder.

3. **Organizational Information, Conflict of Interest, IRS Form 990.** Annually during the term of the contract, the Contractor shall submit to the Department the following:

(a) a copy of its most recent IRS Form 990 submitted to the federal Internal Revenue Service, and

(b) its most recent Annual Report as filed with the Office of the Secretary of the State or such other information that the Department deems appropriate with respect to the organization and affiliation of the Contractor and related entities.

4. **Federal Funds.** The Contractor shall comply with requirements relating to the receipt or use of federal funds. The Department shall specify all such requirements in Part I of this contract.

5. **Audit Requirements.** The Contractor shall provide for an annual financial audit acceptable to the Department for any expenditure of state-awarded funds made by the Contractor. Such audit shall include management letters and audit recommendations. The State Auditors of Public Accounts shall have access to all records and accounts for the fiscal year(s) in which the award was made. The Contractor will comply with federal and state single audit standards as applicable.

6. **Prohibited Interest.** The Contractor warrants that no state appropriated funds have been paid or will be paid by or on behalf of the Contractor to contract with or retain any company or person, other than bona fide employees working solely for the Contractor, to influence or attempt to influence an officer or employee of any state agency in connection with the awarding, extension, continuation, renewal, amendment, or modification of this agreement, or to pay or agree to pay any company or person, other than bona fide employees working solely for the Contractor, any fee, commission, percentage, brokerage fee, gift or any other consideration contingent upon or resulting from the award or making of this Agreement.

7. **Offer of Gratuities.** By its agreement to the terms of this contract, the Contractor certifies that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this contract. The Department may terminate this contract if it is determined that gratuities of any kind were either offered or received by any of the aforementioned officials or employees from the Contractor or its agents or employees.

8. **Related Party Transactions.** The Contractor shall report all related party transactions, as defined in this clause, to the Department on an annual basis in the appropriate fiscal report as specified in Part I of this contract. "Related party" means a person or organization related through marriage, ability to control, ownership, family or business association. Past exercise of influence or control need not be shown, only the potential or ability to directly or indirectly exercise influence or control. "Related party transactions" between a Contractor, its employees, Board members or members of the Contractor's governing body, and a related party include, but are not limited to:

(a) real estate sales or leases;

(b) leases for equipment, vehicles or household furnishings;

(c) mortgages, loans and working capital loans; and

(d) contracts for management, consultant and professional services as well as for materials, supplies and other services purchased by the Contractor.

9. **Lobbying.** The Contractor agrees to abide by state and federal lobbying laws, and further specifically agrees not to include in any claim for reimbursement any expenditures associated with activities to influence, directly or indirectly, legislation pending before Congress, or the Connecticut General Assembly or any administrative or regulatory body unless otherwise required by this contract.

10. **Suspension or Debarment.**

(a) Signature on Contract certifies the Contractor or any person (including subcontractors) involved in the administration of Federal or State funds:

(1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any governmental department or agency (Federal, State or local);

(2) within a three year period preceding this Contract, has not been convicted or had a civil judgment rendered against him/her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) transaction or Contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;

(3) is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the above offenses;

(4) has not within a three year period preceding this agreement had one or more public transactions terminated for cause or fault.

(b) Any change in the above status shall be immediately reported to the Department.

11. **Liaison.** Each party shall designate a liaison to facilitate a cooperative working relationship between the Contractor and the Department in the performance and administration of this contract.

12. **Subcontracts.** For purposes of this clause subcontractors shall be defined as providers of direct human services. Vendors of support services, not otherwise known as human service providers or educators, shall not be considered subcontractors, e.g. lawn care, unless such activity is considered part of a training, vocational or educational program. The subcontractor's identity, services to be rendered and costs shall be detailed in Part I of this contract. Notwithstanding the execution of this contract prior to a specific subcontractor being identified or specific costs being set, no subcontractor may be used or expense under this contract incurred prior to identification of the subcontractor or inclusion of a detailed budget statement as to subcontractor expense, unless expressly provided in Part I of this contract. No subcontractor shall acquire any direct right of payment from the Department by virtue of the provisions of this clause or any other clause of this contract. The use of subcontractors, as defined in this clause, shall not relieve the Contractor of any responsibility or liability under this contract. The Contractor shall make available copies of all subcontracts to the Department upon request.

13. **Independent Capacity of Contractor.** The Contractor, its officers, employees, subcontractors, or any other agent of the Contractor in the performance of this contract will act in an independent capacity and not as officers or employees of the State of Connecticut or of the Department.

14. **Indemnification.**

(a) The Contractor shall indemnify, defend and hold harmless the State of Connecticut and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all:

(1) claims arising directly or indirectly, in connection with the contract, including the acts of commission or omission (collectively the "Acts") of the Contractor or Contractor Parties; and

(2) liabilities, damages, losses, costs and expenses, including but not limited to attorneys' and other professionals' fees, arising, directly or indirectly, in connection with Claims, Acts or the contract. The Contractor shall use counsel reasonably acceptable to the State in carrying out its obligations under this contract. The contractor's obligations under this section to indemnify, defend and hold harmless against claims includes claims concerning confidentiality of any part of or all of the bid or any records, and intellectual property rights, other propriety rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance of the contract.

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

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

(d) The Contractor shall carry and maintain at all times during the term of the contract, and during the time that any provisions survive the term of the contract, sufficient general liability insurance to satisfy its obligations under this contract. The Contractor shall name the State as an additional insured on the policy and shall provide a copy of the policy to the Agency prior to the effective date of the contract. The Contractor shall not begin performance until the delivery of the policy to the Agency.

(e) The rights provided in this section for the benefit of the State shall encompass the recovery of attorneys' and other professionals' fees expended in pursuing a Claim against a third party.

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

15. Choice of Law and Choice of Forum, Settlement of Disputes, Office of the Claims Commission.

(a) The Contractor agrees to be bound by the laws of the State of Connecticut and the federal government where applicable, and agrees that this contract shall be construed and interpreted in accordance with Connecticut law and Federal law where applicable.

(b) Any dispute concerning the interpretation or application of this contract shall be decided by the Commissioner of the Department or his/her designee whose decision shall be final subject to any rights the Contractor may have pursuant to state law. In appealing a dispute to the commissioner pursuant to this provision, the Contractor shall be afforded an opportunity to be heard and to offer evidence in support of its appeal. Pending final resolution of a dispute, the Contractor and the Department shall proceed diligently with the performance of the contract.

(c) The Contractor agrees that the sole and exclusive means for the presentation of any claim against the State arising from this Contract shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State) and the Contractor further agrees not to initiate legal proceedings except as authorized by that Chapter in any State or Federal Court in addition to or in lieu of said Chapter 53 proceedings.

16. **Compliance with Law and Policy.** Contractor shall comply with all pertinent provisions of local, state and federal laws and regulations as well as Departmental policies and procedures applicable to Contractor's programs as specified in this contract. The Department shall notify the Contractor of any applicable new or revised laws, regulations, policies or procedures which the Department has responsibility to promulgate or enforce.

17. **Facility Standards and Licensing Compliance.** The Contractor will comply with all applicable local, state and federal licensing, zoning, building, health, fire and safety regulations or ordinances, as well as standards and criteria of pertinent state and federal authorities. Unless otherwise provided by law, the Contractor is not relieved of compliance while formally contesting the authority to require such standards, regulations, statutes, ordinance or criteria.

18. **Reports.** The Contractor shall provide the Department with such statistical, financial and programmatic information necessary to monitor and evaluate compliance with the contract. All requests for such information shall comply with all applicable state and federal confidentiality laws. The Contractor agrees to provide the Department with such reports as the Department requests.

19. **Delinquent Reports.** The Contractor will submit required reports by the designated due dates as identified in this agreement. After notice to the Contractor and an opportunity for a meeting with a Department representative, the Department reserves the right to withhold payments for services performed under this Contract if the Department has not received acceptable progress reports, expenditure reports, refunds, and/or audits as required by this agreement or previous agreements for similar or equivalent services the Contractor has entered into with the Department.

20. **Record Keeping and Access.** The Contractor shall maintain books, records, documents, program and individual service records and other evidence of its accounting and billing procedures and practices which sufficiently and properly reflect all direct and indirect costs of any nature incurred in the performance of this contract. These records shall be subject at all reasonable times to monitoring, inspection, review or audit by authorized employees or agents of the state or, where applicable, federal agencies. The Contractor shall retain all such records concerning this contract for a period of three (3) years after the completion and submission to the state of the Contractor's annual financial audit.

21. **Workforce Analysis.** The Contractor shall provide a workforce analysis affirmative action report related to employment practices and procedures.

22. **Litigation.**

    (a) The Contractor shall provide written notice to the Department of any litigation that relates to the services directly or indirectly financed under this contract or that has the potential to impair the ability of the Contractor to fulfill the terms and conditions of this contract, including but not limited to financial, legal or any other situation which may prevent the Contractor from meeting its obligations under the contract.

    (b) The Contractor shall provide written notice to the Department of any final decision by any tribunal or state or federal agency or court which is adverse to the Contractor or which results in a settlement, compromise or claim or agreement of any kind for any action or proceeding brought against the Contractor or its employee or agent under the Americans with Disabilities Act of 1990, Executive Orders Nos. 3 & 17 of Governor Thomas J. Meskill and any other provisions of federal or state law concerning equal employment opportunities or nondiscriminatory practices.

C. ALTERATIONS, CANCELLATION AND TERMINATION

1. Contract Revisions and Amendments.

(a) The Contractor shall submit to the Department in writing any proposed revision to the contract and the Department shall notify the Contractor of receipt of the proposed revision.

(b) Contract amendments must be in writing and shall not be effective until executed by both parties to the contract, and, where applicable, approved by the Attorney General.

(c) No amendments may be made to a lapsed contract.

2. Contract Reduction.

(a) The Department reserves the right to reduce the Contracted amount of compensation at any time in the event that:

(1) the Governor or the Connecticut General Assembly rescinds, reallocates, or in any way reduces the total amount budgeted for the operation of the Department during the fiscal year for which such funds are withheld; or

(2) federal funding reductions result in reallocation of funds within the Department.

(b) The Contractor and the Department agree to negotiate on the implementation of the reduction within thirty (30) days of receipt of formal notification of intent to reduce the contracted amount of compensation from the Department. If agreement on the implementation of the reduction is not reached within 30 calendar days of such formal notification and a contract amendment has not been executed, the Department may terminate the contract sixty (60) days from receipt of such formal notification. The Department will formally notify the Contractor of the termination date.

3. Default by the Contractor.

(a) If the Contractor defaults as to, or otherwise fails to comply with, any of the conditions of this contract the Department may:

(1) withhold payments until the default is resolved to the satisfaction of the Department;

(2) temporarily or permanently discontinue services under the contract;

(3) require that unexpended funds be returned to the Department;

(4) assign appropriate state personnel to execute the contract until such time as the contractual defaults have been corrected to the satisfaction of the Department;

(5) require that contract funding be used to enter into a subcontract arrangement with a person or persons designated by the Department in order to bring the program into contractual compliance;

(6) terminate this contract;

(7) take such other actions of any nature whatsoever as may be deemed appropriate for the best interests of the state or the program(s) provided under this contract or both;

(8) any combination of the above actions.

(b) In addition to the rights and remedies granted to the Department by this contract, the Department shall have all other rights and remedies granted to it by law in the event of breach of or default by the Contractor under the terms of this contract.

(c) Prior to invoking any of the remedies for default specified in this paragraph except when the Department deems the health or welfare of service recipients is endangered as specified in of this contract or has not met requirements as specified in this contract, the Department shall notify the Contractor in writing of the specific facts and circumstances constituting default or failure to comply with the conditions of this contract and proposed remedies. Within five (5) business days of receipt of this notice, the Contractor shall correct any contractual defaults specified in the notice and submit written documentation of correction to the satisfaction of the Department or request in writing a meeting with the commissioner of the Department or his/her designee. Any such meeting shall be held within five (5) business days of the written request. At the meeting, the Contractor shall be given an opportunity to respond to the Department's notice of default and to present a plan of correction with applicable time frames. Within five (5) business days of such meeting, the commissioner of the Department shall notify the Contractor in writing of his/her response to the information provided including acceptance of the plan of correction and, if the commissioner finds continued contractual default for which a satisfactory plan of corrective action has not been presented, the specific remedy for default the Department intends to invoke. This action of the Commissioner shall be considered final.

(d) If at any step in this process the Contractor fails to comply with the procedure and, as applicable, the agreed upon plan of correction, the Department may proceed with default remedies.

4. **Non-enforcement Not to Constitute Waiver.** The failure of either party to insist upon strict performance of any terms or conditions of this agreement shall not be deemed a waiver of the term or condition or any remedy that each party has with respect to that term or condition nor shall it preclude a subsequent default by reason of the failure to perform.

5. **Cancellation and Recoupment.**

(a) This agreement shall remain in full force and effect for the entire term of the contract period, above, unless either party provides written notice ninety (90) days or more from the date of termination, except that no cancellation by the Contractor may be effective for failure to provide services for the agreed price or rate and cancellation by the Department shall not be effective against services already rendered, so long as the services were rendered in compliance with the contract during the term of the contract.

(b) In the event the health or welfare of the service recipients is endangered, the Department may cancel the contract and take any immediate action without notice it deems appropriate to protect the health and welfare of service recipients. The Department shall notify the Contractor of the specific reasons for taking such action in writing within five (5) business days of cancellation. Within five (5) business days of receipt of this notice, the Contractor may request in writing a meeting with the commissioner of the Department or his/her designee. Any such meeting shall be held within five (5) business days of the written request. At the meeting, the Contractor shall be given an opportunity to present information on why the Department's actions should be reversed or modified. Within five (5) business days of such meeting, the Commissioner of the Department shall notify the Contractor in writing of his/her decision upholding, reversing or modifying the action of the Department. This action of the Commissioner shall be considered final.

(c) The Department reserves the right to cancel the contract without prior notice when the funding for the contract is no longer available.

(d) The Department reserves the right to recoup any deposits, prior payment, advance payment or down payment made if the contract is terminated by either party. Allowable costs incurred to date of termination for operation or transition of program(s) under this contract shall not be subject to

recoupment. The Contractor agrees to return to the Department any funds not expended in accordance with the terms and conditions of the contract and, if the Contractor fails to do so upon demand, the Department may recoup said funds from any future payments owing under this contract or any other contract between the State and the Contractor.

6. **Equipment.** In the event this Contract is terminated or not renewed, the Department reserves the right to recoup any equipment, deposits or down payments made or purchased with start-up funds or other funds specifically designated for such purpose under this Contract. For purposes of this provision, equipment means tangible personal property with a normal useful life of at least one year and a value of at least $5,000. Equipment shall be considered purchased from Contractor funds and not from Department funds if the equipment is purchased for a program that has other sources of income equal to or greater than the equipment purchase price.

7. **Transition after Termination or Expiration of Contract.** In the event that this contract is terminated for any reason except where the health and welfare of service recipients is endangered or if the Department does not offer the Contractor a new contract for the same or similar service at the contract's expiration, the Contractor will assist in the orderly transfer of clients served under this contract as required by the Department and will assist in the orderly cessation of operations under this contract. Prior to incurring expenses related to the orderly transfer or continuation of services to service recipients beyond the terms of the contract, the Department and the Contractor agree to negotiate a termination amendment to the existing agreement to address current program components and expenses, anticipated expenses necessary for the orderly transfer of service recipients and changes to the current program to address service recipient needs. The Contractual agreement may be amended as necessary to assure transition requirements are met during the term of this contract. If the transition cannot be concluded during this term, the Department and the Contractor may negotiate an amendment to extend the term of the current contract until the transition may be concluded.

8. **Program Cancellation.** Where applicable, the cancellation or termination of any individual program or services under this Contract will not, in and of itself, in any way affect the status of any other program or service in effect under this Contract.

9. **Mergers and Acquisitions.**

(a) Contracts in whole or in part are not transferable or assignable without the prior written agreement of the Department.

(b) At least ninety (90) days prior to the effective date of any fundamental changes in corporate status, including merger, acquisition, transfer of assets, and any change in fiduciary responsibility, the Contractor shall provide the Department with written notice of such changes.

(c) The Contractor shall comply with requests for documentation deemed necessary by the Department to determine whether the Department will provide prior written agreement. The Department shall notify the Contractor of such determination not later than forty-five (45) business days from the date the Department receives such requested documentation.

D. STATUTORY AND REGULATORY COMPLIANCE

1. **Health Insurance Portability Act of 1996 ("HIPAA").**

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

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

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

(d) The Contractor, on behalf of the Department, performs functions that involve the use or disclosure of "individually identifiable health information," as that term is defined in 45 C.F.R. § 160.103; *and*

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

(f) The Contractor and the Department agree to the following in order to secure compliance with the HIPAA, more specifically with the Privacy and Security Rules at 45 C.F.R. Part 160 and Part 164, subparts A, C, and E.

(g) Definitions

(1) "Business Associate" shall mean the Contractor.

(2) "Covered Entity" shall mean the Department of the State of Connecticut named on page 1 of this Contract.

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

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

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

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

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

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

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

(10) "This Section of the Contract" refers to the HIPAA Provisions stated herein, in their entirety.

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

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

(h) Obligations and Activities of Business Associates.

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

(2) Business Associate agrees to use appropriate safeguards to prevent use or disclosure of PHI other than as provided for in this Section of the Contract.

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

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

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

(6) Business Associate agrees to insure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by Business Associate, on behalf of the Covered Entity, agrees to the same restrictions and conditions that apply through this Section of the Contract to Business Associate with respect to such information.

(7) Business Associate agrees to provide access, at the request of the Covered Entity, and in the time and manner agreed to by the parties, to PHI in a Designated Record Set, to Covered Entity or, as directed by Covered Entity, to an Individual in order to meet the requirements under 45 C.F.R. § 164.524.

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

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

(10) Business Associate agrees to document such disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.

(11) Business Associate agrees to provide to Covered Entity, in a time and manner agreed to by the parties, information collected in accordance with paragraph I of this Section of the Contract, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528.

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

(i) Permitted Uses and Disclosure by Business Associate.

(1) General Use and Disclosure Provisions Except as otherwise limited in this Section of the Contract, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Contract, provided that such use or disclosure would

not violate the Privacy Rule if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity.

(2) Specific Use and Disclosure Provisions

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

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

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

(j) Obligations of Covered Entity.

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

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

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

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

(l) Term and Termination.

(1) Term. The Term of this Section of the Contract shall be effective as of the date the Contract is effective and shall terminate when all of the PHI provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy PHI, protections are extended to such information, in accordance with the termination provisions in this Section.

(2) Termination for Cause Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall either:

(A) Provide an opportunity for Business Associate to cure the breach or end the violation and terminate the Contract if Business Associate does not cure the breach or end the violation within the time specified by the Covered Entity; or

(B) Immediately terminate the Contract if Business Associate has breached a material term of this Section of the Contract and cure is not possible; or

(C) If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

(3) Effect of Termination

(A) Except as provided in (l)(2) above, upon termination of this Contract, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.

(B) In the event that Business Associate determines that returning or destroying the PHI is infeasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon documentation by Business Associate that return of destruction of PHI is infeasible, Business Associate shall extend the protections of this Section of the Contract to such PHI and limit further uses and disclosures of PHI to those purposes that make return or destruction infeasible, for as long as Business Associate maintains such PHI. Infeasibility of the return or destruction of PHI includes, but is not limited to, requirements under state or federal law that the Business Associate maintains or preserves the PHI or copies thereof.

(m) Miscellaneous Provisions.

(1) Regulatory References. A reference in this Section of the Contract to a section in the Privacy Rule means the section as in effect or as amended.

(2) Amendment. The Parties agree to take such action as in necessary to amend this Section of the Contract from time to time as is necessary for Covered Entity to comply with requirements of the Privacy Rule and the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104-191.

(3) Survival. The respective rights and obligations of Business Associate shall survive the termination of this Contract.

(4) Effect on Contract. Except as specifically required to implement the purposes of this Section of the Contract, all other terms of the Contract shall remain in force and effect.

(5) Construction. This Section of the Contract shall be construed as broadly as necessary to implement and comply with the Privacy Standard. Any ambiguity in this Section of the Contract shall be resolved in favor of a meaning that complies, and is consistent with, the Privacy Standard.

(6) Disclaimer. Covered Entity makes no warranty or representation that compliance with this Section of the Contract will be adequate or satisfactory for Business Associate's own purposes. Covered Entity shall not be liable to Business Associate for any claim, loss or damage related to or arising from the unauthorized use or disclosure of PHI by Business Associate or any of its officers, directors, employees, Contractors or agents, or any third party to whom Business Associate has disclosed PHI pursuant to this Contract. Business Associate is solely responsible for all decisions made, and actions taken, by Business Associate regarding the safeguarding, use and disclosure of PHI within its possession, custody or control.

(7) Indemnification. The Business Associate shall indemnify and hold the Covered Entity harmless from and against all claims, liabilities, judgments, fines, assessments, penalties, awards, or other expenses, of any kind or nature whatsoever, including, without limitation, attorney's fees, expert witness fees, and costs of investigation, litigation or dispute resolution, relating to or arising out of any violation by the Business Associate and its agents, including subcontractors, of any obligation of Business Associate and its agents, including subcontractors, under this Section of the Contract.

2. **Americans with Disabilities Act of 1990.** This clause applies to those Contractors which are or will come to be responsible for compliance with the terms of the Americans with Disabilities Act of 1990 (42 U.S.C. §§ 12101-12189 and §§ 12201-12213) (Supp. 1993); 47 USCS §§ 225, 611 (Supp. 1993). During the term of the Contract, the Contractor represents that it is familiar with the terms of this Act and that it is in compliance with the law. The Contractor warrants that it will hold the state harmless from any liability which may be imposed upon the state as a result of any failure of the Contractor to be in compliance with this Act. As applicable, the Contractor agrees to abide by provisions of § 504 of the Federal Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794 (Supp. 1993), regarding access to programs and facilities by people with disabilities.

3. **Utilization of Minority Business Enterprises.** It is the policy of the state that minority business enterprises should have the maximum opportunity to participate in the performance of government Contracts. The Contractor agrees to use best efforts consistent with 45 C.F.R. §§ 74.160 et seq. (1992) and paragraph 9 of Appendix G thereto for the administration of programs or activities using HHS funds; and §§ 13a-95a, 4a-60 to 4a-62, 4b-95(b), and 4a-60q of the Connecticut General Statutes to carry out this policy in the award of any subcontracts.

4. **Priority Hiring.** Subject to the Contractor's exclusive right to determine the qualifications for all employment positions, the Contractor shall use its best efforts to ensure that it gives priority to hiring welfare recipients who are subject to time limited welfare and must find employment. The Contractor and the Department will work cooperatively to determine the number and types of positions to which this paragraph shall apply. The Department of Social Services regional office staff or staff of Department of Social Service Contractors will undertake to counsel and screen an adequate number of appropriate candidates for positions targeted by the Contractor as suitable for individuals in the time limited welfare program. The success of the Contractor's efforts will be considered when awarding and evaluating Contracts.

5. **Non-discrimination Regarding Sexual Orientation.** Unless otherwise provided by Conn. Gen. Stat. § 46a-81p, the Contractor agrees to the following provisions required pursuant to § 4a-60a of the Connecticut General Statutes:

(a) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation;

(2) the Contractor agrees to provide each labor union or representatives of workers with which such Contractor has a collective bargaining agreement or other Contract or understanding and each vendor with which such Contractor has a Contract or understanding a notice to be provided by the commission on human rights and opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment;

(3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to § 46a-56 of the Connecticut General Statutes;

(4) the Contractor agrees to provide the commission on human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and

accounts concerning the employment practices and procedures of the Contractor which relate to provisions of this section and § 46a-56 of the Connecticut General Statutes.

(b) The Contractor shall include the provisions of subsection (a) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a Contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with § 46a-56 of the Connecticut General Statutes provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

6. **Nondiscrimination and Affirmative Action Provisions in Contracts of the State and Political Subdivisions Other Than Municipalities.** The Contractor agrees to comply with provisions of § 4a-60 of the Connecticut General Statutes:

(a) Every Contract to which the state or any political subdivision of the state other that a municipality is a party shall contain the following provisions:

(1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved;

(2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission;

(3) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining agreement or other Contract or understanding and each vendor with which such Contractor has a Contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment;

(4) the Contractor agrees to comply with each provision of this section and Conn. Gen. Stat. §§ 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to Conn. Gen. Stat. §§ 46a-56, 46a-68e and 46a-68f;

(5) the Contractor agrees to provide the commission of human rights and opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this section and Conn. Gen. Stat. § 46a-56. If the Contract is a public works Contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.

(b) For the purposes of this section, "minority business enterprise" means any small Contractor or supplier of materials fifty-one per cent or more of capital stock, if any, or assets of which is owned by a person or persons:

(1) who are active in the daily affairs of the enterprise;

(2) who have the power to direct the management and policies of the enterprise; and

(3) who are members of a minority, as such term is defined in subsection (a) of Conn. Gen. Stat. § 49-60g.

(c) For the purposes of this section, "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements. Determinations of the Contractor's good faith efforts shall include but shall not be limited to the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative action advertising; recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.

(e) Contractor shall include the provisions of subsection (a) of this section in every subcontract or purchase order entered into in order to fulfill any obligation of a Contract with the state and such provision shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Conn. Gen. Stat. § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the Contractor may request the state of Connecticut to enter into such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

7. **Government Function; Freedom of Information.** If the amount of this Contract exceeds two million five hundred thousand dollars ($2,500,000), and the Contract is for the performance of a governmental function, as that term is defined in Conn. Gen. Stat. § 1-200(11), the Department is entitled to receive a copy of the records and files related to the Contractor's performance of the governmental function, and may be disclosed by the Department pursuant to the Freedom of Information Act.

8. **Whistleblowing.** This Agreement is subject to the provisions of § 4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the Contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of this Agreement. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state Contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state Contractors in a conspicuous place which is readily available for viewing by the employees of the Contractor.

9. **Campaign Contribution Restrictions.** On February 8, 2007, Governor Rell signed into law Public Act 07-1, An Act Concerning the State Contractor Contribution Ban and Gifts to State and Quasi-Public Agencies.

   For all State contracts as defined in P.A. 07-1 having a value in a calendar year of $50,000 or more or a combination or series of such agreements or contracts having a value of $100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See SEEC Form 11.

10. **Non-smoking.** If the Contractor is an employer subject to the provisions of § 31-40q of the Connecticut General Statutes, the Contractor agrees to provide upon request the Department with a copy of its written rules concerning smoking. Evidence of compliance with the provisions of § 31-40q of the Connecticut General Statutes must be received prior to Contract approval by the Department.

11. **Executive Orders.**

   (a) Executive Order No. 3: Nondiscrimination. This Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill promulgated June 16, 1971, and, as such, this Contract may be canceled, terminated or suspended by the State Labor Commissioner for violation of or noncompliance with said Executive Order No. 3 or any state or federal law concerning nondiscrimination, notwithstanding that the Labor Commissioner is not a party to this Contract. The parties to this Contract, as part of the consideration hereof, agree that said Executive Order No. 3 is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the State Labor Commissioner shall have continuing jurisdiction in respect to Contract performance in regard to nondiscrimination, until the Contract is completed or terminated prior to completion. The Contractor agrees, as part consideration hereof, that this Contract is subject to the Guidelines and Rules issued by the State Labor Commissioner to implement Executive Order No. 3 and that the Contractor will not discriminate in employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the State Labor Commissioner.

   (b) Executive Order No. 16: Violence in the Workplace Prevention Policy. This Contract is subject to provisions of Executive Order No. 16 of Governor John J. Rowland promulgated August 4, 1999, and, as such, this Contract may be cancelled, terminated or suspended by the Contracting agency or the State for violation of or noncompliance with said Executive Order No. 16. The parties to this Contract, as part of the consideration hereof, agree that:

      (1) Contractor shall prohibit employees from bringing into the state work site, except as may be required as a condition of employment, any weapon/dangerous instrument defined in Section 2 to follow;

      (2) weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon. Dangerous instrument means any instrument, article or substance that, under the circumstances, is capable of causing death or serious physical injury;

      (3) Contractor shall prohibit employees from attempting to use, or threaten to use, any such weapon or dangerous instrument in the state work site and employees shall be prohibited from causing, or threatening to cause, physical injury or death to any individual in the state work site;

      (4) Contractor shall adopt the above prohibitions as work rules, violation of which shall subject the employee to disciplinary action up to and including discharge. The Contractor shall require that all employees are aware of such work rules;

      (5) Contractor agrees that any subcontract it enters into in the furtherance of the work to be performed hereunder shall contain the provisions 1 through 4, above.

(c) Executive Order No. 17: Connecticut State Employment Service Listings. This Contract is subject to provisions of Executive Order No. 17 of Governor Thomas J. Meskill promulgated February 15, 1973, and, as such, this Contract may be canceled, terminated or suspended by the Contracting agency or the State Labor Commissioner for violation of or noncompliance with said Executive Order Number 17, notwithstanding that the Labor Commissioner may not be a party to this Contract. The parties to this Contract, as part of the consideration hereof, agree that Executive Order No. 17 is incorporated herein by reference and made a part hereof. The parties agree to abide by said Executive Order and agree that the Contracting agency and the State Labor Commissioner shall have joint and several continuing jurisdiction in respect to Contract performance in regard to listing all employment openings with the Connecticut State Employment Service.

(d) Executive Order No. 7C: Contracting Standards Board. This Contract is subject to provisions of Executive Order No. 7C of Governor M. Jodi Rell, promulgated on July 13, 2006. The Parties to this Contract, as part of the consideration hereof, agree that:

(1) The State Contracting Standards Board ("Board") may review this Contract and recommend to the state Contracting agency termination of this Contract for cause. The State Contracting agency shall consider the recommendations and act as required or permitted in accordance with the Contract and applicable law. The Board shall provide the results of its review, together with its recommendations, to the state Contracting agency and any other affected party in accordance with the notice provisions in the Contract not later than fifteen (15) days after the Board finalizes its recommendation. For the purposes of this Section, "for cause" means: (A) a violation of the State Ethics Code (Chap. 10 of the general statutes) or section 4a-100 of the general statutes or (B) wanton or reckless disregard of any state Contracting and procurement process by any person substantially involved in such Contract or state Contracting agency.

(2) For purposes of this Section, "Contract" shall not include real property transactions involving less than a fee simple interest or financial assistance comprised of state or federal funds, the form of which may include but is not limited to grants, loans, loan guarantees, and participation interests in loans, equity investments and tax credit programs. Notwithstanding the foregoing, the Board shall not have any authority to recommend the termination of a Contract for the sale or purchase of a fee simple interest in real property following transfer of title.

(3) Notwithstanding the Contract value listed in sections 4-250 and 4-252 of the Conn. Gen. Stat. and section 8 of Executive Order Number 1, all State Contracts between state agencies and private entities with a value of $50,000 (fifty thousand dollars) or more in a calendar or fiscal year shall comply with the gift and campaign contribution certification requirements of section 4-252 of the Conn. Gen. Stat. and section 8 of Executive Order Number 1. For purposes of this section, the term "certification" shall include the campaign contribution and annual gift affidavits required by section 8 of Executive Order Number 1.

(e) Executive Order No. 14: Procurement of cleaning products and services. This Agreement is subject to the provisions of Executive Order No. 14 of Governor M. Jodi Rell promulgated April 17, 2006. Pursuant to this Executive Order, the contractor shall use cleaning and/or sanitizing products having properties that minimize potential impacts on human health and the environment, consistent with maintaining clean and sanitary facilities.

ACCEPTANCES AND APPROVALS

By signing below, both the Contractor and the Department of Social Services agree to the terms and conditions of this contract and further agree that the Contractor herein IS a Business Associate under the Health Insurance Portability and Accountability Act of 1996.

Documentation necessary to demonstrate the authorization to sign must be attached.

CONTRACTOR - HUMAN RESOURCES AGENCY OF NEW BRITAIN, INC.

ROCCO R. TRICARICO, *Executive Director* — Date 9/18/09

DEPARTMENT OF SOCIAL SERVICES

CLAUDETTE BEAULIEU, *Deputy Commissioner* — Date 9/18/09

OFFICE OF THE ATTORNEY GENERAL

ASST. / ASSOC. ATTORNEY GENERAL *(Approved as to form & legal sufficiency)* — Date 9/23/09

ASSOC. ATTY. GENERAL

HRA of New Britain, Inc.

Human Resources Agency of New Britain, Inc.

180 Clinton Street
New Britain, CT 06053

PHONE (860) 225-8601
FAX (860) 225-4843
WEBSITE www.hranbct.org

Rocco R. Tricarico
Executive Director

Paul D. Catanzaro
Board President

Certificate of Authority

I, **Helen Z. Pearl, Secretary** of **Human Resources Agency of New Britain, Inc.,** a corporation organized under the laws of the State of Connecticut, hereby certifies that the following is a full and true copy of a resolution adopted at a meeting of the governing body of said corporation, duly held on the **19th** day of **November, 2007:**

"RESOLVED that **Rocco R. Tricarico, Executive Director,** is hereby authorized to make, execute and approve on behalf of this corporation, any and all contracts and amendments and to execute and approve on behalf of this company, other instruments, a part of or incident to such contracts and amendments effective until otherwise ordered by the governing body."

Also, I do further certify that the above resolution has not been in anyway altered, amended or repealed, and is now in full force and effect.

WHEREFORE, I have hereunto set my hand and affixed the corporate seal of said company this

18 day of September, 2009.

(Seal or L.S.)

Helen Z. Pearl
SIGNATURE OF SECRETARY OR CLERK